NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

THESIS

THE STATE OF LEADERSHIP IN DHS – IS THERE A MODEL FOR LEADING?

by

Christina Bell

December 2008

Thesis Co-Advisors:
Robert Bach
Nola Joyce

Approved for public release; distribution is unlimited

THIS PAGE INTENTIONALLY LEFT BLANK

1. AGENCY USE ONLY *(Leave blank)*	**2. REPORT DATE** December 2008	**3. REPORT TYPE AND DATES COVERED** Master's Thesis
4. TITLE AND SUBTITLE The State of Leadership within DHS – Is There a Model for Leading?		**5. FUNDING NUMBERS**
6. AUTHOR(S) Christina A. Bell		
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Naval Postgraduate School Monterey, CA 93943-5000		**8. PERFORMING ORGANIZATION REPORT NUMBER**
9. SPONSORING /MONITORING AGENCY NAME(S) AND ADDRESS(ES) N/A		**10. SPONSORING/MONITORING AGENCY REPORT NUMBER**
11. SUPPLEMENTARY NOTES The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.		
12a. DISTRIBUTION / AVAILABILITY STATEMENT Approved for public release; distribution is unlimited		**12b. DISTRIBUTION CODE** A

13. ABSTRACT (maximum 200 words)

This thesis studies strategic leadership within the Department of Homeland Security (DHS). The study centered on a search for a leadership strategy that may be helpful for DHS leaders given their inherent organizational, functional, and technological challenges. The research entailed an in-depth review of existing literature along with interviews/focus groups with senior executives external to DHS, senior executives within DHS, and DHS managerial-level professionals.

This thesis argues that DHS leaders would benefit from an organizationally sponsored leadership strategy that supports DHS's pursuit to secure the United States' homeland. The findings of this research are based on key themes that were formed as a result of the research. These themes are presented as key findings and, in some cases, recommendations for how DHS leaders may be able to enhance both individual and organizational performance as DHS carries on into the future.

The findings support that there are leadership strategies that can help DHS to achieve a higher level of organizational and mission-oriented performance. The leadership strategy that is recommended as a result of this research is for DHS to establish a leadership strategy that is not only linked to its overall business strategy, but is inherently *part of* its business strategy.

14. SUBJECT TERMS Leadership; Leading; Leadership Development; DHS leadership strategy			**15. NUMBER OF PAGES** 205
			16. PRICE CODE
17. SECURITY CLASSIFICATION OF REPORT Unclassified	**18. SECURITY CLASSIFICATION OF THIS PAGE** Unclassified	**19. SECURITY CLASSIFICATION OF ABSTRACT** Unclassified	**20. LIMITATION OF ABSTRACT** UU

THIS PAGE INTENTIONALLY LEFT BLANK

**THE STATE OF LEADERSHIP IN DHS –
IS THERE A MODEL FOR LEADING?**

Christina A. Bell
Director, Executive Secretariat, U.S. Customs and Border Protection, Washington, D.C.
B.A., University of Wisconsin-Madison, 1995

Submitted in partial fulfillment of the
requirements for the degree of

**MASTER OF ARTS IN SECURITY STUDIES
(HOMELAND SECURITY AND DEFENSE)**

from the

**NAVAL POSTGRADUATE SCHOOL
December 2008**

Author: Christina A. Bell

Approved by: Robert Bach, Ph.D.
                 Co-Advisor

                 Nola Joyce
                 Co-Advisor

                 Harold A. Trinkunas, Ph.D.
                 Chairman, Department of National Security Affairs

THIS PAGE INTENTIONALLY LEFT BLANK

ABSTRACT

This thesis studies strategic leadership within the Department of Homeland Security (DHS). The study centered on a search for a leadership strategy that may be helpful for DHS leaders given their inherent organizational, functional, and technological challenges. The research entailed an in-depth review of existing literature along with interviews/focus groups with senior executives external to DHS, senior executives within DHS, and DHS managerial-level professionals.

This thesis argues that DHS leaders would benefit from an organizationally sponsored leadership strategy that supports DHS's pursuit to secure the United States' homeland. The findings of this research are based on key themes that were formed as a result of the research. These themes are presented as key findings and, in some cases, recommendations for how DHS leaders may be able to enhance both individual and organizational performance as DHS carries on into the future.

The findings support that there are leadership strategies that can help DHS to achieve a higher level of organizational and mission-oriented performance. The leadership strategy that is recommended as a result of this research is for DHS to establish a leadership strategy that is not only linked to its overall business strategy, but is inherently *part of* its business strategy.

THIS PAGE INTENTIONALLY LEFT BLANK

TABLE OF CONTENTS

THIS PAGE INTENTIONALLY LEFT BLANK

LIST OF FIGURES

THIS PAGE INTENTIONALLY LEFT BLANK

LIST OF TABLES

THIS PAGE INTENTIONALLY LEFT BLANK

ACKNOWLEDGMENTS

coached me to keep this often ambiguous topic as clear, concise, and as analytically-based as possible. I am also thankful for my editor, Catherine "Cat" Grant; Cat was very responsive and highly-professional throughout the process.

In short, I am very grateful for those that supported me and this project, and I am grateful to the government for this tremendous opportunity. This has been a phenomenal learning endeavor that I will always appreciate.

I.   INTRODUCTION

The research in this study concerns "leadership," with all of its manifestations, as it relates specifically to the Department of Homeland Security (DHS). At the outset, it is necessary to fully understand the meaning of the word "leadership" and any of its frequently used derivatives in order to develop a common understanding of its meaning and to substantiate its relevance to DHS. Defining leadership as it applies to DHS is a significant preliminary step in order to clear out any potentially intellectual biases and have an accepted definition. A good place to start is the definition of leadership's core root: "*lead*" as taken from the dictionary:[1]

1.   To guide or conduct by showing the way.
2.   As a chief or commander; to direct and govern.
3.   To introduce by going first.
4.   To hold the first place in rank or dignity.
5.   To show the method of attaining an object.
6.   To induce; to prevail on; to influence.

Synonyms: conduct, guide, precede, induce, commence, inaugurate, convey, persuade, direct, influence.

It immediately becomes clear, by these definitions, that leadership is not something tangible that is possessed by an individual or groups of individuals. Leadership is, however, a personal action or behavior that is exhibited by individuals or organizations performing in such a manner that demonstrates their ability to positively engage with others and improve their collective position or results. Simply put, leadership is evidenced more as measure of what *one does*, rather than who *one is*.

However, it is not as simple as just describing what a person actually does or by making observations of organizational functions to evaluate successful leadership performance. Leadership must also be taken in the context (environment, arena, and

---

[1] *Webster's New Twentieth Century Dictionary of the English Language Unabridged*, 2nd ed., s.v. "leadership."

locale) in which a leader performs. As an example, Leonard Bernstein leads the New York Philharmonic Orchestra with recognized leadership skills (see Figure 1).
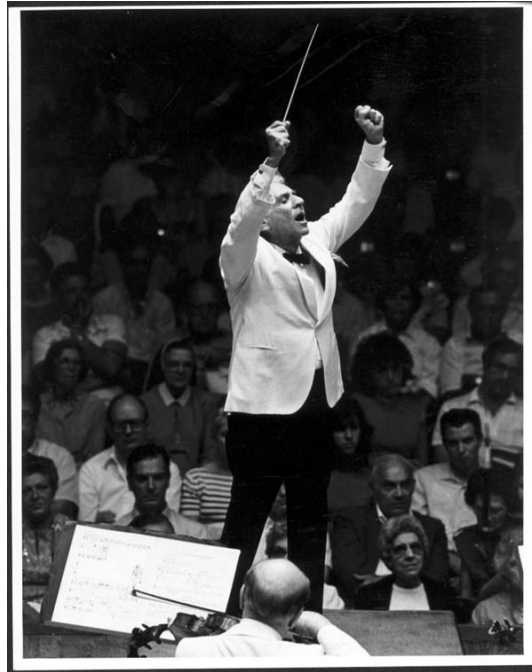
Figure 1.   Howard Bernstein conducting the New York Philharmonic[2]

He has renowned musical ability, great passion, committed training, and he manages professionally skilled performers. A successful symphonic musical performance requires a static and unchanging plan (the sheet music), rehearsed musicians (they know the plan and their job), and the right environment (acoustics and facility).

The instruments (tools and equipment) must be of highest quality and strictly in tune (meet all specifications). The leader then guides the musicians with the strictest of communications that require their full and complete attention both as individuals and as a total group. No form of improvisation may take place, or the entire performance will fail.

---

[2] Photograph by Frances M. Barkas, courtesy of Library of Congress.

While Bernstein may demonstrate a "good practice" for delivering a symphonic performance, Bernstein's leadership style is not the only way to lead a musical performance. Differing forms of leadership are expressed in other common forms of music such as jazz. Jazz performances rely completely on musical improvisation. Jazz musicians have no formal leader, no written music (the plan), and no formal structure of organization. Their performance environment is not controlled, their instruments may be selected and played at random, and an individual performance can never be precisely repeated. In a jazz performance (see Figure 2, below), its immediate expression defines what it is.

Figure 2.   Jazz Ensemble[3]

The point of this analogy is that "leadership done right" exists in many diverse applications. Its organizational output will, in every case, approach the goals of its organization within the *context* of its delivery. The issue at hand, however, is that neither musical example could possibly work effectively in the environment of DHS. On one hand, DHS is caught in a tension between entrepreneurial risk-taking that is associated with the potential for chaos as a product of improvisation and unchecked reactions to crisis. On the other hand, it is also caught-up in a potentially paralyzing bureaucracy. Within the context of this analogy—while the metaphorical leader is conducting the

[3] Photograph by Jerrod Hubber, courtesy of *The Griffon News*.

orchestra in real time, someone else is changing the music (the plan), musicians are coming and going during the performance, and everyone is talking independently to each other. While the strict performance of a static plan is perfect for a symphony, it would fail totally at DHS.

Therefore, the reality for leadership at DHS, its challenge, and its opportunity to perform will fall somewhere between the polarity of these two musical examples. Accordingly, there is a need to evaluate leadership by how well it performs in the context and environment of its application. In the case of DHS, one measures the effectiveness of leadership by the response it makes to the broad challenges that face the nation along with the internal organizational challenges that erupt continuously during the execution of its business.

In most every other large-scale operational endeavor, leaders plan, organize, and rehearse to achieve the known, visible targets. At DHS, the organization must plan, rehearse, and wait for a potential threat that might engage the nation from some unknown person, place, or thing anywhere in the world—and at any time. DHS must always be ready to act, without fail, and with great skill as has been continuously the requirement since 9/11. DHS must have the precision of a symphony while incorporating the improvisational skills of jazz musicians.

While DHS has significantly evolved since its creation after 9/11, the first upcoming Presidential administration change will serve as a critical opportunity to assess the impact of leadership in DHS relative to its effectiveness and resilience in how it performs its operations. This research on leadership in DHS is increasingly important given its challenging and high-stakes responsibilities implicit in preventing, detecting, deterring, and resolving all threats and all hazards. The 9/11 Commission report stated, "We know the quality of the people is more important than the quality of the wiring diagrams."[4] Therefore, the challenges that threaten the domestic tranquility of the nation require that DHS, as the responsible federal organization for homeland security, has a quality workforce that is properly resourced and well-led.

---

[4] *The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States* (New York: W.W. Norton and Co., 2005), 399.

A.   BACKGROUND

DHS was established in 2003 to integrate approximately twenty-two separate but strategically related organizations into a single cabinet-level entity to serve as the lead federal entity presiding over an array of mission areas that address terrorism, natural disasters, and other security threats to the United States. Immediately upon its formation, multiple organizations were established, combined, reorganized, and/or moved from other agencies to become DHS component organizations under a single department. While some component organizations were newly formed, particularly the headquarters-based organizations, many of the component agencies pre-existed prior to their reorganization into DHS.

Even considering the formation of the Department of Defense in the twentieth century, DHS has probably been one of the most significant reorganizations of government in modern times, involving some 200,000 workers to become the third largest government agency.[5]   Significant funding and aggressive organizational imperatives suddenly were forced onto a system that was accustomed to modest budgets and evolutionary change.[6]   This reorganization has been further complicated by the uncertainty and urgency of terrorist threats and the immediate demands of weather-related emergencies. DHS was stood up quickly and had to work the first time, every time. There was no time to rehearse or test the organization "in whole."

This exceedingly complex mission of securing the homeland required attention from across the societal spectrum in the form of new requirements and procedures for travelers and the trade community, different organizations and focus areas for DHS's 200,000-person workforce, and new terrorism concerns by local first responders, health care workers, and citizens, etc. To this end, one primary reason for the establishment of DHS was to provide the unifying core for the vast national network of organizations and

---

[5] National Academy of Public Administration, *A Report by a Panel of the National Academy of Public Administration, Addressing the 2009 Presidential Transition at the Department of Homeland Security* (Washington, D.C.: National Academy of Public Administration, 2008), xiii.

[6] Leonard J. Marcus, Barry C. Dorn, and Joseph M. Henderson, "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity," *Working Papers 2005* (Cambridge: Center for Public Leadership, John F. Kennedy School of Government): 51.

individuals involved in efforts to secure the nation. In order to accomplish this, and to provide guidance to the 200,000 DHS men and women who work everyday on this important task, DHS has developed its own high-level strategic plan. The following vision and mission statements, strategic goals, and objectives provide the framework guiding the actions that make up the daily operations of the department.[7]

Vision of DHS

Preserving our freedoms, protecting America ... we secure our homeland.

Mission of DHS

We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation. We will ensure safe and secure borders, welcome lawful immigrants and visitors, and promote the free-flow of commerce.

Strategic Goals of DHS

1. Awareness — Identify and understand threats, assess vulnerabilities, determine potential impacts, and disseminate timely information to our homeland security partners and the American public.

2. Prevention — Detect, deter, and mitigate threats to our homeland.

3. Protection — Safeguard our people and their freedoms, critical infrastructure, property, and the economy of our nation from acts of terrorism, natural disasters, or other emergencies.

4. Response — Lead, manage, and coordinate the national response to acts of terrorism, natural disasters, or other emergencies.

5. Recovery — Lead national, state, local, and private sector efforts to restore services and rebuild communities after acts of terrorism, natural disasters, or other emergencies.

---

[7] U.S. Department of Homeland Security, *Department of Homeland Security Strategic Plan* (Washington, D.C.: Department of Homeland Security, 2004). Note that upon completion of this research, DHS released an updated *Strategic Plan* (for 2008-2013); the mission remains the same, but the vision and the strategic goals are different. Since the core of this research was based on *Goal 7* (from the previous plan), this thesis was not updated to reflect DHS's revised strategic plan. A side-by-side comparison of the key aspects of both plans can be found in Appendix I. Of note, the research and the findings of this thesis are not affected by the updated strategic plan.

6.   Service — Serve the public effectively by facilitating lawful trade, travel, and immigration.

7.   Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability and teamwork to achieve efficiencies, effectiveness, and operational synergies.

This new mandate required the merger and/or the creation of approximately twenty-two separate components, with large field organizations into parallel management structures with an internal, unified chain of command. These components report into a single organization combined at the senior leadership level. DHS looks today much like a modern global corporation in its form of organization as shown by Figure 3 below.[8]
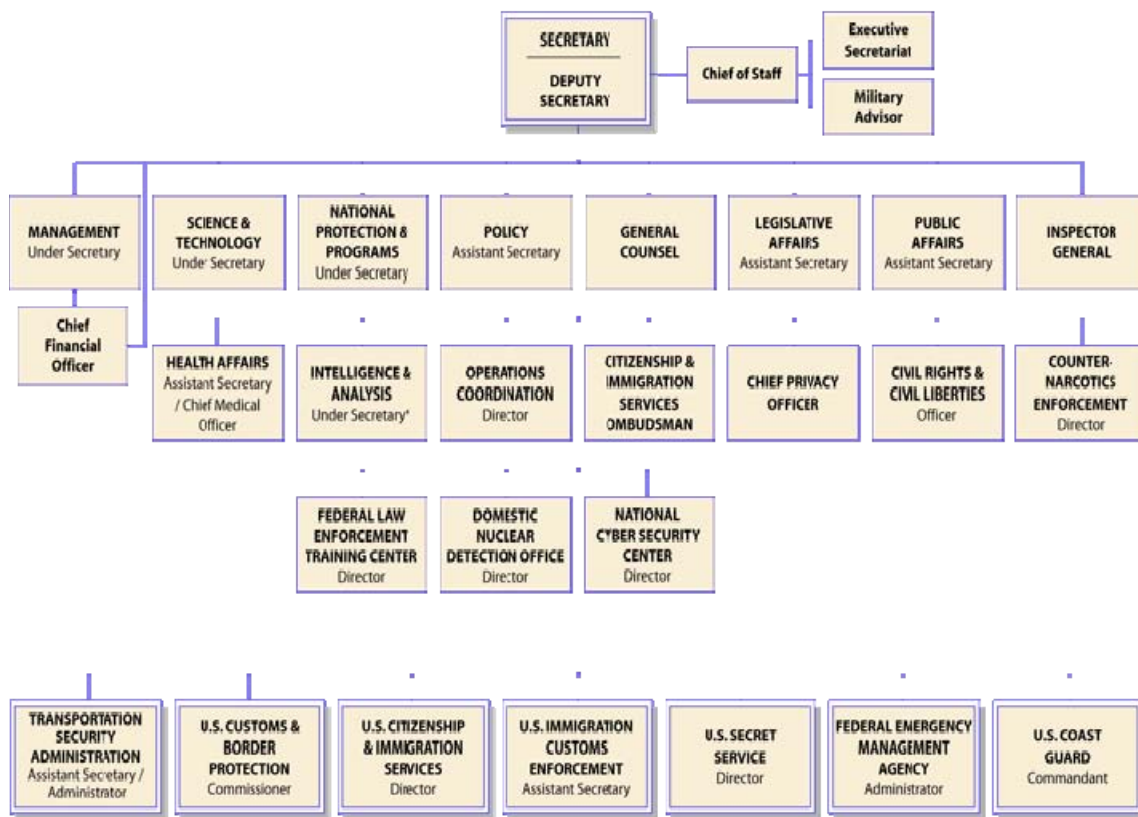
Figure 3.   U.S. Department of Homeland Security Organization Chart[9]

_____

[8] Note that Figure 3 reflects the changes imposed by the Second Stage Review (2SR) that was directed by Secretary Chertoff in mid-2005; this resulted in a "flatter" organizational model, among other changes.

[9] U.S. Department of Homeland Security, "Organizational Chart," DHS, http://www.dhs.gov/xabout/structure/editorial_0644.shtm (Accessed August 10, 2008).

B. INERTIA AND CHALLENGES

Organizing and implementing a cabinet-level entity of this scale has been a sizable undertaking. This challenge has required DHS to face continuous integration issues involving numerous business process, communications, technology, and people-oriented challenges. DHS senior leadership has recognized the potential for negative bureaucratic inertia, which stems from such a large number of diverse parallel organizations, as problematic to the formation of a unified, high-performance team. Bureaucratic inertia in this context has been defined as:

> …a common term in the study of government and public administration; bureaucratic inertia is often used in a derogatory sense to refer to the slow pace of large and highly complex organizations (bureaucracies) in accomplishing their tasks. While sometimes organizations suffer from bureaucratic inertia because of workers' low productivity, bureaucratic inertia more often than not results from the many rules, regulations, policies, and procedures that public and governmental organizations legally have to follow.[10]

> DHS's *Goal 7*, *Organizational Excellence* seems to provide the overarching impetus to address this challenge organization-wide:

> Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability, and teamwork to achieve efficiencies, effectiveness, and operational synergies.[11]

Therefore, a concerted effort has been the focus of DHS senior leaders to affect a fusion process to continuously connect these diverse organizations under a single departmental construct that promotes operational synergies. Unfortunately, bureaucratic inertia has been observed to be a factor that has caused resistance by DHS professionals to effectively fuse – or connect – in a manner whereby the efforts of the individuals, teams, and offices across the component organizations align with DHS's organizational

---

[10] GlobalEd Project Middle School Simulation, "Glossary of Terms," University of Connecticut (2001) http://www.lib.uconn.edu/~mboyer/ms2001-02glossary.html#bureaucratic%20inertia (accessed August 12, 2008).

[11] DHS, *Strategic Plan*, 8.

imperatives. This inertia has adversely affected the performance of individuals and groups throughout DHS towards achieving Goal 7. Themes and examples of this inertia are described in the following sections.

1.   **"Vertical Silo" Inertia**

An example of this inertia has involved the resistance of individuals and organizations within the DHS components to work outside of their direct chains of command (i.e., collaborate and communicate outside of their immediate organizations). A National Academy of Public Administration panel, in its report to Congress and to DHS regarding the 2009 Administration change, stated:

> The Panel believes that the department's key components still largely operate as "stand alone" entities, although important steps are being taken at headquarters and in the field to improve intra-departmental coordination and collaboration. However, to the extent that components operate independently in areas that call for a more collaborative approach, DHS operational efficiency or effectiveness will suffer and its stated objectives [to be a unified department] will remain out of reach. This reality will provide a major challenge for the leadership team appointed by the President.[12]

In practice, this problem has involved a tendency for employees to be naturally drawn towards what they know and what has been familiar to them throughout their careers. As described by a working paper by Harvard's Center of Public Leadership aimed at improving government connectivity:

> More than may be generally acknowledged, people live in the familiar zone of their chosen profession or career. Leadership, credibility, and experience grow within the time-honored and conventional confines of that work. It can then be uncomfortable to engage outside of that known sphere of influence.[13]

For DHS employees, this has been observed in their propensity to be drawn towards linear operations, command-and-control leadership structures, and vertical

---

[12] National Academy, *Presidential Transition*, xv.

[13] Marcus, Dorn, and Henderson, "Meta-Leadership," 46.

coordination and communication methods—often coined in today's vernacular as the "vertical silo" mode of operation. This silo mode of operation, which is often supported by separate and distinct cultures, resources, and narrowly-focused career ascendancy, compels organizations toward self-protectiveness, insularity, and allegiance to their own agency-based advocacy and independence.[14] It also reinforces deeply-ingrained traditions, struggles for control, and rivalry, especially among organizations with similar or overlapping missions and scope of responsibilities.[15]

For DHS, the organizational conflict is that the silo mode of operation does not enable the most efficient performance of its inherently collaborative mission, and does not contribute to a fused, departmental construct or *Goal 7*. In fact, one of the principle reasons DHS was established was so that it could serve as the overarching, dynamic, and cross-functional federal entity—not only to oversee and engage in its collaboration and coordination imperatives within DHS, but to perform this alongside federal, state, local, tribal, and private entities (and the citizenry).

2. Relationship Inertia

A second example of this negative inertia has been seen in the quality of the relationships between DHS and its partners and stakeholders (e.g., federal agencies— including the legislative branch, state and local partners, private sector organizations, and non-governmental entities). In particular, findings from a 2007 survey of State Homeland Security Directors revealed a number of continuing challenges for homeland security at both the state-level and DHS.[16] Specifically, the following are some excerpts that were provided through a survey of state homeland security directors:

---

[14] Marcus, Dorn, and Henderson, "Meta-Leadership," 42.

[15] Lawrence Susskind and Jeffrey Cruikshank, *Breaking the Impasse: Consensual Approaches to Dispute Resolution* (New York: Basic Books, 1987) in Marcus, Dorn and Henderson, "Meta-Leadership," 42.

[16] National Institute for Strategic Preparedness, *Annual Survey of State Homeland Security Directors Reports Findings* (2008)
https://www.nisp.us/logistica/public/news.cfm?category=SPB&article_id=5544&sidebar=archive (accessed September 20, 2008).

- States continue to report unsatisfactory progress in their relationship with the federal government, specifically the Department of Homeland Security (DHS).

- The majority of the states said DHS should coordinate policies with states prior to the release or implementation of those policies.[17]

In the anonymous comment section of the same survey, state officials expressed frustrations with their inability to communicate with DHS and are summarized as follows:

- The high turnover rates at DHS have created "turbulence" among DHS's senior leadership that has resulted in poor communications.

- Despite DHS's stated desire to improve relationships with the states, the DHS approach "remains adversarial."

- DHS employees "lack an understanding of what really transpires in the states."[18]

Furthermore, similar themes were discussed in a 2008 executive leader conference, which was comprised of federal, state, and local homeland security leaders. This group conveyed that top-down, detached, and inconsistent outreach practices observed by DHS have resulted in stakeholder relationships that have not been transparent, but have been restrictive, hierarchical, programmatic, and bureaucratic. They also characterized DHS as an organization that fuels mistrust with an approach whereby:

- Stakeholders are not fully engaged before policies are made.

- Perpetual un-funded mandates are imposed.

- A myriad of different people and organizations continuously "reach in" to respective stakeholders' organizations on the full spectrum of issues.

They expressed that DHS could be a tremendously effective enabler; but this would first require functional, trusting partnerships characterized by an integrated system of intelligence, information-sharing, and collaborative emergency response based on joint contribution, responsibility, and accountability at each level of government. However,

---

[17] Chris Logan, "2007 State Homeland Security Directors Survey," *Issue Brief* (Washington, D.C.: National Governors Association Center for Best Practices, 2007), 1.

[18] Logan "Directors Survey," 7.

they asserted that there is currently very little trust, credibility, and true collaboration between DHS and its stakeholders, particularly its state and local partners.

Finally, the intense Congressional oversight that DHS has been subject to must also be accounted for as a key aspect of "relationship inertia." This inertia is caused by DHS leadership being continuously "distracted by fractured congressional oversight."[19] For example, a March 2008 report by George Mason University that found that in 2007 alone, DHS leaders appeared before 86 congressional committees and subcommittees, participated in 206 congressional hearings, attended 2,242 briefings for Members of Congress, wrote 460 legislatively-mandated reports, and answered 2,630 questions for the record submitted by Members of Congress following hearings.[20] Figure 4 (below), provides an illustration of this voluminous Congressional oversight.

---

[19] David Heyman and James Jay Carafano, *Homeland Security 3.0, Building a National Enterprise to Keep America Free, Safe, and Prosperous (*Washington, D.C.: The Heritage Foundation, 2008), 18.

[20] Veronica de Rugy, "Facts and Figures About Seven Years of Homeland Security Spending," (working paper Meracatus Center, George Mason University, Fairfax, Virginia, 2008) in Heyman and Carafano, *Homeland Security 3.0*, 18.

CONGRESSIONAL OVERSIGHT OF DHS
By 86 Committees and Subcommittees
110th Congress

Figure 4.   Congressional Oversight of DHS[21]

[21] Michael Chertoff to Chairman King, September 4, 2007 (Washington D.C., House Committee on Homeland Security).

The report, *Strengthening Homeland Security: Reforming Planning and Resource Allocation*, cited several problems that have been caused by this complex and intense congressional oversight:

- Difficulty for the Secretary of DHS to align resources with strategy (component leaders who feel they are not getting what they want can circumvent the process by going to one of their congressional committees).

- Intersecting jurisdictions make it difficult to pass important authorizing legislation.

- DHS reports to too many committees and subcommittees, leading to conflicting policy and guidance.

- An inordinate amount of requests for testimony and information.[22]

This fragmented and also amplified system of Congressional oversight has caused DHS to be "hamstrung" by 1) draining departmental focus and energy and not allowing sufficient focus on cross-functional operations and relationships; and 2) inviting extensive managerial circumvention.[23]

3. Morale Inertia

A third aspect of negative bureaucratic inertia has been seen in the form of the low morale that DHS employees have been plagued with since DHS's creation. In 2004, the Office of Personnel Management (OPM) conducted a survey to measure employees' "perceptions of whether, and to what extent, conditions characterizing successful organizations are present in their agencies."[24] DHS's rankings were the lowest across the federal government for most questions asked; its rankings were only slightly better for the remaining questions asked (only improving one or two ranks from the very bottom).[25]

---

[22] Cindy Williams, *Strengthening Homeland Security: Reforming Planning and Resource Allocation.* Washington, D.C.: IBM Center for the Business of Government, 2008 in National Academy*, Presidential Transition*, 19.

[23] Business Executives for National Security, *Untangling the Web: Congressional Oversight and the Department of Homeland Security* (Washington, D.C.: Center for Strategic and International Studies, 2004), 2.

[24] Scott Lilly, "An Analysis of Employee Attitudes at Federal Departments & Agencies," Center for American Progress 2 (2005) http://www.nbpc.net/dhsrules/cap_personnel_report.pdf (accessed November 28, 2007).

[25] Ibid., 1.

This survey revealed that employees realized the importance of their mission but were not satisfied with the way DHS has managed its core functions or treated its personnel.[26] Employees also expressed a high level of dissatisfaction with both departmental and agency leadership.[27] As captured in Lilly Scott's report:

> The survey left little doubt about what DHS employees think is a major cause of this abysmal performance evaluation. There were 18 questions on the survey involving leadership and the department ranked at the bottom on 14, next to the bottom on three and second from the bottom on one.[28]

Two years later, the 2006 OPM survey found that DHS ranked last out of 36 federal agencies on the job satisfaction and results-oriented performance culture indexes, and nearly last on the leadership and knowledge management index and the talent management index.[29] OPM conducted another survey in 2007 with similar questions, and DHS's ratings were similarly low.[30] With respect to leadership, the 2007 scores revealed that for multiple leadership-specific questions, the negative ratings outweighed the positive ratings (see Appendix II for the detailed questions and scores).[31]

4. Non-Stop Learning Curve Inertia

A fourth issue that has caused negative inertia has been based on the unique organizational dynamic of DHS that distinguishes it from most any organization found in the private sector, and much of the public sector. This is centered upon the impact that the organization feels from its combination of career leaders who populate most of the operating areas and the "political leaders" who are placed in policy and senior leadership roles by the sitting President of the United States. While that may provide the President

---

[26] Lilly, "Analysis of Employee Attitudes," 3-4.

[27] Ibid., 5.

[28] Ibid., 8.

[29] Heyman and Carafano, *Homeland Security 3.0*, 18.

[30] Annie Jacobsen, "DHS Rated Worst of Federal Agencies by Employees," *Aviation Nation* (January 2007) http://www.theaviationnation.com/2007/01/31/dhs-rated-worst-of-federal-agencies-by-employees/ (accessed September 7, 2007).

[31] WESTAT, *2007 DHS Annual Survey: Engaging the Workforce* (Washington, D.C.: DHS, Office of the Chief Human Capital Officer: 2007) 19-22.

with the necessary leverage he requires to fulfill his commitments to the people who have placed him in office, it also ensures that the senior leadership of DHS and its component organizations may change every four years, if not sooner. This flux has the potential to create a sharp and continuing learning curve within an already complex organization that must continue to press on, in a real time environment, to meet evolving threats with the added issue of continually changing senior leadership.

The issue is not to critique the political process but rather to recognize the reality of the situation. Ultimately, the goal should be to define the organization in such a way that DHS's continuously changing senior leadership can develop into an organizational strength (and not a weakness) by strengthening the organization and its processes in order to adequately serve the nation. Therefore, it seems that DHS must build an organizational ethos that can steady the organization through continuously changing threats, missions, and leadership.

5.   "It's Just Overwhelming"

From a broader perspective, the business of DHS is rife with scrutiny and highly visible challenges. This is characterized in a panel report by the National Academy of Public Administration to recommend changes for the impending 2009 Presidential change of administration:

> The department has also been the focus of enormous public scrutiny, either because of its highly visible responsibilities—witness recent efforts to secure the southern border with Mexico – or due to a major mission breakdown, such as the response to Hurricane Katrina in 2005. The perception of the department and its ability to protect the homeland is poor, as demonstrated by surveys of both the public and DHS employees. This continuously changing environment, coupled with major on-going operational responsibilities, has provided DHS leaders with a continuous "white water" management environment.[32]

Similarly, DHS's business model is functionally and organizationally complex. DHS professionals must operate in an environment where terrorist threats and natural

---

[32] National Academy, *Presidential Transition*, xiii.

disasters are continually on the verge of becoming reality. As conveyed in DHS's 2008 *Strategic Plan*, "The homeland security mission is complex, and resources are constrained."[33] Nonetheless, human life, security, economic welfare, and other important aspects may depend on the decisions and mission-effectiveness of DHS professionals, individually or collectively. DHS's leadership roles are particularly demanding given their multiple interfacing points and diverse portfolio of internal and external stakeholders. Driven by the requirements of urgency and accuracy when addressing the complexity of multiple threats and hazards, every action must be performed in a mission-critical and fail-safe mode of operation.

The business of DHS is fundamentally driven by how its people engage in activities, collaborations, and networks, as well as command-and-control bureaucracies. Leading in DHS is therefore a challenging undertaking that requires sophisticated leadership skills to develop and reinforce the strategic intent; channel priorities, efforts, and resources; guide, motivate, and coach the involved people; and to properly account for everything that happens or fails to happen—all while many of the involved personnel, assets, and capabilities may not be owned by or within the direct command of DHS.

The media, literature, and DHS employees have argued that the threats that DHS professionals must confront, prevent, or respond to are just too challenging, and perhaps overwhelming, because of their asymmetric, transnational, and limitless nature. There are endless vulnerabilities and challenges, which can attribute to DHS professionals feeling overwhelmed based on the "mission-impossible" nature of their business. DHS leaders, given their even broader scope and responsibilities, most likely experience an annunciated level of pressure. As reinforced by Dr. Christopher Bellavita, faculty for the Naval Postgraduate School's Center for Homeland Defense and Security, "Leading DHS may very well be in the 'too hard to do category,' especially using conventional models of leadership."[34]

---

[33] U.S. Department of Homeland Security, *Department of Homeland Security Strategic Plan Fiscal Years 2008-2013* (Washington, D.C.: DHS, 2008), 4.

[34] Christopher Bellavita, personal communication, September 18, 2008.

C.   LEADERSHIP DYNAMICS FOR STUDY

Leading in the DHS context, therefore, seems to require not only an understanding of core leadership principles, methods, and skills, but how to effectively operate and lead in an environment where the work itself is very difficult (and even complex in many cases), and the stakes are high. To do this, this thesis purports that DHS needs to consider new approaches for leading in order to establish and champion a fundamental understanding of how its leaders can contribute to its success.

The term "leadership" might seem vague, elusive, and far too vast a topic for one to capture and frame into a prescribed methodology, or "leadership in a box," for easy application and consumption by leadership practitioners. It is estimated that the academic literature alone provides for more than 35,000 definitions of leadership.[35] There is also a large variety of leadership philosophies, programs, approaches, and techniques that are touted by governments, consultancies, media outlets, academia, "think tanks," and many other entities around the globe. Furthermore, there are significant, multifaceted underpinnings and external factors that shape and affect leadership, such as politics, culture, language, economics, values, and social mores. It is easy, therefore, for many individuals to regard leadership as a mysterious, ambiguous, and veneer art and not as a discipline or field of study for concrete, hands-on application. While leadership may have become cliché in today's vernacular, this thesis supports the notion that leadership is a critically important function, process, notion, art, science (or however one wants to characterize it) that *can* be studied, developed, and applied so that ultimately, the collection of people (the organization) can more effectively achieve a desired end state.

It is often understood that for organizations to remain competitive in today's global environment, they must be agile and capable of quickly responding to the dynamics of the market.[36] Organizations that successfully evolve to meet the ever-

---

[35] Annie Pye, "Leadership and Organizing: Sensemaking in Action," *Leadership* 1, no.1 (2005): 32.

[36] Philip Say and Roman Bukary, "Compressing the Decision Cycle for Competitive Advantage," in *People, Performance, Profit: Maximizing Return on Human Capital Investments*, ed. Alexandra Wharton 12 (San Francisco, CA: Montgomery Research Inc., 2005)..

changing demands of the global economy are often regarded as "high-performers."[37] Specific to this research, the hypothesis was centered upon the critical role that leadership plays in affecting individual and organizational performance, particularly within the context of dynamic, unpredictable, and rapidly changing circumstances. In other words, the premise was that organizations like DHS need focused and deliberate leadership that espouses sufficient entrepreneurship, innovation, flexibility, and a mission-orientation to enable their professionals to adeptly carry out the work in a manner that moves the organization forward.

At a time where it has never been more critical for organizations to unleash the potential of their workforces,[38] a key challenge is for organizational leadership and management strategies to keep up with the changes in the global marketplace. This task is especially daunting given the increase in economic turbulence, market turmoil, and geopolitical instability.[39] In fact, most organizations, including governmental, corporate, and private, face increasing survival challenges if they continue to resort to the old rules. However, the new rules are not readily known nor understood, and they are further complicated by the paradoxical nature involving the optimization of the human dimension.[40] Nonetheless, it *is* known that new skills are needed among workers (especially leaders) to meet the challenges of today's dynamic environment. This requires a scale of perspective much larger than anything that has been dealt with before by DHS leaders.[41] Given the broadening scale of operations, increasingly diverse stakeholders, changing mission requirements, and advancing technology, new approaches

---

[37] Peter Cheese, "Disturbing the System," in *People, Performance, Profit: Maximizing Return on Human Capital Investments*, ed. Alexandra Wharton, 56 (San Francisco, CA: Montgomery Research Inc., 2005).

[38] William D. Green, "Achieving High Performance through Your Workforce," in *People, Performance, Profit: Maximizing Return on Human Capital Investments*, ed. Alexandra Wharton 4 (San Francisco, California: Montgomery Research Inc., 2005).

[39] Robert J. Thomas and Peter Cheese, "Leadership and High Performance Business: Experience is the Best Teacher," in *People, Performance, Profit: Maximizing Return on Human Capital Investments*, ed. Alexandra Wharton 37 (San Francisco, California: Montgomery Research Inc., 2005).

[40] Green, "Achieving High Performance," 5.

[41] Robert Bach, personal communication, January 4, 2008.

are needed. This thesis purports that it is the <u>leaders</u> that must engage this process by employing leadership strategies that provide all levels within the organization the space to perform in this context.

D.   RESEARCH QUESTION

This thesis studies strategic leadership issues within DHS. The research question that this research has sought to address is:

> Are there new strategies for leading in DHS that: 1) help DHS leaders achieve a higher level of individual and organizational performance given organizational, functional, and technological challenges; and 2) enable DHS to more effectively synchronize towards achieving its *Organizational Excellence Strategic Goal (Goal 7)* that was established upon the formation of DHS?

> Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability, and teamwork to achieve efficiencies, effectiveness, and operational synergies.[42]

> The research question was approached through a study of:

> - The recommendations and findings offered by the literature on strategic leadership issues.

> - The leadership practices, traits, and strategies of non-DHS senior leaders (executive leaders, external to DHS, who have faced similar challenges as DHS leaders).

> - The impressions from DHS managerial-level professionals concerning leadership in DHS.

> - The leadership practices, traits, and strategies of DHS senior leaders.

An in-depth review of the literature, as well as research on the leadership strategies and methods that have been adhered to by recognized, successful senior executives external to DHS, has been fundamental to gleaning a "fresh" perspective on

---

[42] DHS, *Strategic Plan*, 8.

leadership. These leaders have demonstrated effective leadership in challenging organizations similar to DHS in scale, operational complexities, and dynamic operational environments.

E. RESEARCH CLAIM

The primary claim of this research is that DHS needs to develop, implement, and champion a well-thought-out leadership strategy that supports DHS leaders at all levels given their inherently difficult and dynamic responsibilities. Furthermore, such a leadership strategy, if acted upon organization-wide, would help DHS leaders to be more effective in their pursuit to secure the United States' homeland. This research therefore seeks a leadership strategy that if set forth, supported, executed, measured, and reinforced organization-wide, will contribute to a higher level of individual and organizational performance.

While DHS has a strategic plan that specified *Goal 7* as an imperative, the plan does not address the leadership support that this thesis suggests is needed. For example, the term "leadership" is only cited once in the DHS strategic plan, and "leader" (in the context of DHS leaders) is only cited in three sentences.[43] In all cases, the context where "leader" or "leadership" was used, does not articulate leadership imperatives. In the newly released DHS *Strategic Plan*, the terms "leadership" and "leader" were used more frequently; however, these terms were not used in a manner that articulated the strategic intent for how "leaders" or "leadership" would be used to advance DHS's newly coined five strategic goals.[44]

It is important to emphasize that this study of leadership does not imply that the DHS leadership cadre or the workforce is inadequate, unskilled, incompetent, or unprofessional. DHS has come a long way since its establishment in 2003; furthermore, the United States homeland has not been successfully attacked since 2001. No matter the rationale that one employs, the researcher's implication for this study is that:

---

[43] DHS, *Strategic Plan*, 33, 40, 54, 56.

[44] DHS, *Fiscal Years 2008-2013*, ii, 5, 14, 19, 22, 30, 36.

- Dynamic leadership, organizational mechanisms, and ethos are needed for DHS – as an interconnected strategy - to effectively plan, prevent, prepare for, and respond to the full spectrum of security issues that face the homeland.

- Dynamic response and high performance can only be realized as a result of leadership paving the way – enabling, modeling, and reinforcing what and how business is to be conducted.

These factors underpin the premise that leadership in DHS is worthy of consideration and analysis. DHS is uniquely dependent upon leaders who are required to guide and influence its people, processes, and systems through the integration of its multiple, but separate and decentralized, agencies into a fully functional organization. This analysis of leadership in DHS has the potential to offer the United States government insight on how leadership can enable or disable individual and organizational performance.

II. RESEARCH METHOD

To answer the research question, the researcher conducted interviews, performed content analysis, conducted focus groups, and developed a study of:

- The recommendations and findings offered by the literature on strategic leadership issues.

- The leadership practices, traits, and strategies of non-DHS senior leaders (executive leaders, external to DHS, who have faced similar challenges as DHS leaders).

- The impressions that DHS managerial-level professionals have concerning leadership in DHS.

- The leadership practices, traits, and strategies of DHS senior leaders.

The findings of this research were based on key themes that formed as a result of the information derived from the four key research sources that are detailed in the following sections. The themes are presented as key findings, and in some cases, recommendations for how DHS may be able to increase its level of leadership and organizational fitness as it carries on into the future.

Most of the in-person interviews and focus groups were recorded. Three interviews and one focus group were not recorded (but notes were taken throughout the sessions). In addition, there were two phone interviews that were not recorded, as highly detailed note-taking was easily achievable given the lack of face-to-face contact. The interview questions were open-ended which allowed respondents to tell the researcher what they thought were the most important aspects of their leadership experience (the interview questions can be found in Appendix III). To organize, code, and derive themes from the data, the researcher organized the data in accordance with the following method:

- Data were organized and captured into a "master" interviewing database.

- Data were reviewed multiple times to assess and interpret the content and determine possible themes or categories.

- Categories and themes (and/or subcategories and sub-themes) were identified and classified.

- Data were integrated and summarized, and relationships were depicted.[45]

A. NON-DHS SENIOR LEADERS

Interviews were conducted to evaluate leadership strategies and actions of non-DHS leaders that have demonstrated "leadership done right" — leaders that have achieved success despite significant challenges in ambiguous, tenuous environments. Included were leaders who have had extensive leadership experience with large, complex issues and operating environments that may be considered analogous to the leadership challenges and environment that DHS leaders have faced. These leaders have demonstrated identifiable leadership methods, skills, and behaviors that have contributed to their success and effectiveness in building their institutions even though they faced formidable economic, organizational, or other challenges (e.g., serious wartime situations, political divides, resource constraints, etc.).

Sixteen interviews of non-DHS leaders were conducted and consisted of Chief Executive Officers (CEOs), Senior Vice Presidents, and Senior Executive Officers of major corporations across multiple industries; CEOs of public service organizations, including a state governor; and executives from other non-DHS federal departments (civilian and military). These leaders were selected for this project based on their reputation as worthy examples of effective leadership based on a personal or professional connection with the researcher, or based on referrals from other highly regarded executive leaders.

B. DHS SENIOR LEADERS

Following the interviews with non-DHS executives, interviews were conducted to analyze the leadership strategies and actions of DHS senior executives. This group of interviewees consisted of thirteen DHS Senior Executive Service (SES) employees from

---

[45] Paul D. Leedy and Jeanne Ellis Ormrod, *Practical Research, Planning and Design*, 8th Ed. (Upper Saddle River, New Jersey: Pearson Education, Inc., 2005), 150-151.

the component organizations as well as from DHS headquarters. Some were serving as the most senior leadership of their component, and others were Assistant Secretaries, Assistant Administrators, Deputy Assistant Secretaries, Executive Directors, Chiefs of Staff, or Senior Counselors. Some were political appointees, others were career government employees. Additionally, content analysis was conducted of publications, testimony, speeches, or statements by DHS senior leaders regarding their perspectives on leadership.

C.   DHS MANAGERIAL-LEVEL PROFESSIONALS

Focus groups were conducted to understand the leadership qualities that DHS managerial-level professionals desire in their component leaders as well as their perspectives on the degree to which DHS leaders possess these qualities. DHS "managerial professionals" consisted of General Schedule (GS) employees that ranged from grades GS-13 to GS-15 (or equivalent pay-banding scale in the case of the Transportation Security Administration or equivalent pay grade/rank with respect to the U.S. Coast Guard).

The first focus group consisted of two managerial-level employees (GS-15) from U.S. Customs and Border Protection. The second focus group consisted of seven managerial-level professionals (GS-13 to GS-15 grade levels) from U.S. Immigration and Customs Enforcement, U.S. Citizenship and Immigration Services, the Federal Emergency Management Agency, the Transportation Security Administration, and the U.S. Coast Guard. Data from managerial-level professionals were also collected during multiple in-residence gatherings for the Naval Postgraduate School's Homeland Security Studies Master's program.

D.   LITERATURE REVIEW

The scope of the literature that was reviewed on leadership topics covered a wide-range of publications that focused on leadership in high-stakes, large-scale, and challenging organizational and operational environments. The majority of the literature reviewed in this study focused on how large-scale businesses or public sector

organizations in general (independent of DHS) should go about organizing, leading, and collaborating to become high-performing, successful organizations.

E.   OTHER DATA COLLECTION AND ANALYSIS

Data collection that spanned all of the interviewee populations was conducted at a week-long Homeland Security Executive Leaders Conference in Seattle, Washington. This forum was directed towards enhancing homeland security leaders' capacity to identify and resolve homeland security problems among the nation's local, tribal, state, federal government and private sector homeland security officials. Leadership was the primary topic for this conference. Both managerial-level and senior executive DHS professionals, from every DHS component organization, were present at this conference. Additionally, managerial and executive-level officials external to DHS, from state, local, tribal, and even a private organization (Amtrak) with homeland security imperatives, participated in this conference.

To summarize, Table 1 depicts the various sources from which data was collected and analyzed through this research project:

Table 1.   Research Sources

RESEARCH SOURCES	
NON-DHS	**DHS**
Review of General Leadership Literature	Review of DHS Leadership Literature
NON-DHS SENIOR LEADERS (*multiple interviews)	**DHS SENIOR LEADERS** (*multiple interviews)
Private Sector Senior Leaders	Office of the Secretary (DHS)
*Accenture, Ltd	*Office of Policy (DHS)
American Express Corporation	U.S. Immigration and Customs Enforcement (ICE)
General Motors Corporation	Domestic Nuclear Detection Office (DNDO)
Ruan Transportation	Federal Law Enforcement Training Center (FLETC)
Tampa Tank, Incorporated	Federal Emergency Management Agency (FEMA)
Walter Industries, Incorporated	U.S. Customs and Border Protection (CBP)
	National Protection and Programs Directorate (NPPD)
Public Sector Senior Leaders	*Transportation Security Administration (TSA)
Governor of a State	*U.S. Citizenship and Immigration Services (USCIS)
(Former) City Mayor & Chief of Staff for State Governor	United States Coast Guard (USCG)
Port Authority of NY & NJ	**DHS MANAGER LEVEL PROFESSIONALS**
Department of Energy (Y-12, National Security Complex)	Federal Emergency Management Agency (FEMA)
State Commissioner of Education	Transportation Security Administration (TSA)
University of Tampa	U.S. Immigration and Customs Enforcement (ICE)
Defense Logistics Agency	U.S. Citizenship and Immigration Services (USCIS)
	U.S. Customs and Border Protection (CBP)
U.S. Military Senior Leaders	United States Coast Guard (USCG)
U.S. Army General Officer	
The Adjutant General (TAG) of a State (also a U.S. Army General Officer)	
Combined (DHS and Non-DHS) Sources	
Homeland Security Executive Leaders Conference - local, tribal, state, federal government and private sector homeland security officials (both DHS and non-DHS professionals)	

THIS PAGE INTENTIONALLY LEFT BLANK

III. LITERATURE REVIEW

The scope of the literature review on leadership covered a wide-range of publications that addressed leadership in high stakes, large-scale, and challenging organizational and operational environments. While there is a limited amount of DHS-specific literature on leadership subjects, likely due to the relatively recent inception of DHS in 2003, there is significantly more leadership literature that is not specific to DHS. However, the non-DHS specific literature on the topic is still relevant, as the leadership issues, solutions, and mechanisms that other large-scale, complex entities have experienced have cross-over commonalities with DHS.

The majority of the literature reviewed in this study focused on how large-scale businesses or organizations in general (independent of DHS) should go about organizing, leading, and collaborating to become high-performing, successful organizations. The literature that described successfully leading high-performing and challenging organizations consisted of research papers, position papers, books, and other publications about leadership effectiveness in large organizations. The literature is varied in terms of its depth, breadth, and reading level. For example, while much of the literature tended to be "on-the-job" or "practitioner-oriented," other publications were more academic and theoretically-based.

The sources principally consisted of articles from professional journals, but the available literature also included books, reports, and other types of materials (e.g., websites, newspaper articles, and presentations). The sources were diverse in terms of the depth and breadth. Some publications focused on a single aspect of leadership, while others maintained a broader focus that detailed multiple aspects of leadership. The sources that were reviewed for this study had the following orientations:

- Academic.
- Practitioner.
- Government / public sector.

- Non-Governmental Organizations ("think tanks" or advocacies).
- Private sector / commercial industry.

The literature was further divided into the following literature subtopics based on commonalities specific to the leadership aspect that was focused on by the respective authors:

- Complexity: claims that leadership, especially within the homeland security context, is inherently complex and challenging, and how complexity theory and related propositions apply to the organizational leadership challenges that a large entity encounters (like DHS).

- Leadership Skills and Traits: the skills individual leaders need to be successful in large-scale, high-stakes, and challenging mission and organizational environments.

- Leadership Environment and Culture: the impact that leadership environment has on individual and organizational performance as well as mission effectiveness.

- Leadership Development: the criticality of leader development in complex, high-stakes organizations.

- Organization Alignment and Effectiveness: how leadership and organizational structures and methods (e.g., coordination and collaboration) serve as key enablers to leadership effectiveness and impact individual and leader performance and mission outcomes.

- Organizational Leadership Strategy: the overarching leadership strategy that supports everything from an organizational leadership perspective.

The major points, themes, and arguments existing in the literature were broken down into the subtopics cited above, and they are further detailed in the following sections (A through F):

A.   COMPLEXITY

1.   Summary of Arguments

The literature indicated that the homeland security mission is complex and that success in a complex and dynamic environment, at all levels, requires a well-led organizational system that is capable at operating amidst complexity. "Complex" in this

context is best described by Dr. Christopher Bellavita as the space where one only knows cause and effect <u>after</u> the fact, that is, what appears to be logical after an occurrence is only one of many other logical outcomes that could have been possible.[46] Furthermore, the literature suggested that the application of leadership in-and-of-itself, given inherent organizational challenges, can be complex. The environment along with the variation of issues that homeland security professionals are tasked to face are evermore complex because they are asymmetric, transnational, and the vulnerabilities of the organization are endless.

Figure 5 (below) depicts complexity in the context of a larger framework of this theory. C. F. Kurtz and D. J. Snowden depict a complexity model whereby two of the four domains are either known or are knowable. The remaining two domains are un-ordered, reflecting complexity or chaos (see Figure 5 below).[47] The business of homeland security has not been characterized by the literature as necessarily chaotic or un-ordered, although it can become that way (i.e., how many have characterized the aftermath of Hurricane Katrina). The preponderance of reviewed literature on the topic of complexity characterized the environment to be most often complex, as it related to leadership (within or separate from the business of homeland security).

---

[46] Christopher Bellavita, "Shape Patterns, not Programs," *Homeland Security Affairs Journal* 2, no.3 (2006): 6.

[47] Cynthia F. Kurtz and David J. Snowden, "The New Dynamics of Strategy: Sense-Making in a Complex and Complicated World," *IBM Systems Journal* 42 (2003): 468-469.
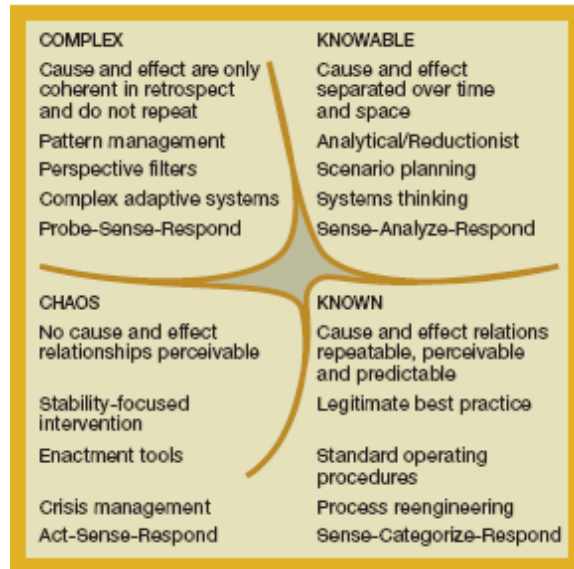
Figure 5.   Cynefin Domains[48]

As written by Nola Joyce, faculty for the Naval Postgraduate School's Center for Homeland Defense and Security, in her thesis about homeland security leadership:

> Complexity theory can help describe the process as an organization begins to morph into something new — or dies.   Such is the time for organizations involved in homeland security. This phenomenon is seen as the Department of Homeland Security works through the issues of combining multiple institutions under one umbrella, as the Federal Emergency Management Agency responded (or not) to Hurricane Katrina, and as the National Capital Region plans for all- hazard events. There are lessons to be taught if we are willing to look at the mess of complexity and appreciate how to work within it.[49]

Likewise, Dr. Bellavita asserted that the challenges and issues that homeland security professionals face are too complex and un-ordered (and as he described, "too wicked") to be effectively resolved or managed by predetermined and ordered processes.[50] He wrote that the "leadership task" is to sort through the strategic elements

---

[48] Kurtz and Snowden, "New Dynamics," 468.

[49] Nola Joyce, "Can You Lead Me Now? Leading in the Complex World of Homeland Security," (master's thesis, Naval Postgraduate School, 2007) 3.

[50] Bellavita, "Shape Patterns," 4.

of disorder and determine what methods or knowledge can help remedy it. Conversely, if the leader deems an element to be an "un-ordered" problem or situation, he or she must take action to control it.[51] Similarly (although not specifically pertaining to the homeland security environment), Philip Atkinson, a consultant who specializes in strategic, behavioral, and cultural change wrote that the mission complexity of most large organizations in today's environment requires continuously flexible mechanisms that allow for a high degree of variability, uncertainty, disorder, and change in the environment.[52]

University professors Richard Osborn, James Hunt, and Lawrence Jauch explained in their jointly-written piece that leadership is complex because it is not something that one can "do" as a separate function; its dimensions emerge from actions and interactions which are unlike a decision, or a discrete event that one can directly and objectively observe.[53] It is a subjective pattern of influence attempts which stem from numerous intentions and contexts—they are different, dynamic, and not predictable.[54] The same authors contend that leadership is, therefore, a construct embedded within a unique, complex context.[55] They also posited that leadership alone is complex because the context of leadership has become more complex (given recent operational and organizational environments), and the context in which leaders must operate is radically different and diverse. Accordingly, leadership in this context cannot exist or work in a vacuum, but must be orchestrated among multiple factors such as environment, organization, technology, and structure.[56]

Crossan and Mazutis wrote that today's era of globalization, perpetual technological innovation, and the "knowledge worker" has contributed to unprecedented

---

[51] Bellavita, "Shape Patterns," 15.

[52] Philip Atkinson, "Managing Chaos in a Matrix World," *Management Services* 47, no. 11 (2003): 8-11.

[53] Richard Osborn, James Hunt, and Lawrence Jauch, "Toward a Contextual Theory of Leadership," *Leadership Quarterly* 13 (2002): 805.

[54] Ibid., 805.

[55] Ibid., 832.

[56] Ibid., 798.

complexity, dynamism, and uncertainty, making the environment exceedingly fast-changing, disruptive, hostile, and turbulent.[57]   They wrote that leaders today face particular demands based on the requirement for them to interpret the environment, craft the necessary strategy, and build an organization that thrives in this context.[58]   They contended that leaders in today's increasingly complex and dynamic environments would greatly benefit from "mastering themselves" ("leadership of self") by being self-aware and self-regulating in addition to leading the people within their organizations. They asserted that this enables the leader to have a filter that helps them better align their leadership values, beliefs, and strategies with what the environment requires, as opposed to being consumed by the noise that is provided by the some 5,000 leadership fads that business books "tell" them to do.[59]   They concluded that for leaders to achieve performance in today's complex environment, they need to master the "leadership of self", others, and the total organization (and potentially the society), a concept that has been become known as "transcendent leadership."[60]

Chris Huxham and Siv Vangen claimed that research has shown that there is often ambiguity and complexity inherent in leading collaborations because:

- There is no clear or commonly agreed upon sense of who should be influenced as compared to "conventional" command and control organizations.

---

[57] Richard A. Bettis and Michael A. Hitt, "The New Competitive Landscape," *Strategic Management Journal* 16. (1995): 7-19; Shona L. Brown and Kathleen Eisenhardt, *Competing on the Edge: Strategy as Structured Chaos* (Boston: Harvard Business School Press, 1998); Richard D'Aveni and Robert Gunther, *Hypercompetition: Managing the Dynamics of Strategic Maneuvering* (New York: Free Press, 1994); Donald. C. Hambrick, David Nadler, and Michael Tushman, *Navigating Change* (Boston: Harvard Business School Press, 1988); Michael A. Hitt, Barbara.W. Keats, and Samuel M. DeMarie, "Navigating in the New Competitive Landscape: Building Strategic Flexibility and Competitive Advantage in the 21st Century," *Academy of Management Executive* 12, no. 4 (1998): 22-42; Duane Ireland and Michael A. Hitt, "Achieving and Maintaining Strategic Competitiveness in the 21st Century: The Role of Strategic Leadership," *Academy of Management Executive* 19, no. 4 (2005): 63-77; David A. Nadler and Michael L. Tushman, "The Organization of the Future: Strategic Imperatives and Core Competencies for the 21st Century," *Organizational Dynamics* 28, no. 1 (1999): 45-60; all in Mary Crossan and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008): 133.

[58] Crossan and Mazutis, "Transcendent Leadership," 133.

[59] Ibid., 132.

[60] Ibid.

- Defining and agreeing upon shared goals is very difficult given the multitude of constraints and organization-specific goals that are brought to bear.[61]

In this context, this complexity can be applied to DHS given its inherently collaborative properties as it seen through its myriad of federal, state, and local partners and non-governmental stakeholders. The authors conclude that carrying out any "leadership activities" through to completion in this context of collaboration is highly consuming; it requires very large amounts of resources, skill, energy, commitment, and continual nurture by the leader.[62]

A McKinsey Consulting interview of Gary Hamel revealed that reinventing management requires aggressive objectives; however, complex organizations that are in need of "fixing" should not be torn apart and re-channeled all at once. This would result in exposing the organization to an unacceptable insupportable level of operational risk. Thus, complex organizations must approach change and reengineering in an innovative, purposeful, and creative manner.[63] Further, Hamell asserted that the traditional principles that have served as the basis for management structures – standardization, hierarchy, etc. are not adequate for today's complex challenges.[64]

John Storey wrote that today's business and organizational environments have changed such that people are required to deal with increased uncertainty, instability, regulations (and de-regulation), and competitiveness.[65] He wrote that strong organizational leaders are required who can handle such difficult and ambiguous

---

[61] Chris Huxham and Siv Vangen, "Leadership in the Shaping and Implementation of Collaboration Agendas: How Things Happen in a (Not Quite) Joined Up World," *Academy of Management Journal* 43, no. 6 (2000): 1160.

[62] Ibid., 1171.

[63] Joanna Barsh, "Innovative Management: A Conversation with Gary Hamel and Lowell Bryan," *McKinsey Quarterly* 1 (2008) 7.

[64] Ibid., 9.

[65] John Storey, "What Next for Strategic Level Leadership Research," *Leadership* 1, no. 1 (2005) 93.

conditions through exceptional skills.[66]   Storey also wrote that merely the skill of handling complexity that is involved in leading innovation is an important competency for leaders.[67]

David Snowden and Mary Boone wrote that in the face of increased complexity in today's environment, intuition, smarts, and charisma are not sufficient to achieve success – but instead leaders need tools and approaches to guide their actions through these unfamiliar and difficult challenges.[68]   They wrote that leaders are often called to act in a way that may be contrary to their natural instincts. This requires leaders to "know" a lot of things – maybe not about their current problem or challenge – but about how to effectively navigate their organizations and apply resources through ambiguous and tenuous environments. This requires a deep understanding of the context with skills to understand how to embrace the situation and a willingness to set forth to make forward progress given such uncertain situations.[69]

Peter Cheese, Managing Partner of Accenture's Human Performance service line, wrote that organizations should be viewed less as fixed structures and more as "complex adaptive systems," like an ecosystem.[70]   Given this view, he wrote that senior leaders should see their role not only as a manager or a director, but as a "distributor of the system," whereby their role is to establish context, provide momentum, and then encourage the people to innovate and make progress.[71]

Specific to DHS, Peter Eisinger wrote that DHS's mission is inherently challenging and complex based on its centralized construct and it's seemingly conflicting mission requirement to prevent and respond to local issues and stakeholders.[72]   Donald

---

[66] John Storey, "What Next for Strategic Level Leadership Research," *Leadership* 1, no. 1 (2005) 94.

[67] Ibid., 98.

[68] David J. Snowden and Mary E. Boone, "A Leader's Framework for Decision Making," *Harvard Business Review*, Reprint no. R0711C (2007): 8.

[69] Ibid., 8.

[70] Cheese, "Disturbing the System," 56.

[71] Ibid., 56.

[72] Peter Eisinger, "Imperfect Federalism: The Intergovernmental Partnership for Homeland Security," *Public Administration Review* 66, no. 4 (2006): 537-545.

Kettl wrote that DHS has been the most complicated restructuring in U.S. history; 22 federal agencies with over 165,000 employees have been combined into a super-agency to secure the U.S. homeland – vastly trumping other restructurings (e.g., stand-up of the Departments of Educations, Energy, and the Veterans Administration).[73] A panel report by the National Academy of Public Administration (to recommend changes for the impending 2009 Presidential change of administration) wrote that any challenge DHS faces is compounded by the complexity and importance of its mission, the newness of the organization itself, and the continually-changing spectrum of operational issues that DHS must constantly face.[74] Similarly, in a report to the Secretary of DHS about DHS's challenges, the Homeland Security Advisory Council described homeland security as a "complex and newly emerging profession" and as an organization that provides "some of the most complex policy and operational challenges faced by any executive agency."[75]

2   Literature Critique

The literature on complexity was developed principally by academic authors and sources. The literature went beyond mere conjecture, as these academic-oriented authors (particularly Bellavita, Osborn, Hunt, and Jauch) provided significant supporting evidence to their claims. While the authors described approaches to address this complexity, their approaches were perceived to be more academic, or theoretical in nature, making it difficult to readily understand how their ideas can be directly applied from a practitioner's standpoint.

The review of the leadership literature on complexity provided the impetus for reflection by the researcher based on this presumed contradiction: if DHS is working in the realm of complexity, then this seems to implicitly argue against a fixed framework for leadership. However, the following finding from Accenture's Peter Cheese seems to

---

[73] Donald F. Kettl, "Contingent Coordination: Practical and Theoretical Puzzles for Homeland Security," *The American Review of Public Administration* 33, no. 3 (2003): 259.

[74] National Academy, *Presidential Transition*, 7.

[75] Homeland Security Advisory Council, *Top Ten Challenges Facing The Next Secretary of Homeland Security* (Washington, D.C.: Department of Homeland Security 2008), 6.

sufficiently refute this. Leading in a complex system "…is not about practicing some esoteric art form with ill-defined boundaries and approaches."[76]

In contrast, he asserted that there *are* proven methods, tools, technologies, and approaches that can help enable success and progress in this endeavor—and to do this, the leader must master the "context," the organizing principle that drives their priorities.[77] The author's argument is that leaders and organizations can achieve success even during times of extraordinarily rapid change as long as they 1) innovate from the bottom-up; 2) develop a culture of ubiquitous leadership and innovation; 3) engage the organization; 4) develop skills and behaviors in the workforce; and 5) measure progress.[78] As written by Cheese, "They [successful organizations] are able to exist with uncertainty and contradiction yet still can act and execute effectively."[79] In short, while the complexity of the situation must be acknowledged and understood, leaders can achieve success by defining the context and taking specific steps in concert with their workforce towards their established objectives.

B.   LEADERSHIP SKILLS AND TRAITS

1   Summary of Arguments

Generally, the literature describes common principles of leadership behaviors and practices that can result in positive organizational or mission outcomes. These include the demonstration of integrity, articulation of vision, development of people (with an emphasis on innovation) mission-accomplishment, collaboration, and teamwork. Directly applying this theme to DHS, the inference is that effective leadership skills are needed for leaders to meet the challenges in DHS's operational and organizational environment.

---

[76] Cheese, "Disturbing the System," 56.

[77] Ibid.

[78] Ibid., 57-59.

[79] Ibid., 56.

Effective execution of leadership in today's environment requires vision, knowledge, dynamism, an urgent response ethos, and mission-focus given organizational, functional, and technological complexity. According to Peter Cheese and Robert Thomas, this is supported by the consensus of industry and government leaders who confirm that the quality and capabilities of an organization's leaders can enable or disable success and potential for future progress.[80]

As presented by Michael Harris, the practice of leadership is both an art and a science. Leaders need to refine and combine skills to lead people to the desire to exceed expectations:

- **Art**: Emotional; individualistic; contingency-based – motivating team members and energizing the group; addressing conflicts and promoting team work; working with variety of personalities.

- **Science**: Rational; systematic; information-based; information about leadership – what people expect (honesty, communication, competence, motivation); planning; programming; prioritizing.[81]

According to authors Hill, Gordon, and Kim, a common challenge is that, unlike basic practices that can be demonstrated vis-à-vis procedural steps, there are no prescribed methods or formulas that leaders follow to achieve success.[82] Thus, the practice of leadership that involves employing a mix of leadership behaviors in various situations has been referred to as an art and a science. As Andrew Garfield wrote as part of his analysis of the Irish Republican Army's leaders, there is no single leadership practice used by leaders; however, successful leaders tend to combine a number of practices and styles to yield the best effect.[83]

---

[80] Thomas and Cheese, "Leadership," 4.

[81] Michael Harris, "Leadership in a Time of Crisis: The Shackleton Way" (lecture, Siena Heights College, Adrian Michigan April 9, 2003).

[82] Randall W. Hill Jr., Andrew Gordon, and Julia M. Kim, *Learning the Lessons of Leadership Experience: Tools for Interactive Case Method Analysis* (Los Angeles: Institute for Creative Technologies, University of Southern California, 2004), 1.

[83] Andrew Garfield, "PIRA Lessons Learned: A Model of Terrorist Leader Succession," *Low Intensity Conflict and Law Enforcement* 11, no. 2 and 3 (2002): 282.

However, Keith Grint disagreed with the notion that the demonstration of leadership skills is both an art and a science; he posited that leadership is an ensemble of arts.[84] He wrote that four particular arts mirror the central features of leadership:

- The invention of an identity.

- The formulation of a strategic vision.

- The construction of organizational tactics.

- The deployment of persuasive mechanisms to ensure followers actually follow.

In summary, leadership is concerned with skills that establish and coordinate the relationships between the who, the what, the how, and the why. While science may help the leader and the organization achieve success, leadership requires fundamentally subjective skills whereby the application is more accurately considered an art.[85] The following excerpt from Grint's book summarizes his art-science argument:

> ...leadership is not a science but an art; it is a performance not a recipe; it is an invention not a discovery. If it was a science, we could reduce the essence down to a parsimonious set of rules and apply the result with confidence.[86]

Robert and Janet Denhardt wrote that leaders must be effective change managers who:

- **Assess** the organization's environment and the need for change.

- **Plan** strategically and pragmatically for change.

- **Build** support for the change process both through communication and modeling their behavior.

---

[84] Keith Grint, *Arts of Leadership* (New York: Oxford University Press, Inc., 2000), 27.

[85] Ibid., 27.

[86] Ibid., 417.

- **Implement** changes – and in doing so – encouraging a broader positive attitude to change and innovation.

- **Institutionalize** the change.[87]

The Denhardts also emphasized that a leader's learning capacity is of utmost importance – especially as it relates to knowing themselves, their values, their stakeholders, their organization, and the governance authorities (business acumen).[88] Congruent with the emphasis on change capabilities of leaders, the research findings of W. Chan Kim and Renee Mauborgne find that once the beliefs and energies of the critical mass of the organization are engaged, the adoption of a new idea will "spread like an epidemic," bringing the change very quickly.[89]   Citing the theory of "tipping point leadership," they wrote that such a movement for change can only be realized when the leaders:

- Make unforgettable and unarguable calls for change.

- Concentrate their resources in support of this.

- Mobilize the commitment of the organization's key players.

- Silence the cynics.[90]

John Storey wrote that leaders need to be skilled at handling two very different processes:

- Exploitation of current, configured assets.

- Exploration of new combinations of assets.[91]

---

[87] Robert Denhardt and Janet Vinzant Denhardt, "Leadership for Change: Case Study in American Local Government," *Grant Report*, Arlington, Virginia: PricewaterhouseCoopers Endowment for the Business of Government (1999): 5.

[88] Ibid., 5.

[89] W. Chan Kim and Renee Mauborgne, "Tipping Point Leadership," *Harvard Business Review* (2003): 62.

[90] Ibid., 62.

[91] Storey, "What Next," 98.

Jim Collins and his research team found that all of the "great" companies had leaders that demonstrated traits of duality: modest, willful, humble, and fearless.[92] This translates into the demonstration of the following actions and traits:

- Utmost ambition first for the organization's success as opposed to their individual gain as well as deep modesty.

- Undeniable modesty (not "false modesty" but rather descriptors like quiet, humble, reserved, shy, gracious, mild-mannered, understated, etc.).

- Steadfast resolve – getting done what must be done.[93]

Research by the Corporate Leadership Council revealed that having high-quality management is a top employee preference (it ranked second in importance behind base pay), and this preference has significantly increased in importance over time.[94] That is, higher skill level (thus, the higher the quality) possessed by a management team translates directly into more value that employees place on the job.[95] Likewise, they found that there is a significant penalty (from the employee's perspective) associated with a poor quality, less-skilled management team.[96]

An interview by *McKinsey Quarterly* with Richard Rumelt revealed that the most important skill requirement of a leader is for him or her to be adept at absorbing a significant chunk of the ambiguity in the situation and delegating much less ambiguous problems to subordinates.[97] In short, the leader defines and clarifies the problems and challenges for his or her entire organization so that everyone else can get to work.[98]

---

[92] Jim Collins, *Good to Great* (New York: Harpers Collins Publishers, 2001), 22.

[93] Ibid., 25-30.

[94] Corporate Leadership Council, *The Compelling Offer Revisited, Changes in Employee Preferences Across Time (*Washington, D.C.*:* CLC Solutions, 2002), vii.

[95] Ibid., 24.

[96] Ibid., 25.

[97] The interviewee specifically uses the term "manager" but then describes an example with the CEO; thus, this has been interpreted to mean "leader" in this context.

[98] Dan P. Lovallo and Larry T. Mendonca, "Strategy's Strategist: An Interview with Richard Rumelt," *McKinsey Quarterly*, (2007): 8.

As quoted by Naill Fitzgerald, the former Chairman of Unilever, in Stephen M. R. Covey's book on trust, "You can have all the facts and figures, all the supporting evidence, all the endorsement that you want, but if you don't command trust, you won't get anywhere."[99] Covey wrote that trust is a combination of two leadership attributes: competence and character.[100] He asserted that the ability to grow and foster trust is not only vital to one's personal well-being, but it is the key leadership competency of today's global economy.[101] He wrote that when leaders build and foster trust in an organization, they will reap the following organizational dividends: high collaboration and partnering; effortless communication; positive, transparent relationships with employees and stakeholders; fully aligned systems and structures; and strong innovation, engagement, confidence, and loyalty.[102] Covey referenced the methods of recognized leaders as well as existing theory to support his "competence + character = trust" formula:

- Jack Welch (former CEO of General Electric) judges managers on how they "live the values" (character) and "deliver results" (competence).

- Warren Buffet (CEO of Berkshire Hathaway) emphasizes "integrity" (character) and "intelligence" (competence).

- Ram Charan (author and consultant to Fortune 500 CEOs) emphasizes being a "leader of the people" (character) and a "leaders of the business" (competence).

- Leadership theory is about what a leader "is" (character) and what a leader "does" (competence).

- Performance modeling considers "attributes" (character) and "competencies" (competence).

- Ethics theory says, "Do the right thing" (character) and "Get the right thing done" (competence).

---

[99] Stephen M.R. Covey, *The Speed of Trust* (New York, Free Press, 2006), 4.

[100] Ibid., 30.

[101] Ibid., 2.

[102] Ibid., 24.

- Decision-making approaches attempt to balance the "heart" (character) with the "head" (competence).[103]

R. E. Quinn, Crossan, and Mazutis wrote that executives must be skilled in carrying out eight distinct roles at the same time: innovator, broker, facilitator, mentor, coordinator, monitor, producer, and director.[104]   Similarly, to affect organization-wide performance, it was posited by Quinn (as well as Hart) that chief executives must be highly skilled in four areas: vision-setter, motivator, analyzer, and task master.[105]

Specific to homeland security leaders, authors Leonard Marcus, Barry Dorn, and Joseph Henderson synthesized the skills that they deemed critical for a concept about "meta-leadership" (which is further described as a leadership strategy in paragraph F).

1. Courage – despite significant resistance, persists in forging the system-wide mission, focus, and connectivity necessary to build a network of readiness.

2. Curiosity – approaches challenges with a calculated measure of humility and curiosity.

3. Imagination – envisions what cannot otherwise be seen.

4. Organizational sensibilities – envisions and constructs complex networks and capacity to enable critical decision-making connectivity.

5. Persuasion – makes the case for seriously accepting threats and then promotes a sound strategy and plan to address them.

6. Conflict management – steps in to resolve emerging differences and keeps everyone on mission and on track.

7. Crisis management – prompts a coordination of effort within the moment of crisis that maximizes the response system's capacity to reduce mortality and morbidity.

---

[103] Covey, *Speed*, 31.

[104] Robert E. Quinn, *Beyond Rational Management: Mastering the Paradoxes and Competing Demands of High Performance* (San Francisco: Josey-Bass, 1988) in Crossan and Mazutis, "Transcendent Leadership," 132.

[105] Stuart L. Hart and Robert E. Quinn, "Roles Executives Play: CEOs, Behavioral Complexity, and Firm Performance," *Human Relations* 46, no. 5 (1993): 543-574 in Crossan and Mazutis, "Transcendent Leadership," 132.

8. Emotional intelligence – derives steadiness, security, and support from within themselves.

9. Persistence – brings and maintains ample perseverance by keeping pace with the flow of surrounding events.

10. Meta-leadership as a valued effort – understands and values the importance of social networking and its direct impact upon the effectiveness of their work during an emergency.[106]

2. Literature Critique

The literature on leadership skills is vast. The key challenge for this subtopic was determining which publications had the greatest degree of equities to the leadership skills that are needed to be successful in the DHS environment. Most of the literature conveyed themes of the particular traits and skills that leaders need in order to be successful. The differences across the literature were noted as they related to the "ideal" skills that a leader should possess. That is, the differences were noted in terms of the authors' views on the *priority* that each of the skills or behaviors should have (i.e., differentiating which skills or behaviors that are most critically needed).

C. LEADERSHIP ENVIRONMENT AND CULTURE

1. Summary of Arguments

The literature on leadership environment described how the environment and the strategies that are established by leaders impact individual and organizational performance and mission effectiveness. Of note, it was observed that the literature tended to interchangeably use the terms "environment" and culture." For purposes of this paper, the term "environment" will be inferred to be synonymous with "culture." Both "culture" and "environment" will refer to the limiting or enabling influences on leadership.

---

[106] Marcus, Dorn and Henderson, "Meta-Leadership," 48-53.

The case study by the Denhardts revealed the significance of an organization's culture and how it needs to be one that emphasizes open communications throughout the organization; involves employees in decisions; involves employees in building links with stakeholders; where employees pursue innovation to make their area of responsibility better; and where change is seen as a positive value (and not to be feared).[107]   The Denhardts also outlined leadership culture attributes that help organizations to achieve success including:

- Culture of openness and widespread communication are the norm, not the exception.

- Culture of quality by reinforcing a strong commitment to customer service.

- An internal culture that is built around continuous and employee-driven improvement.

- Culture of innovation, a constant excitement/interest in change and the value of exploring new ideas as a hallmark.

- Commitment to ethics.

- Change and innovation to be institutionalized over time.

- Continuous growth and change.[108]

Keith Grint wrote that the key leadership "problem" is to develop an organizational culture that prevents the leader from believing that his or her position of responsibility is a reason for his or her supremacy.[109]   He elaborated by positing that the leadership environment is one whereby leaders enable a responsible, mutually-supporting relationship with their followers such that the leaders are:

- In front of, but not on top of their followers.

- Pulling followers after them, not pushing them out in front.

---

[107] Denhardt and Denhardt, "Leadership for Change," 5.

[108] Ibid., 10-14.

[109] Grint, *Leadership*, 420.

- Sharing the way, not just showing the way.[110]

Paula Gordon, Ph.D., a consultant who has done extensive research in the homeland security area, depicted attributes of <u>unhealthy</u> organizational culture in *Paula Gordon's Homeland Security Web Site*:[111]

- Process is more important than purpose.

- Authority is more important than service.

- Form is more important than reality.

- Precedence is more important than adaptability.

In contrast, purpose, service, reality, and adaptability are hallmarks of healthy organizational cultures. Gordon depicted characteristics of healthy cultures:[112]

- Leaders and facilitators use power in nurturing and empowering ways

- Are described as being "high synergy."

- Lessons are continually learned where risk tasking is allowed.

- Messengers are not "killed" (when things go wrong, individuals are not scapegoated – but there is support, forgiveness, and understanding).

Enabling an environment of innovation was also a key finding of McKinsey Consulting. Specifically, Joanna Barsh wrote about the need for organizations to innovate their practices to better cope and succeed in a competitive landscape that is marked by fundamental technological change and globalization.[113] In Gary Hamel's interview by McKinsey, he emphasized the criticality of an organization's ability to create an environment and a "secret sauce" that can get the highest value out of human capital (profiting from talented people). In another words, the opportunity lies with

---

[110] Grint, *Leadership*, 420.

[111] Gerald Caiden, *The Dynamics of Public Administration* (New York: Holt, Reinhart, and Winston, Inc. 1971), 8. in Paula Gordon, "Changing Organizational Culture: Unleashing Creative Energy," Paula Gordon's Homeland Security Web Site, http://users.rcn.com/pgordon/homeland/change_culture.html (accessed February 9, 2008).

[112] Gordon, "Changing Organizational Culture."

[113] Barsh, "Innovative Management," 1-10.

enabling an environment where talent, technology, and organizational design are combined to yield a high-performing, synergistic effect.[114]

John Storey wrote that ultimately, leaders are central to shaping the context and environment in which creativity is encouraged or suppressed.[115] Some organizational cultures can limit leadership potential while others can offer more; for example, "adaptive" cultures of leadership can provide more opportunity to leaders than can static cultures.[116] He wrote that encouraging conflict and open, healthy dialog along with debate about priorities and methods are keys to effectively leading in today's competitive environment.[117] Storey, citing Amabile, also asserted that a critical aspect of leadership is enabling a culture of creativity and innovation. As a case in point, Amabile wrote about three factors involved in enabling a leadership culture that encourages innovation:

- The development of thinking capacity.

- The building of creative ability based on accumulated experience.

- The construction of a creativity-inducing environment that promotes emotional engagement.[118]

Crossan and Mazutis wrote about the importance of leaders enabling the organization to espouse a learning culture, whereby just the willingness of the employees' desires to learn is what fuels forward progress and growth.[119]

Michael Huang wrote specifically about the leadership culture that DHS is seeking to institutionalize, "Team DHS." DHS is seeking to realize this leadership culture so that it can focus on instilling and building on a concept that recognizes the

---

[114]Barsh, "Innovative Management," 4.

[115] Storey, "What Next," 97

[116] Ibid., 94.

[117] Ibid., 96.

[118] Teresa Amabile, "How to Kill Creativity," *Harvard Business Review* (1998); 77-87; John Storey and Graeme Salaman, *Managers of Innovation: Insights into Making Innovation Happen* (Oxford: Blackwell, 2004).

[119] Crossan and Mazutis, "Transcendent Leadership," 137.

heritage and culture already built by the organization.[120]   According to Dr. George Tanner, Chief Learning Officer of DHS: "Under One DHS, components lose their identity. With 'Team DHS,' the Department is looking to assist where it can.," and the challenge that Tanner explains is "ensuring that everyone knows we all work for the same team."[121] A 2008 report by the National Academy of Public Administration claimed that the mix of organizational cultures in DHS has been one of the most significant factors, making the integration of DHS components "one of the most daunting tasks in government" (involving some of the oldest and youngest federal organizations).[122]

2.   Literature Critique

The literature on leadership culture and environment was consistent in terms of message and supporting points. The literature on this sub-topic did not reveal any points of conflict or disagreement.   The DHS leadership culture-focused literature was particularly useful.

D.   LEADERSHIP DEVELOPMENT

1.   Summary of Arguments

The literature described how leaders should be developed to effectively lead in challenging, high-stakes organizations—as well as the mere criticality of organizations having leadership development capabilities. Themes throughout the literature were two-fold:

- An effective leadership development system is needed that provides leaders access to a system that develops, distills, and strengthens critical leadership capabilities required for success in this challenging environment.

---

[120] Michael P. Huang, "After Reorganization: A Leadership Journey," *Public Manager* 36, no. 1 (2007): 67.

[121] Huang, "After Reorganization," 67.

[122] National Academy, *Presidential Transition*, xv.

- A well-thought-out system that combines multiple learning delivery methods can enable an effective leadership development process that has meaningful, lasting impacts on leaders' performance.

Edward Verlander wrote that learning how to effectively lead in the face of the challenges imposed by today's environmental speed, complexity, and intensity can make the difference between an organization's success and failure.[123] Marshall Goldsmith and Howard Morgan wrote about a study of the top twenty private sector companies, which revealed that organizations that invest in well-thought-out leadership development systems achieve higher long-term success.[124]

Robert Thomas and Peter Cheese wrote about a study that found that leaders learned more about leading from work and life experiences as opposed to formal leadership development courses or academic programs.[125] However, the lack of a programmatic, institutional focus on leadership development (by using experiential or on-the-job training only) would not provide the needed consistency, quality, and focus. Therefore, this same study did not suggest disregarding classroom training programs. Rather, it suggested adopting innovative approaches to leadership development that blend formal training, e-learning, coaching, simulation, knowledge-sharing, and practical application that extend and amplify the on-the-job experiences of leaders.[126]

Describing the "how," Krishnaswamy Ramkumar wrote that development should rely a model that espouses strategic partnerships, "master trainers," trusted contractors (consisting of highly renowned private sector companies that can bring the best thinking and expertise on particular subjects), distance learning technologies, trainer-based and independent learning, and widely-promoted, mass learning sessions.[127] Howard Prince took this a step further by explaining that this involves the delivery of a mix of

---

[123] Edward G. Verlander, "Executive Education for Managing Complex Organizational Learning," *Human Resource Planning* 15, no. 2 (1992): 1.

[124] Marshall Goldsmith and Howard Morgan, "Leadership is a Contact Sport, the Follow-Up Factor in Management Development," *Strategy + Business* 36 (2004): 71-79.

[125] Thomas and Cheese, "Leadership," 34.

[126] Ibid.

[127] Krishnaswamy Ramkumar, "Becoming a Global Player," *American Society for Training & Development*, 60, no. 10 (2006): 41.

classroom-based case studies; role-play scenarios; simulation techniques; self-assessment techniques; practical application; and group-learning to enable real-time collaboration, reactions, and input from others.[128] Prince also wrote that leadership learning should equip leaders to apply effective responses to situations through challenging and realistic simulations (or real-world scenarios) that embrace practical application, involvement of others, consequences, and feedback.[129]

Ron Maines wrote that a top concern of CEOs is how they can increase the leadership capacity of the people in their organizations.[130] He wrote that championing a "growing leaders" effort can have an exciting and energizing effect on the people organization-wide; it empowers the people to learn to lead the operation of the business while the top leaders of the company continue to grow the business and grow their people.[131]

Specific to homeland security, a recent report by the Heritage Foundation and the Center for Strategic Analysis Studies concluded that homeland security leaders need three distinct developmental elements: education, training, and professional experience and assignments.[132] The report explained that efforts to develop leaders across these dimensions have been hindered by differences in the involved agencies' policies and approaches. Therefore, the focus thus far has been on defining the core competencies, preparing for the next significant national emergency through training of the National Response Framework, and resolving the challenges in obtaining diverse professional assignments in this "chaotic environment."[133] As cited in this same report, the Homeland

---

[128] Howard Prince, "Teaching Leadership: A Journey into the Unknown," *Concepts and Connections: A Newsletter for Leadership Educators* 9, no. 3 (2001) http://www.utexas.edu/lbj/research/leadership/publications/teaching.html (accessed February 9, 2008).

[129] Prince, "Teaching Leadership,"

[130] Ron Maines, "Successful Leadership Found in Three Pertinent Priorities," *Arkansas Business* (June 30, 2008) www.arkansasbusiness.com/article.aspx?aid=106230.54928.118358 (accessed June 30, 2008).

[131] Ibid.

[132] Heyman, and Carafano, *Homeland Security 3.0*, 17.

[133] Ibid., 18.

Security Advisory Council's Homeland Security Culture Task Force concluded in a January 2007 report that:

> Success of nearly every large, diverse and geographically dispersed organization requires alignment around a common language, common management process, and common leadership expectations. DHS should adopt…a leadership and training model, including "joint duty and training" experience that will help all DHS leadership to focus collaboratively on key leadership expectations and objectives.[134]

Along similar lines, the report emphasized that future homeland security leaders should be required to serve in assignments in the states and/or in local communities, or in private, critical-sector companies that have homeland security missions; likewise, federal organizations like DHS should consider drawing from others (e.g., states, the private sector, etc.) to fill needed leadership positions.[135]

In late 2007, DHS leadership approved a series of training and development programs focused on executive leadership development. A panel of the National Academy of Public Administration found that the program "substantially reflects the key dimensions of a successful leadership development program," based on the following attributes:

- Program leadership and governance is established through top leadership support of the program, a steering committee, and a dedicated development and implementation program office.

- The program's mission, vision, and guiding principles are communicated through a DHS publication.

- The program's offerings are based on established leadership competencies.

- Key elements of the DHS leadership continuum are leadership development for non-supervisors, supervisory training, the DHS Fellow's Program for managers, the SES Candidate Development Program, and the Executive Leadership Program.

---

[134] Heyman, and Carafano, *Homeland Security 3.0*, 18.

[135] Ibid., 19.

- The recently established rotational assignment program adds a vital dimension to programming by providing other developmental and stretch opportunities outside the classroom.

- DHS established its Learning Management System (LMS–*DHScovery*) to communicate, deliver, and manage training opportunities using automated and web-based tools.[136]

Finally, the Homeland Security Advisory Council's report to the Secretary on leadership imperatives for the new presidential administration in 2009 recommended that DHS should continue to support and expand its Homeland Security Academy (which is part of the Homeland Security University System) in order to develop its <u>own</u> leadership school for DHS leaders to:

> …share experiences, standardize their professional development, and work to further integrate the Department's culture, knowledge, and operations. Developing a place where students who are key leaders from multiple DHS organizations can interact, develop relationships, discuss key leadership and cultural issues, and work together on projects that are beneficial to the Department is the key to this effort.[137]

2. Literature Critique

The literature made a strong and compelling case for the importance and criticality of leadership development capabilities. However, much of the literature did not provide curricula or specifics to explain what learning leaders should be exposed to. The literature provided tenets for establishing high-level aspects of development model (i.e., there should be a mix of in-sourced and outsourced instructors and institutions of instruction, diversity in delivery methods, and experiential or "on-the-job" development is critical), but did not describe detailed functional designs or constructs. The DHS-specific literature was particularly useful, although its emphasis seemed to be more on formal development, as opposed to how DHS can develop leaders through day-to-day reinforcement by their leaders ("on the job" or experiential development).

---

[136] National Academy, *Presidential Transition*, 59.

[137] Homeland Security Advisory Council, *Top Ten*, 9.

E.   ORGANIZATION ALIGNMENT AND EFFECTIVENESS

1.   Summary of Arguments

This theme is about how leadership and organizational structures and methods (i.e., both how the organization is constructed and how methods such as coordination and collaboration are performed) can serve as key enablers or disablers to leadership effectiveness.   In short, aligned organizational structures and methods can enhance individual and organizational performance and mission outcomes. As cited in Stephen M. R. Covey's book, Professor John Whitney of Columbia University argued, "An enterprise that is at war with itself [misaligned] will not have the strength or focus to survive in today's competitive environment."[138]   In a Toronto-based consulting firm's website, partner David J. MacCoy claimed:

> In an effective organization, there is congruence between purpose, strategy, processes, structure, culture and people. It is the challenge of leaders to orchestrate this alignment and still promote innovation and change.[139]

Similarly, Crossan and Mazutis wrote that the leader must ensure that the organization's systems, structure, and strategy are aligned to support the perpetual flow of ideas from individuals, to teams, throughout the organization, and back to the individuals.[140]

As also referenced in the section on complexity, Philip Atkinson wrote that mission complexity requires dynamic and flexible mechanisms that allow for a high degree of variability, uncertainty, disorder, and change in the environment.[141] Success in this environment requires an organizational system that is led in such a way that it is capable of operating in the face of this complexity to meet the organization's objectives.

---

[138] Covey, *Speed*, 239.

[139] David J. MacCoy, "First Leadership Limited," First Leadership, http://www.firstleadership.com/pagedisplay.asp?webDocID=3108 (accessed June 10, 2008).

[140] Crossan and Mazutis, "Transcendent Leadership,"137.

[141] Philip Atkinson, 8-11.

The Denhardts' case study revealed that the traditional top-down structure of governments that they analyzed showed communications across departmental boundaries being relatively rare.[142] Researchers found that the quality of leadership is much richer when it is open, free-flowing, engaging, and collaborative as opposed to the traditional, top-down, and internally focused approach (which is frequently the approach in the public sector).[143]

Through Joanna Barsh's interview of Lowell Bryan (also of McKinsey Consulting), Bryan promoted the establishment of an organizational "master plan" or architecture. This architecture should lay out the foundation and the big ideas for how the organization should align its energy, functions, and talent, as well as the initiatives and the performance metrics that support this architecture.[144]

Stephen Goldsmith and William Eggers wrote that the traditional and hierarchical government models do not meet the requirements of the currently complex and rapidly changing time.[145] Furthermore, they wrote that inflexible bureaucratic organizations, protocols, command and control organizational models, and inwardly focused cultures are not well-suited for addressing issues that transcend organizational boundaries.[146]

With respect to DHS, the Homeland Security Advisory Council described the unique organizational requirements of DHS, which is based on its complex need for both vertical and horizontal integration, communications, and coordination activities.[147] It added that while integrating "horizontally" (within the federal government) requires traditional leadership focus, integrating "vertically" (with state, local, tribal, private, and sector stakeholders) requires new leadership and organizational capabilities.[148] Finally,

---

[142] Denhardt and Denhardt, "Leadership,"4.

[143]Ibid., 5.

[144] Barsh, "Innovative Management," 7.

[145] Stephen Goldsmith and William Eggers, *Governing by Network* (Washington, DC: Brookings Institution Press, 2004), 7.

[146] Ibid.

[147] Homeland Security Advisory Council, *Top Ten*, 6.

[148] Ibid., 7.

the Council offered this advice as it relates to the organizational capabilities within DHS as it undergoes its first change of leadership in January 2009:

> It is common for new leadership teams to focus on the organizational structures and boxes as a source of their energies. But in reality it is the people making up the organizational charts that make mission successes possible. The next Secretary should focus on the needs of the employees within DHS and the supporting management systems and infrastructures that enable them to accomplish their work. By placing the people inside the organization first and understanding their jobs and roles, any necessary reorganizing of those people into a structure for accomplishing those missions will become self-evident.[149]

2. Literature Critique

The literature offered compelling arguments that endorsed flexible organizational constructs and capabilities as opposed to linear structures that only support "silo-based" interaction. Much of the literature did not cover how flexible organizational constructs can be achieved; rather, the literature generally compared already existing flexible constructs to linear constructs. In other words, the reviewed literature did not offer much in the way of *how* flexible structures can be enacted, how the mechanics work, and how large organizations generally would go about realigning a command-and-control structure to a flexible structure.

F. ORGANIZATIONAL LEADERSHIP STRATEGY

1. Summary of Arguments

This theme is about the concepts that articulate or support an overarching strategy that reflects how everything comes together with respect to leadership in an organization. Citing authors Ireland and Hitt, Mary Crossan, and Daina Mazutis wrote that organizational leadership at the strategic level requires multiple activities whereby the leader must:

- Determine the organization's purpose and mission.

149Homeland Security Advisory Council, *Top Ten*, 9.

- Exploit and maintain core competencies.

- Develop human capital.

- Sustain an effective organizational culture.

- Emphasize ethical practices.

- Maintain organizational controls.[150]

Crossan and Mazutis also explained that when it comes to a leader establishing the strategy, today's leader should embrace the organization as a dynamic system of forces and individuals that cannot be totally controlled. Therefore, the leader provides minimal constraints and uncomplicated rules within which the strategy should emerge.[151] Thus, the leader does not establish a highly-configured strategy, but rather, a strategy that enables a dynamic equilibrium to be maintained whereby innovation is balanced with stability – that is achieved through creatively disturbing the status quo of the organization while also instilling disciplined planning and improvisational capabilities.[152] The strategy is, therefore, communicating a values-based vision—not one of a concrete future state, but of a set of processes and principles that will ultimately drive the organization towards a higher level of fitness and performance.[153]

An example provided in this article described how one CEO implemented the following guiding principles: from blaming to accountability; from command and control to stewardship; from bosses to coaches; and from silos to systems.[154] In summary, the authors contend that it is all about the leader ensuring that their organization is adaptive

---

[150] Duane Ireland and Michael A. Hitt, "Achieving and Maintaining Strategic Competitiveness in the 21st Century: The Role of Strategic Leadership," *Academy of Management Executive* 19, no. 4 (2005) 63-77 in Crossan and Mazutis, "Transcendent Leadership," 132.

[151] Shona Brown and Kathleen Eisenhardt, *Competing on the Edge: Strategy as Structured Chaos* (Boston: Harvard Business School Press, 1998); Kathleen M. Eisenhardt and Donald N. Sull, "Strategy as Simple Rules," *Harvard Business Review* 7, no. 1 (2001): 107-116, both in Crossan and Mazutis, "Transcendent Leadership," 136.

[152] Crossan and Mazutis, "Transcendent Leadership,"136.

[153] Ibid., 136.

[154] Ibid., 136.

by way of its fluid structures, modular ("plug and play") functions, and team-oriented individuals that are innovative and responsive.[155]

Katherine Beatty and Richard Hughes wrote that that key to turning organizations into engines of sustained competitive advantage with the agility to encounter uncertainty and success equally is better strategic leadership.[156] They wrote that strategic leadership is 1) broad in scope; 2) future-focused; and 3) change-oriented, and added that organizations that do not inculcate strategic leadership falter by having 1) a lack of strategic clarity and focus; 2) poorly aligned tactics; and 3) limited perspective.[157] Beatty and Hughes wrote that effectively leading at the strategic level boils down to a learning process that reveals the few key things that the organization can do very well, and collectively acting so that the conditions to meet success can be set.[158] They wrote that this learning process has five elements that they depicted as a continuous "Thinking-Acting-Influencing" cycle:

- Assessing where the organization is.

- Understanding who the organization is and where it wants to go.

- Figuring out how to get there.

- Making the journey.

- Checking progress.[159]

Ron Maines contended that leaders need a simple model, one that is easy to remember and easy to execute – a model that will simply help leaders to maintain their focus in both good and bad times.[160] Citing Patrick Townsend and Joan Gebhardt, he endorsed their three "simple" suggestions for a leadership model:

---

[155]Crossan and Mazutis, "Transcendent Leadership," 137.

[156] Beatty, Katherine and Hughes, Richard, "The Who, What and How of Strategic Leadership," in *People, Performance, Profit: Maximizing Return on Human Capital Investments*, ed. Alexandra Wharton 24 (San Francisco, California: Montgomery Research Inc., 2005).

[157] Beatty and Hughes, "The Who," 24.

[158] Ibid.

[159] Ibid.

[160] Maines, "Successful Leadership."

- Accomplish the mission.

- Take care of the people in the organization.

- Grow the next generation of leaders.[161]

With respect to governmental organizations involved in preparedness and security issues, authors Leonard Marcus, Barry Dorn, and Joseph Henderson argue that "meta-leadership" is a new brand, or a new strategy, for leadership that is needed to get beyond the "silo" mode of operation in order to achieve required cross-agency coordination imperatives.[162] They explain this strategy by dissecting the term: "meta" refers to overarching leadership that connects the efforts of different organizations or components; and "meta-leadership" refers to a strategy of providing intent and momentum across organizations, whereby shared missions and collective purpose among people and agencies are formed (despite the fact that the involved organizations may be performing very different work).[163] This "meta-leadership" concept is described in the following literature excerpt:

> These leaders connect with, influence, and integrate the activities of diverse agencies, thereby motivating interaction, enhancing communication, and engendering the sort of cross-organizational confidence necessary for effective terrorism preparedness and emergency response (Howitt and Piangi, 2003). They are able to legitimately and effectively reach beyond their scope of authority and responsibility, and in the process, are able to generate linkages of purpose and activity that amplify their outcomes and impact (Heifetz, 1994). They leverage information and resources across agencies, extending what any unit alone could accomplish, by reducing inter-agency friction and creating a synergy of progress (Phillips and Loy, 2003). These meta-leaders achieve "connectivity," defined here as a seamless web of people, organization, resources, and information that can best catch (detect and report), respond (control and contain), and return to pre-event normal (recover) from a

---

[161] Patrick Townsend and Joan Gebhardt, "The Three Priorities of Leadership," *Leader To Leader* 4 (1997): 13 in Maines, "Successful Leadership."

[162] Marcus, Dorn, and Henderson, "Meta-Leadership," 44.

[163] Ibid.

terrorist incident. Connectivity—among agencies, organizations, and people with complementary missions—is one by-product of meta-leadership.[164]

2. Literature Critique

The literature on organizational leadership strategy was highly diverse. The literature generally did not set forth an all encompassing, detailed strategic formula or a comprehensive leadership strategy that an organization like DHS could simply adopt. The literature provided that are many elements and dynamics to consider. The "meta-leadership" literature – designed specifically for homeland security-like organizations, seems to offer unique leadership strategy ideas for DHS. It is also noted that one of the contributing authors was the former Deputy Secretary for DHS, Admiral James Loy.[165]

G. LITERATURE REVIEW SUMMARY

The literature subtopics covered a broad array of leadership issues. The common thread throughout all of this material is the focus on the need for skilled, sophisticated leaders along with supporting organizational alignment and leadership development mechanisms that strive for success in the complex homeland security environment. Diversity in the literature was presented in terms of the specific aspect that the author deemed to be the most important mechanism, system, or skill to enable effective leadership. Overall, the authors wrote about contributing factors to leadership-driven individual and organizational effectiveness (or ineffectiveness). The literature is replete with ideas, mechanisms, and proven business practices for effective leadership in the context of large-scale entities—and in some cases, specifically to DHS.

---

[164] Ronald Heifetz, *Leadership without Easy Answers* (Cambridge: Belknap Press of Harvard University Press, 1994); Arnold Howitt. and Robyn Pangi, *Countering Terrorism: Dimensions of Preparedness* (Cambridge: MIT Press, 2003); Donald Phillips and James Loy, *Character in Action: The U.S. Coast Guard on Leadership* (Annapolis: Naval Press, 2003) all in Marcus, Dorn, and Henderson, "Meta-Leadership," 44.

[165] Donald Phillips and James Loy, *Character in Action: The U.S. Coast Guard on Leadership* (Annapolis: Naval Press, 2003).

Given the scope of leadership issues that are applicable to large, complicated, high-stakes organizations like DHS, the following theme can be derived from the literature: for leaders to be effective in an environment like DHS, an established leadership strategy, depicting how leadership roles should be carried out (e.g., methods, skills, development, reinforcement, etc.), can help enable leaders to achieve a higher level of individual and organizational performance. That is, such a strategy can provide all levels of organizational leaders with a nexus from which to orient or derive their leadership skills and behaviors. Without such an aligned organizational leadership framework, gaps may exist between the leadership exercised and the type of leadership that is demanded by the environment. However, as emphasized by Lesley Prince, models, processes, and structures that depict leadership can often be misunderstood; therefore, he suggests that leaders are successful because "...they are spontaneously attuned to the nuances of local circumstances, not burdened by concerns about what is or is not the right 'rule' to apply."[166]

As such, a key point of caution must be taken into account in this endeavor to reveal and recommend a strategic model of leadership for DHS. As Prince argued, one must be mindful that "piling up" prescriptive rules for leadership can make "it" (leadership) extremely complex to apply when environmental and contextual factors come into play; in the end; he claimed that this can be wholly unproductive and wasteful, as attention is diverted to how the model says that something "should" be done – as opposed to dealing with the immediacy of here and now.[167] Similarly, Prince reflects on Keith Grint's characterization of his personal study of leadership:

> ...before I began to study leadership in a serious manner, my knowledge of it was complete. I knew basically all there was to know and I had already spent over a decade practicing it…I should have stopped then, because ever since…my understanding has decreased in direct proportion to my increased knowledge: in effect, the more I read, the more <u>contradictory</u>

[166] Lesley Prince, "Eating the Menu Rather Than the Dinner: Tao and Leadership," *Leadership* 1, no. 105 (2005): 117.

[167] Ibid., 114.

appear the conclusions…Despite all my best efforts…the results refused to regurgitate any significant pattern except one banal truism: successful leaders are successful.[168]

Despite Grint and Prince's sentiments about depicting the "rules" for leadership to be counterintuitive or unproductive, the aim of the research *is* to plot ahead to discover if there is a leadership model that can be recommended for leaders in DHS. However, the multifarious interdependencies, as well as the possibility for "not being able to see the forest through the trees," will be respected and appreciated. As is consistent with Prince's sentiments, perhaps the key message of the vast and varied literature is that the model must indeed reflect a fluid, dynamic, and somewhat disorderly approach to leading—whereby the organizing principle is that the leader is attuned with the ebb and flow of the environment, such that he or she can spontaneously apply the "right" leadership strategy, behavior, process, or method.[169] In other words, an important part of the "rules of leadership" may well be the willingness of the leader to step away from the rules when the situation requires.[170]

To conclude this literature review: The literature that was reviewed, across diverse and multiple sub-topics, generally argues *for* the establishment of a leadership strategy as a way to improve organizational effectiveness. Therefore, a key inference by the researcher from the literature is that there is value to understand that some level of rigor or form (strategy or framework) may serve as a guidepost to help DHS leaders achieve a higher level of leadership fitness. Once again, the one notable contradiction, or perhaps more accurately, note of caution, seems to come from the "Keith Grint camp" as it relates to being "overly prescriptive" with respect to leadership. In other words, too many rules or prescriptions for leading may not help – but may actually hurt. The core of this issue is that a leadership strategy must provide enough rigors to be useful; yet, it must also be sufficiently strategic, dynamic, and flexible so that it can be applied to any given organizational challenge. Thus, the key take away from this is to recognize that

---

[168] Keith Grint, *Arts of Leadership* (New York: Oxford University Press, Inc, 2000) in Prince, "Eating the Menu," 108.

[169] Prince, "Eating the Menu," 116-117.

[170] Ibid., 119.

leadership strategies may have somewhat of a "counterproductive property;" if not thoughtfully or properly devised or implemented, they may become an added layer of "inertia" that further complicate situations or challenges that are already complicated or complex on their own.

THIS PAGE INTENTIONALLY LEFT BLANK

IV. RECOGNIZED EXECUTIVE LEADERS (NON-DHS)

Research to evaluate organizational leadership subjects is generally derived through specific literature studies, personal interviews, and existing academic studies. The approach taken in this document was to first review credible published studies of relevant leadership topics that apply to the DHS scenario. From a broad review of widely available literature, leadership subjects, issues, and illustrations were organized and coded in order to develop (from the literature) a series of scripted interview questions and leadership discussion topics that were designed to validate the literature in the context of DHS's mission and operational environment. The next phase was to personally interview a wide range of proven senior level executive leaders who were recognizably successful in leading organizations of similar complexity and scale, who met the design criteria of this study, and whose experiences could be applied to the DHS environment.

The personal interview portion of this research entailed developing in-depth conversations with leaders who have demonstrated effective leadership and achieved success in leading large-scale organizations from both private sector corporations and governmental (not including DHS) entities (see Chapter II – "Research Method"). These conversations were personal, covering their leadership philosophy, career history, and executive challenges; they were also "business-like," as they described their leadership strategies that aimed to address their organization's challenges and opportunities. The leaders who were interviewed had unique personalities and social styles. They were located throughout the United States and represented diverse organizations, both public and private. Within this diversity, several themes and points of interest began to form a pattern. A digest of these supporting points, as revealed in the interviews, are described in the following sections according to major theme areas.

This group of non-DHS leaders demonstrated definable leadership methods, skills, and behaviors that contributed to their effectiveness and success in building high performance institutions in the face of formidable economic, organizational, or other

challenges. While there were many similarities in leadership dynamics that were expressed in the literature, the key commonalities that can be traced from this population of executive leaders to DHS leaders include:

- Similar scale of organization, scope of work, or integrated tasking dynamics.

- Comparable inherent complexities associated with a difficult mission or organization that they were charged to lead (i.e., including economic, political, organizational, operational, and technological challenges).

Based upon the examination and coding of the interview transcripts, their collective views on leadership in the context of the DHS environment aligned closely with the themes presented by the literature, but with minor differences. In Table 2 (below), the left side of the table summarizes the key literature themes, and the right side summarizes the themes that were derived from these interviews.

Table 2.   Leadership Literature versus Leadership Interview Themes

Literature Themes	Revised Themes - based on interviews
In the review of the literature, it was simply noted that there are 35,000(+) definitions of leadership.	**(New Theme)** • **Leadership Defined:** What leadership means and how it has been described by the interviewees.
• **Complexity**: claims that the homeland security mission is inherently complex and challenging; this theme discusses how complexity theory and other related academic propositions apply to the mission and organizational challenges that a large entity encounters (like DHS).	**Complexity** - *No Change*
• **Leadership Skills and Traits**: the skills individual leaders need to be successful in large-scale, high-stakes, and challenging mission and organizational environments.	**(Modified Theme)** • **Leadership Behaviors, Traits, and Skills:** the skills, behaviors, and traits that individual leaders need to possess and demonstrate to be successful in large-scale, high-stakes, and challenging mission and organizational environments.
• **Leadership Environment and Culture**: the impact that leadership environment has on individual and organizational performance as well as mission effectiveness.	**Leadership Environment and Culture** - *No Change*
• **Leadership Development**: how leaders are developed to effectively lead in a complex, high-stakes organization.	**Leadership Development** - *No Change*
• **Organization Alignment and Effectiveness**: how leadership and organizational structures and methods (e.g., coordination and collaboration) serve as key enablers to leadership effectiveness and impact individual and leader performance and mission outcomes.	**Organization Alignment and Effectiveness** - *No Change*
• **Organizational Leadership Strategy**: concepts that articulate or support an overarching strategy that reflects how everything comes together with respect to leadership in an organization.	**(Modified Theme)** • **Leadership Strategy and Architecture:** the "grand plan" that is set forth - communicated, modeled, measured, and reinforced. This is generally communicated via a strategy document or architecture (visual schematic).

Despite the artful, elusive, and mysterious nature of leadership, the researcher found tangible, consistent themes regarding what interviewee leaders deemed to "work" for them in their respective leadership pursuits.   The overarching themes that characterized effective leadership, from both an individual and an organizational perspective, are summarized as follows: Effective leadership of **individuals** occurs when leaders influence individuals to follow them. This is reflected in the following interview excerpts:

Leadership is about somebody others will follow because they believe that the leader has the ability to get them to a better place. You can't be a leader if they don't follow – so leadership is the ability to get people to follow. It creates confidence in the followers to want to follow the leader. People will follow you for a lot of reasons; the two broadest categories are knowledge and likeability. If somebody believes in your ability to lead, your knowledge, your competence, and they feel loyalty to you because they like you and respect you, then they will run through a wall for you.

Leadership is about harnessing the good intentions that individuals bring toward a common purpose.

Leadership is inspiring individuals to achieve the organization's goals – while ensuring that everyone understands what the goals mean.

Effective leadership of an **organization** occurs when individuals collectively follow the leader such that the organization synchronously "lives the vision" as they deliver the desired outcomes or results. In order to genuinely live the vision, a leader with substance must also demonstrate critical leadership characteristics. That is, an effective leader must also have broader skills than just being a visionary; they must have the ability to call people to action and motivate them to achieve goal-centric results as is reflected in the following interview excerpts:

Collaborative Communications:

Leaders across the organization need to engage each other, harmonize their visions such that they reflect a unity of purpose; model and reinforce the values, behavior, and ethos that support this; and consistently communicate so that it is cascaded to the people that perform the work. This requires all leaders to continuously collaborate up, down, and across the organization.

Metrics and Assessment:

[Leaders] probably have all of the leadership methods, theories, and "best practices" in form. The probing that is needed is to ensure that they have the substance – is "it" really there? Is substantive leadership taking place? Do the people at all levels live it everyday? Everyone is great at making wall charts and throwing everything up there – the Power Points and

everything else – but is it really there? Has it taken root? Does it work? How do the leaders know? How is it measured?

Authenticity and Credibility:

It is very easy for leaders and organizations to subscribe to the veneer. While they may be able to convince some people on the outside that they are effectively leading, they can never fool the employees or the stakeholders.

A.   LEADERSHIP – WHAT IS IT?

Despite some 35,000+ definitions of leadership provided by the literature,[171] the executive leaders interviewed characterized leadership as a set of *situational* strategies, methods, practices, and traits that leaders employ so that the organization delivers the desired effects. "Effects" in this context are the tangible expression for why the organization exists and why the people are there to do the work. The effects translate into accomplishing the mission to move the organization and the individuals within the organization forward. Therefore, delivering effects is ultimately the key leadership objective. Leaders must keenly understand and absolutely focus on the importance of delivering meaningful outcomes for the customers and stakeholders. In the situational context, leadership is an art of mixing loose or tight management styles, all based on what the situation requires, so that the right effects are delivered. Accordingly, leaders evaluate each situation and determine the style (commanding, coaching, motivating, or delegating) they should employ so that it yields the best effect. However, the following clarification to situational leadership was explicitly stated:

> While the application of leadership may be situational, leadership values, ethics, and core principles are never situational, and must be defined and continuously adhered to.

In addition to employing a situational approach, the interviewees purported that leaders should not allow preexisting assumptions or biases to drive their leadership strategies. For example, leaders should not, by default, assume that any given core

---

[171] Pye, "Leadership and Organizing," 32.

worker may or may not be up to the task, or that the person with the biggest title or the advanced degree always knows more. This is based on the consistent sentiments by these leaders that so much of what goes on in knowledge-based, organized activity in today's global environment requires a continuous flow of innovation, creativity, and idea-generation. This dimension reveals that leaders should not impose limitations by correlating who they think "knows best" with those who have the rank, past experience, and position power (the "top brass"). Thus, leadership must be approached and applied as a fluid, non-linear, and non-hierarchical process of coordinating to:

- Understand the essentials of this situation.

- Postulate where the solutions may be found.

- Bring it all together to resolve the issue and move the organization forward.

Just as there will be occasions where "command and control" leadership methods will need to be imposed, leaders will be much more successful if they clearly understand the fundamentals of the situation, upon whom they can rely to solve the problems, and how problems should be solved. Other key terms and phrases that these leaders used to describe leadership include:

- **Vision** – leadership starts with the vision, what is to be accomplished, what the "big idea" is, and what people work towards to support.

- **Perspective** – leadership is about having a different perspective and set of capabilities that allow them to ask different questions. Inherent to this is that the leader clearly understands that it is not about the leader – it is about everyone else – bringing people together in consensus to get the organization where it needs to be.

- **Inspiration** – leadership is inspiring people to achieve the organization's goals - while ensuring that everyone understand what the goals mean. In turn, people will follow because they believe that the leader has the ability to get them to a better place.

- **Synthesis** – leadership is about synthesizing – which entails continually simplifying or translating – and then communicating, modeling, and reinforcing the organization's imperatives.

- **Ideas** – even though the policy, process, or history might indicate an established pattern, leadership is about pushing the ideas that focus the organization on what can enable them to deliver more and better value for the customer and the stakeholder.

- **Influence** – leadership is the ability to influence an organization toward a desired end state and all that entails, all while everyone involved, at every level, strives to add value to the organization, to the mission, and to the end result.

B. COMPLEXITY

The interviewees confirmed the literature when they often described leading in their organizations, as well as leading in DHS, to be complex. As described in the literature review, something is complex when one only knows cause and effect after the fact; it is characterized as being somewhere between chaos and predictability. As supported by the interviewees, a leader's strategy needs to account for and anticipate the myriad of potential second and third-order effects that result from what they decide, communicate, reinforce, or model. The following excerpts from the interviews of non-DHS leaders support this complexity when they were asked to reflect upon their view of leadership as specific to DHS:

> Homeland security – it's like trying to boil the ocean… it is very tough to guess what the top two or three priorities are and just work on them – because whatever ends up happening—you are going to guess wrong. It's just like Katrina – we were all focused on the borders – and who would have thought that FEMA [the Federal Emergency Management Agency] and the weather was going to be the thing that turns it all on its ear – and bleeds you dry for a year. Unless you had a fix to that problem, they did not want to spend time thinking about anything else – as they just got out-gunned so quickly on that, so I fully appreciate that…and then [add the] Congress and all that they add to the situation.

> Homeland security – a difficult environment – you can't have a bunch of sheep – you've got to have guys to make quick decisions – and you need to get a large group functioning in that manner – and that is very hard.

> This leads one to think about how nearly impossible the job of the Secretary of DHS is. It can be seen as something akin to "surfing with a blindfold, hoping that the next wave does not crash when you are on the board." Success in leading is like a roll of the dice since there is so much that is not in

your direct control. It requires a style of leadership and influence that transcends tradition hierarchical command and control.

[It is] beyond a clash of cultures…and [given] the scope and scale of homeland security organizations, and there is as of yet no singular definition of what "homeland security" really means.

The business of leadership, and the organizational change and transformation that are the essence of the role of the leader, is tough enough in a relatively homogeneous corporation like say General Electric where a CEO like Jack Welch had tremendous direct control, but tougher still in DHS, or certainly the larger national homeland security community, for the reasons previously mentioned. New paradigms of leadership must be found.

To begin with the last quote, "new paradigms of leadership must be found," the interviewees described how they faced and resolved their issues within their organizations despite their complex and significant challenges; it was best articulated by Abraham Lincoln:

The dogmas of the quiet past are inadequate to the stormy present. The occasion is piled high with difficulty, and we must rise with the occasion. As our case is new, so we must think anew and act anew.[172]

The interviewees emphasized that complexity does not preclude problem-resolution. In turn, the heart of the complexity should be embraced, and not resisted; they must figure out how to "ride the wave," as opposed to being continually "pounded by the wave." They contended that it boils down to figuring out what parts of the complexity the leader can influence, identifying the high payoff targets, setting approachable goals, and moving ahead towards those goals. A concept that the CEO of a global consulting company described is: "one foot in today; one foot in tomorrow." In other words, while the complexity of the environment is appreciated, specific actions — such as setting out a few fundamental truths and just starting the journey — can dramatically help the organization move forward. If valid goals and the right targets are selected, it was argued that no one will divert progress for long. The organization can redirect itself toward the plan, because the workforce is onboard and everyone can just keep plugging away towards the goals.

---

[172] Bellavita, "Shape Patterns," 17.

Furthermore, the importance of an effective, up-front "visioning" process was strongly emphasized. Effective leadership in any setting, but particularly in complicated settings, requires a powerful, common vision that cross-cuts all organizational elements. This visioning process does not randomly occur; it is a deliberate process whereby, as one of the interviewees voiced:

> The leader articulates the vision, enables and paves the way for the organization to realize the vision, and then constantly models the traits, behaviors, ethos, and actions that are needed to carry this out. If the right signals are not sent throughout the organization, then the vision/mission cannot be fully realized. After all, it is the people that perform the work. It is the people that need to buy in and then act upon what is being presented, modeled, and reinforced. If that does not happen, the vision does not happen.

C.   LEADERSHIP BEHAVIORS, TRAITS, AND SKILLS

The interviewees presented a variety of behaviors, traits, and skills that they deemed to be critical leadership qualities that enabled them to achieve success despite their difficult challenges. The variety of responses quickly narrowed to a list of commonly held behaviors, traits, and skills that were held in strong agreement by the group. The commonly held behaviors, traits, and skills that were shared by the preponderance of interviewees were grouped into the following six sub-themes:

- Knowledge and Competence in Business and Management Acumen.

- Sense, Probe, Feel, and then Act.

- Communicate, Motivate, and Model - - - then Model, Model, and Model Again.

- Ego, Attitude, and Adaptability.

- Ethics and Values.

- Team-Oriented, Receptive, and Accessible.

1.   Knowledge and Competence in Business and Management Acumen

The most agreed upon theme for the leadership behaviors, traits, and skills that the interviewees deemed to be required for success is that they must be exceptionally competent, with deep business and management experience in their field. Leaders must be exceptional managers—effective at putting together an organization, financing it, promoting it, and applying mid-course corrections based on performance. Management skills based on deep competence and knowledge are critical. Clear decision strategies can only be developed, communicated, and reinforced so long as they are based on wise, prudent, and fiscally-sound business strategies. The core rationale is this: if leaders cannot manage their internal organizational affairs, their ability to resolve and attend to the needs of their customers and stakeholders is questioned. This theme is supported by the following interview excerpts:

> Number one for me is that you have gone through the chairs. It is very important that if you are going to lead folks that you understand what kinds of trials they have experienced...you must be able to say and demonstrate that you know where they come from because you have been there. I say that not to diminish those who have not been able to do that – but I think it adds to the conversation, it adds to your credibility. If you can say and demonstrate that "I have been in your shoes, I have experienced those trials and tribulations" – then it adds a whole lot of credibility to what you are trying to do.

> It's about competence, and this is not an objective quality. Whatever method, whatever behavior the leader uses is informed by their ability to see it through the eyes of others. Deep and diverse professional experiences shape this, and organizations are better served by leaders that are able to deliver and make decisions that are informed by more than singular experiences.

> The first, and foremost is knowledge. Knowledge is power, and power is leadership. So knowledge on a variety of subject matters, on procedures, on the institution, on the history. Knowledge creates the ability for people to want to follow you.

The preponderance of interviewees stated that leaders absolutely must hone the knowledge and capabilities that are needed to employ the tactics, techniques, and

procedures that comprise business acumen and management – which they described as fundamental to a leader's toolkit.   Acute knowledge and competence is necessary to create the supporting platform for people to want to "follow the leader." The rationale provided was that possession of core industry acumen by leaders enables the workforce to believe that they can take them to a "better place."   With this belief comes followership. This is directly tied to leaders being credible both within the organization and with external stakeholders. It was continually suggested that this cannot be achieved without the leader possessing strong business acumen and management capabilities. In short, it is this fundamental knowledge and deep competence in the business that enables leaders to build relationships and have effective dialog with their employees, customers, and stakeholders. The outcome of this is the foundation of trust, followership, and the ability to discuss the issues that transcend the veneer.

2.   Sense, Probe, Feel, and then Act

All leaders must be instinctive.   But more so, the ability of leaders to fuse instincts with "old fashioned" common sense was continually presented as the critical combination necessary for making sound decisions. Leaders must be able to quickly sense, probe, and "feel" the situation. This is followed by the leader taking hold, taking charge, and making decisions as the situation warrants. This ability to sense, probe, and feel was characterized as an art form, and it was continually repeated that there is a delicate balance that leaders need to maintain when inserting themselves. People need to feel the ownership of their work. They also need to be able to "ride a problem to the cliff." Leaders must instinctively know where they need to step in and provide support before their people fall off that cliff. Leaders must therefore be skilled in "picking their spots." Spots are based on their sense of what does not feel right. Then they ask the probing questions and inject themselves into the situation. This skill is also important when it comes to a leader sensing when or if they leave a leadership post altogether:

The sensing part is picking your points to come in and your points to leave. You have to have a good sense of the environment, the sense when it is time to do something else, and the sense when it is time to let someone else in. That's tough – but it is important and it is part of leadership.

In this context, the ability to feel requires leaders to have empathetic qualities such that they can compassionately and appropriately engage their workforce. This quality also enables the leader to identify and resolve the emotional baggage that one brings to an encounter. It was suggested that employees cannot hear the substance of what is being communicated until their emotional baggage is addressed. This does not necessarily mean that leaders can resolve the issue, but simply showing empathy may be all that is needed to effectively engage their workforce. Merely acknowledging that they are in pain by saying, "I will listen to you, and I care about you" can make the difference in being able to engage the workforce towards moving the organization forward.

3.   Communicate, Motivate, and Model – then Model, Model, and Model Again

Communication skills are critical. A persistent theme from the interviews was that the best leaders have a gift for communicating and inculcating the logic, wisdom, and emotion of the mission into the people they are working with in a manner that makes sense to them such that they internalize and act upon it. The consensus of the interviewees was that rarely does one have a successful senior executive who is not compellingly articulate in a way that makes him or her easily understood. In this context, communicating is not about dictating; it is about influencing. Accordingly, leaders should seek to get their people to buy into them, to motivate the unmotivated, and operate off the premise that their people may not be as excited to be there as the leaders are. As one interviewee said, "Employees and their families are not always as jazzed as the leader to be there – and this should be taken into account."

When it comes to the way leaders communicate and engage their workforce, it was argued that leaders should not just walk around randomly – catching the masses at random. This was characterized as a "ridiculous waste of time." If the only method of

communicating and engaging their workforce is through randomly walking around and having unplanned conversations, then this is likely to be time poorly spent. The premise is that there are rarely engaging interactions when they are random and not purposefully prioritized, planned, and scheduled. Merely walking around when time permits demonstrates randomness, triviality, and the lack of the needed depth, value, and significance. Conversely, skillful, methodical, and deliberate planning is needed to establish the venues in order to engage the people in a way that gleans meaning and substance. This is not randomly walking around and saying "hey, how are you doing?" Simply walking around is veneer, as all the people can say is "there he went," or "here she is."

A significant majority of the interviewees contended that communicating and motivating are only the first step. To really move the message and the organization forward, it is critical that leaders model their message – or "walk-the-talk." A repeated sentiment was that lip-service is transparently detrimental to the core of what a leader is trying to accomplish. As one interviewee stated:

> You must walk the talk. If you are teaching respect for the individual, which appears in almost every corporate values statement, then you don't sneer at the janitor who is cleaning the bathroom when you want to take a pee. If you can't really believe in it and practice it – then you are in the wrong business. And it is so transparent to customers and workers if all this is lip service – it is just so transparent. The rank and file customer and worker are so much smarter than people understand.

The core principle behind the importance of modeling is that people watch the leaders—what they say, what they do, and where they go. Their rhetoric—what leaders say—is just part of it. But it is really what their calendar says, where they spend their time, the interactions they have, and what leaders do that actually validates their rhetoric. The fact is that their behaviors are the most tangible expressions of their reality. Leaders must be cognizant of that, make sure that they behave appropriately, and then constantly serve as the model and example for the workforce.

4.   Ego, Attitude, and Adaptability

This theme describes leaders' ability to get beyond themselves and genuinely serve the needs of the organization. Fundamental to this is the leaders' ability to keep their ego "in check." They must reflect a consistently "glass half full" attitude, and be willing to adapt – even if it means retracting or acknowledging previous decisions that did not result in success. Ego should simply be a function of the competence and the confidence that provides the rationale for why they are selected to be in their position of responsibility. Critical to a leader's ego is that it should never become the defining characteristic that drives how and why leaders act. As posited by many of the interviewees, if "it" is all about the leader, then the chances for organizational under-performance and mediocrity are significantly increased. In this context, ego works against leaders and it can get in the way of good sense and judgment. Leaders are far better off when they behave in a manner that reflects that they understand that they are not really the key, and that it is not all about them.

The interviewees emphasized that the leader's attitude is critical. Attitude is like the shadow that leaders cast, even if attitude is expressed through a simple smile. Understandably, this may occasionally involve showing a "stage face," as leaders can have bad days and face tremendous stress and pressure. Nonetheless, people do look to and feed off the attitude that leaders project. Two qualities, related to attitude, which were characterized as effective traits by several of the interviewees included passion and humor. Passion is part of the leader's attitude that shows their emotions and commitment for the organization. However, conveying this passion does not require charismatic behavior or "chest-pounding." Passion is all about substance and not performance. An attitude-related attribute that is more performance-oriented is the use of humor. Especially during times of crisis, a leader's appropriate use of humor can be critically-important; it can help to disarm the environment when organizations are under serious stress. If leaders project stress, workforce anxiety is more likely to be high, and thus it is difficult to get the best out of the workforce.

78

Furthermore, the way leaders engage negative attitudes across their workforce is important. If people are constantly "down in the dumps" and feeding off their own negative energy, it can take over like a cancer and bring the whole organization down. Most organizations inevitably have some people that naturally behave negatively. Anything above and beyond a reasonable baseline must be addressed. A theme from the interviews was that even the people that tend to always behave negatively actually have potential to add value to the organization. The key is the leader seizing upon an opportunity to tap into that potential. The reward of seeing that take hold and flourish was characterized as highly rewarding.

Finally, leaders' egos and attitudes directly impact their adaptability. If their egos and attitudes do not allow them to let go of past decisions that turned out to be unprofitable or ineffective, then success is limited or even compromised. Leaders must be willing to adapt, even if it requires that they acknowledge their shortcomings.

5. Ethics and Values

The interviewees consistently voiced that leaders must run ethical, honest, and straight-forward organizations that are based on declared organizational values. Leaders, as individuals, must also be inculcated with and demonstrate behavior that is consistent with those values. A theme from the interviews was that when leaders do not demonstrate behavior that is consistent with their declared values, they are generally not credible or trustworthy. They can be effective on many levels, but credibility and trust are hard to come by. Furthermore, while values need to be established as core, fundamental organizational principles, it is a more significant undertaking to ensure that the behaviors associated with those values are defined, understood, and modeled.

6. Team-Oriented, Receptive, and Accessible

A consistent theme from the interviews was that leaders should have a team-orientation whereby they continuously coach and interact with their organizations. For leaders to effectively lead their organization through challenges and changes, they need to instill a team orientation and rally the teams in support of the way forward for the

organization. The leader should experience satisfaction when the people achieve the organization's goals, and should not attribute the achievement of organizational goals to the leader's contribution. It should be all about the organization achieving the goal. Leaders are there to inspire, lead, push, or whatever – but the focus is on enabling the people to achieve so that the organization moves forward.

Another key theme that these leaders addressed was that the best leaders are receptive and open-minded. They are in continuous pursuit of the solution, best practices, innovation, and ideas making it possible for the lowest-ranking employee to be heard when they posses an idea that has the potential to make a great impact. In other words, these leaders solve the organization's problems by receptively relying upon the people organization-wide—not just the "top brass." The essence of this skill is practiced by leaders that continuously pursue the unknown or the impossible by looking all around them. The interviewees described that in their experiences, it is often the humble, unknown workers in the trenches that have the best ideas and solutions to the organization's most pressing issues. These solutions are not typically a function of rank or position power. As described by one executive:

> Innovation is huge in the success of any organization and related to that is locating the most impactful intelligence in the organization – and it does not follow rank – so one of the key skills is understanding who can really help on this, and who has the good ideas. Often, this flips an organization on its head in traditional terms because it is often the kid speaking broken English – the Indian kid who is a summer intern with you who knows more about how to solve this problem than the brass in the corner. So, the organizations now – have to be in many ways – very fluid.

This openness was described as a critically important trait for leaders. It allows them to tap into any number of resources to move the organization forward. Additionally, this same openness helps the leader build an "every man" reputation, enabling a deeper and more tangible connection with the workforce. Consequently, when the members of the workforce believe that they have a voice and are respected and valued, they often more closely identify with and are more influenced by the leader. As one state governor declared, "they will run through a wall for you."

D.   LEADERSHIP ENVIRONMENT AND CULTURE

A key theme from the interviews was that for leaders throughout an organization to be effective, the organizational environment must be one in which leadership can function. Accordingly, top leaders must create an environment that fosters discretion, decision-making, and risk-taking throughout the layers of the organization.   The environment must also espouse innovation, creativity, and ideas. If members of the workforce perceive that if they try something new and innovative that has potential to benefit the organization but they will be "hung" if it goes wrong or unnoticed if it goes right, then their initiative will more likely be stifled. It was acknowledged that large, bureaucratic organizations, to their detriment, tend to stifle initiative and innovation. The degree to which innovation, ideas, and creativity are sought and embraced fundamentally comes down to the leader establishing an environment that not only allows for creativity – but rewards it. Experimentation may increase risk; but the alternative is mediocrity.

Effective leadership in this context also involves identifying the culturally embedded mechanisms that limit performance; altering those that are contrary to what the leader is trying to accomplish; and embracing new ideas, modeling them, and reinforcing them. Cultures that are full of impediments, tendencies, or artifacts that restrict or narrow what the organization can achieve assure mediocrity if not challenged and changed. Much of what a culture needs is not a function of people performing tasks; rather, it is culture that celebrates its composition of diverse human beings, where their minds, characters, spirits, and attitudes are championed. In effect, culture is not about tasks, processes, or widgets — it is about people and their collective ethos, motivation, discipline, teamwork, desire, and talent that can move the organization forward. Leaders must create an environment in which their people are encouraged to think about all possibilities and work across organizational boundaries to get the best product, policy, or process ideas and solutions. This is supported by the following excerpts (which also happen to be uniquely relevant to the business of homeland security):

> You guys go think about what could really go radically wrong in this
> business – let's not just try to run it really well – let's try to figure out
> what could go really wrong and prevent it.

It is not a viable leadership environment when people are chastised for coordinating and working across organizational lines. One would think that working in a cross-cutting fashion is fundamental to the success of the homeland security mission; nonetheless, this practice has been seen to be chastised in practice.

E.   LEADERSHIP DEVELOPMENT

A key point that transcended the interviews specific to leadership development was that it is imperative for senior leaders to build production capacity in their organization. This fundamentally comes down to investing in and developing the people of the organization (particularly developing the next leaders). The future of the organization and its capabilities are established early through "on-the-job" training and formal leadership development programs. The organization must continuously develop flexible, adaptable, creative leaders who are able to solve problems. Leadership development is a lifelong learning endeavor. It is nurtured and developed over the years, both consciously and unconsciously, formally and informally.

In terms of how this is done, whether it is institutional or on-the-job development, a large majority of interviewees attributed effective leadership development to be the methods that are directly tied to moving the organization forward. The ever-present theme within leadership development contained the following key words: modeling, mentoring, and counseling.

With respect to modeling, a development method endorsed by one chief executive, who models the organization's values and behaviors, is "shadow-the-leader." This is a method used to exemplify the desired executive behavior (e.g., good practices— what is "done"). This chief executive's organization has formalized this method to provide opportunities for developing leaders so that they can learn from up-front personal observation, and "off the cuff" coaching. In the context of the day-to-day job, the sense that leaders cast to their people through their actions is also critically important. Accordingly, their actions need to be consistently modeled for consumption by their observing workforce – particularly the developing leaders. If the desired behavior and performance ethos are also modeled by the leaders in times of significant turmoil and

82

stress, then the leaders gain tremendous credibility, respect, and followership from their workforce. When the workforce has the sense that its leaders are not afraid to go anywhere or do anything, then, as the governor stated, "they will go through a wall for you." This practice of leaders consistently modeling desired behavior, no matter the stress or the stakes, has two overall benefits:

- The result is respect and admiration by the workforce.

- The workforce learns how they can personally face the toughest of issues.

Mentorship was also emphasized as a huge component of development. Senior leaders must establish a mission-oriented environment that has opportunities for junior leaders to learn. Allowing developing leaders to emulate desired behavior and to expand their understanding of leadership (cognitive skills) are the essential components of mentorship. Part of mentorship involves guiding developing leaders and encouraging them to accept opportunities that will expose them with a variety of professional experiences, which is a very rich means for developing leaders to build their "leadership experiences toolkit." As described by one CEO:

> Senior leadership needs to show leaders how the business of the enterprise is done so that they say: "I can see where you are trying to go – so in my little patch, I think this where we can go here." Then they are continually supported by them…because they are not always on target the first time. That's the essential mentoring aspect – [it is] done in a manner that the developing leader is comfortable so they can be pushed along and shown how to go forward. Give them a chance – and then over time – they get it.

While on-the-job development through focused modeling and mentorship were mentioned as highly critical aspects, many of the interviewees claimed that development through academic institutions, or forums outside of the immediate job environment, also enrich leadership development. One example that was claimed to be effective was a "leader's forum," where developing leaders have an opportunity to learn from others in a safe environment. The purpose of the forum is for leaders to collaborate in order to generate creative, innovative, and "silly" ideas with other leaders in a place where they will not face consequences or repercussions. It is principally about stimulating dialog

and ideas and to simply ask "what do you think about this?" Part of these forums' activities also exposes developing leaders to a broad range of perspectives on leadership so that they can ostensibly become their own "synthesizer." As stated by one chief executive:

> I can take from you, drop it in, and turn the crank, and decide what I want. I may not do it exactly as you suggest – but it's in my synthesizer and I have turned the crank. I decide how I will use it and what I will do with it. I think exposing our people to that is really important.

Finally, performance counseling was regarded as an essential ingredient to leader development. In this context, the interviewees described performance counseling as the process whereby leaders both formally and informally discuss leadership and performance issues with their developing leaders. To keep the organization's leaders focused on the goals, the interviewees asserted that performance goals must be established up front, progress must be monitored and measured, and performance outcomes must be continually communicated through both formal and informal counseling.

F.   ORGANIZATIONAL ALIGNMENT AND EFFECTIVENESS

The consensus of the interviewees is that to effectively lead an organization (particularly a large organization) it is imperative that the organizational structures, strategies, processes, people, and culture are aligned so that they most effectively attain their intended outcomes or effects. This translates into the commonly recognized scenario whereby everyone is "singing off the same page of music" to achieve aligned goals. The people in the organization need to know the relevance of what they are doing in support of the mission and the total organization's imperatives. Therefore, the leaders need to set forward a clear, transparent, and traceable path that identifies how individual performance and organizational performance align. As stated by one executive:

> The janitor at Cape Canaveral – he understands that cleaning the floor keeps the dust out of the rocket, which means that the valves won't jam, which means that they get to the moon…it makes his behavior align with his emotions. There are Aeronautical Engineers who walk by everyday who make 50 times as much – but I am respected, they say hello to me,

they understand that if I don't do my job right, this damn thing could crash
– and we're a team. In effect, the janitor's behavior aligns with the "grand
goal" of the organization.

Another finding gleaned from this theme relates to the impact of how
organizations are structured and aligned. The majority of the interviewees prefer
organizational constructs that are non-linear, non-hierarchical, and enable collaboration
to fluidly engage their ideas, processes, or challenges. This was not only the preference
of private sector executives. It was also the preference of public service executives
whereby bureaucratic, command-and-control frameworks tend to be the norm. A
consistent remark was that bureaucratic, "stove-piped" organizations do not tend to
naturally gravitate towards this cross-talk and collaboration; each silo has its own
background, processes, and pedigree. The result is often that the organization, as a
whole, does not tend to pull in the same direction. In a silo construct, the individual
departments tend to vie for their own causes and not have sufficient knowledge or
understanding of what the others want or need.

In these situations, the leadership must work quickly and deliberately to lay down
the glue, or the cross-organizational connecting points, so the organization can at least be
on a common page and have a joint, mutually-supportive framework and understanding.
In short, these interviewees contended that the less structured, collaborative, and
interactive organizations have many more interactions with intersection points and
opportunities to flesh out creative and meaningful results. However, they did contend
that there must be some form of rules, hierarchy, and process to help manage the
organization's progress towards mission accomplishment.

G.   LEADERSHIP STRATEGY AND ARCHITECTURE

This theme (leadership strategy and architecture) entails leaders employing a
continuous improvement process whereby they constantly develop and implement a
robust and actionable strategic plan that distills the "big ideas." This essentially
encompasses the grand plan for the organization that establishes its clear intent and the
supporting focus areas that the organization must rally around in order to move the

organization forward. This process and this plan accounts for the themes described in this chapter (e.g., leadership skills, leadership development, leadership environment, organization alignment, etc.). The key to this process is that it must be directly fused with committed leadership involvement. It is critical to this process that leaders invest their time, attention, and capabilities to a planning process that is continuously guided and championed. The ultimate goal of this strategy and strategic planning process is how the organization will set about to deliver the best value or "effects" for customers and stakeholders. As declared by one of the interviewees when discussing strategic planning:

> It helped tremendously – and we went about bringing some strategic planning into the business – and getting a much more – and a better understanding of our markets and customers and the products that we had. And – it ultimately led to decisions of getting rid of some of the businesses. Ultimately – it led to the dismantling of the corporation – but the dismantling was done in a manner that everyone was involved in.

At the end of the day, the leadership process must reveal how this can bring them, both collectively and individually, to a better place. At the front end of this process, it is important that the leader effectively guide, synthesize, and communicate a viable, actionable strategy. Essential components of this are:

- The **mission** – what must be done, what the organization exists to do.

- The **strategy** – how this is applied in action—the path.

- The **value** set that embodies this – the ethics, the important character traits.

Once these essential elements are in place, strategy becomes operational and tactical in nature. However, translating the strategy into operations and tactics is a very important part of the overall process. To accomplish this, it is critical that both the leader and the organization keenly understand the business, the operating system, and how it all actually comes together.

The process of implementing and then realizing these themes organization-wide, through a leadership strategy, begins with the senior-most leaders. The strategy starts with the leader understanding the brand promise of the organization. The leader then

conveys this with a vision that consists of a combination of ethics, the service promise to the customer, and the emphasis on the criticality for all members of the workforce to clearly understand their business (how it serves, how it operates, and how it all comes together). The leader then walks the talk and models it for all levels of the organization. This does not imply hierarchy, but modeling such that the customers and the people who deliver the customer experience understand what is being conveyed and modeled—and whether the leaders successfully deliver. The primary focus is about whether the ultimate, intended value is delivered from the perspective of the end user, customer, and stakeholder.

From within the organization, senior leaders must influence the expressions or outputs of every individual contributor using a leadership strategy that is directly tied to their organization's business strategy. The leadership strategy is not a separate set of tasks or events – it is inherently part of how the business of their enterprise is conducted (i.e., part of how the value is created for the customers). Each subordinate leader, relying on the queues, communiqués, actions, and intent of their senior leaders, must tangibly cascade the strategic intent across their organizations and teams—and ultimately—down to each individual employee. The messages must be tailored to each team and individual employee so that they are meaningful and relevant (i.e., how the janitor at Cape Canaveral's actions help send the astronaut to the moon).

It is critically important that this process is facilitated in a "full-circle" manner whereby senior leadership continuously seeks to understand how their leadership strategy is being cascaded and communicated organization-wide. Senior-most leaders must remain constantly engaged; they must continuously communicate, reinforce, LISTEN, reevaluate, and re-focus the organization if needed. In short, making a leadership strategy "happen" in an organization requires the actions of every leader, as the contributions of all leaders to an organization's leadership strategy are important. If the most senior leader is not engaged or focused on leading the organization, then effective organizational leadership would be difficult to achieve. Similarly, if the individual leaders are not engaged in the process, then the leadership strategy breaks down – as individual leaders are the critical links to the employees across the workforce.

THIS PAGE INTENTIONALLY LEFT BLANK

V.   PERSPECTIVES OF DHS MANAGERS

To this point, the research has been largely focused on the views of senior leaders and on top-level leadership roles. These have been leaders who have operated principally at the strategic level and are responsible for the organizational performance of a large and dynamic enterprise. To be sure, leadership certainly begins at this level, and it is the demonstration of leadership that sets the tone for the entire organization. As previously stated, leadership is the glue that holds the organization together, obtains each subordinate's willingness to follow, and as the governor of a state contended, if the workers believe in the leader, they "will run through a wall for you." In effect, the perspectives generated to this point have been exclusively from the top down.

While the researcher, in no way disputes the wisdom, experience, and leadership philosophies of senior leaders, the idea was to also understand the same data from a different perspective. For that purpose, focus groups were organized to discuss similar leadership questions and issues from the perspective of subordinate managers as viewed from the bottom up. The purpose was not to ask for a review of their leaders' specific performances or capabilities, nor was it to be a critique of a particular form of organization or function. Since many managerial-level professionals are also leaders for their direct reports, it was deemed to be important to gain the insight from their perspective based on their unique role of being both a follower and a leader.

For the purpose of collecting interview data from this perspective, focus groups and data-collection at conferences, meetings, and classrooms were conducted to obtain DHS managerial-level professionals' perspectives on senior leadership (the concept — not specific to individuals) in DHS. DHS managerial professionals consisted of General Schedule (GS) employees that ranged from grades GS-13 to GS-15 (or equivalent pay-banding scale in the case of the Transportation Security Administration or grade/rank in the case of the U.S. Coast Guard). These professionals provided similar responses as the non-DHS senior leaders upon describing and defining leadership. Therefore, the focus of

this chapter is on 1) their observations and recommendations on leadership issues in DHS; and 2) what they expect from DHS senior leaders.

A.   LEADERSHIP IN DHS: OBSERVATIONS AND RECOMMENDATIONS

1.   Observations

The components of DHS operate in widely diverse environments that range from military and law enforcement roles to legal, administrative, and policy roles. Situated between these extremes of roles, for example, lay large functional operations such as the Federal Emergency Management Agency (FEMA) and U.S. Citizenship and Immigration Services (USCIS). It therefore came as no surprise to the researcher that there was variation from component-to-component regarding managerial-level perspectives of leadership issues in DHS.

The most significant variation was the information provided by U.S. Coast Guard (USCG) personnel, in contrast to the information provided by personnel from other DHS components. Uniformly, USCG personnel voiced uniquely "content" or satisfied feedback regarding their leadership experiences with and perceptions of senior DHS leaders as well as DHS's leadership strategy. USCG professionals expressed satisfaction and confidence with their overall system of leadership. They also described their satisfaction with how leaders are developed as well as the qualities and values that their leadership ranks espouse, demonstrate, and reinforce throughout their careers. Managerial personnel from the other components had more to offer in terms of opportunities for improvement.

The positive feedback about the USCG's leadership strategies did not only come from USCG sources; personnel from other components described their perceptions of how the USCG has both established and maintained the "right" leadership relationship with the DHS headquarters since the beginning. One example (provided by non-USCG interviewees) was how the USCG has consistently placed some of their most credible and competent professionals at the DHS headquarters. They were staffed in liaison roles to represent the USCG's issues and equities while the other components tended to have

more random practices for their liaison staffing and selections. They asserted that the USCG's focused investment in staffing the DHS headquarters with strong liaisons has enabled them to intelligently and constructively fuse themselves into the issues and "hot topics" that continually surface at the highest levels of DHS, allowing favorable decisions from the USCG's perspective. In this DHS headquarters role, USCG personnel have been effective in providing real time guidance, expertise, and also creating a fast link back to their leadership to mitigate issues that arise. As mentioned by a USCG focus group member, "…they [DHS leadership] trust us – they let us make our decisions."

In contrast to the views expressed by the interviewed USCG personnel, a theme that arose from discussions with other DHS managerial-level professionals (from both operational and headquarters-based components) was the perception of "trust issues" (lack of trust). They characterized this distrust on a number of different levels – both internal and external to DHS. Internally, trust was described to be an issue between the operational components and the headquarters, as well as between the regional or field-based offices and their respective component headquarters. Additionally, they maintained that this lack of trust affected the quality of DHS's relationships with external stakeholders, principally from state, local, and private sector entities. They claimed that this drove the tendency for "centralized control," whereby significant headquarters' involvement has often been exerted, resulting in broad and deep involvement in operational, local, and regional matters by DHS officials in Washington, D.C. As described by the following focus group excerpts:

> …where people like to manage with a 1,000 mile screwdriver – and we do not let the people that know best (in the field) do their job.

> … it [headquarters] confuses roles and responsibilities, it does not trust, it does not give ownership or empowerment; and you cannot manage tactical situations from 1,000 miles away.

Managerial-level professionals said that they believed that the DHS headquarters has the welfare of the country at heart, but they perceived the driving, strategic intent behind everything to be centered around a "not on my watch" mode of operation. They claimed that this has directly led to a leadership mandate of "zero tolerance for failure,"

whereby failure of any sort of is highly scrutinized and simply not tolerated. In effect, it was perceived that the only way that the leadership believes that it can keep something bad from happening is to maintain full control. It was suggested that the core problem with this mode of centralized control and operation is that this runs counter to the notion of espousing functional, collaborative, and decentralized partnership and networks with the field offices and other stakeholders. Given DHS's inherently widespread and diverse missions, organizational elements, and stakeholders, it was pointed out that the model should be one that enables all involved to truly collaborate, listen, and guide each other as partners.

In terms of the headquarters-to-component relationships, focus group members remarked that the components largely agree with and support the vision that the DHS headquarters senior leadership has established. However, similar to the above theme of "control," they discussed occasions where the headquarters has attempted, at the detailed or tactical level, to implement this vision – as opposed to relying upon the components and/or regionally-based personnel. They claimed that the key challenge with such a centralized approach is that the component or field-based organizations often have a better grasp and understanding of the intricacies of the issues and how the vision could be most effectively implemented locally. This process of headquarters involvement at the tactical level was characterized as a rigid, non-negotiable mode of operation.

2. Recommendations

Given these real or even perceived trust and relational issues, the core challenge seems be how DHS leadership can enable the organization to more effectively and collectively address its risks, missions, and all of its priorities. It was therefore suggested by DHS managerial personnel that a key focus area for improvement should be on how DHS, writ large, comes together to address its shared priorities and missions. This was asserted to be an important issue based upon the fact that most of DHS's missions and priorities are shared, and they naturally require decentralized, collaborative execution to achieve success. To do this, it was posited that DHS needs to become better at being "dependent upon interdependencies." This was described as a notion whereby the

92

organizational, process, and technology-related dynamics synchronize to form the connecting points (or the "switch points"). The key to making this work relies upon, at the core, two critically essential issues:

- Building and maintaining organizational <u>trust</u>; (at all levels within DHS and also with external stakeholders).

- Aligning the organization – clarifying, confirming, and "racking and stacking" the roles and responsibilities of each organization (including the headquarters, the components, and the respective field offices) to ensure the organization is structured to most effectively perform the work.

With respect to trust, the remarks of DHS managers were consistent with the literature's findings on its criticality (i.e., "…if you don't command trust, you won't get anywhere."[173]). As was supported by DHS managerial personnel, an investment by DHS leaders in building and fostering trust may be a key towards realizing better collaboration, communication, relationships across the Department, and other positive outcomes.

In terms of how the organization is aligned, DHS managerial personnel asserted that the DHS headquarters is currently designed such that its focus is far more operational than it should be, and that it should be evaluated and potentially re-tooled such that it can look more at strategic policies and positions – and less on operations and tactics. Similarly, managers from DHS operational components suggested that more policy-making or strategically-focused professional opportunities and roles should be given to DHS professionals that work in the field or regional locations. They suggested that perhaps a matrixed construct could be considered, whereby field-based strategists or policymakers work in their regionally-based location but they report to the DHS headquarters. In addition to creating more DHS opportunities throughout various locales of the United States, it was offered that this would also reduce the risk that comes with centralizing DHS's "brain trust" in one location (Washington, D.C.).

---

[173] Covey, *Speed,* 4.

B.   WHAT THEY EXPECT FROM DHS SENIOR LEADERS

The information provided by DHS managerial-level professionals on "what they expect" principally fell into two themes that have been discussed previously in this paper:

- The leadership behaviors, traits, and skills that they desire in their leaders.

- The opportunities to be developed as future DHS leaders.

1.   Leadership Behaviors, Traits, and Skills

Managerial-level professionals at DHS want their senior leaders to have many of the same traits that the non-DHS senior leaders described as critical.   Many of the "conventional" qualities that they attributed as important for DHS senior leaders to both possess and demonstrate are competence, responsiveness, adept listening qualities, and the ability to inspire others.   They want their leaders to behave with integrity in accordance with the organization's values and ethics.   They want their leaders to be fair, consistent, responsible, accountable, and team builders.   They also emphasized the need for their leaders to be loyal, as supported by the following focus group excerpt:

> I would have advice personally for them as leaders. I would like to see a leader with some sense of loyalty.   This is really much more of an emotional comment rather than an intellectual one, but I am really tired of seeing leaders resigning and saying that they need to spend more time with their families. They had those families when they started, so I know it is more of an excuse…maybe it is pressure for them to resign and they cannot control it – but I would really like to see some more loyalty to the organization instead of skipping town when the trouble comes.

DHS managerial professionals also described some unique qualities that they deemed to be important for DHS senior leaders to both possess and demonstrate.   One quality was "wisdom in terms of where the organization has been and where it has the potential to go."   In other words, in the complex business of homeland security, they want their leaders to be adeptly wise and equally capable of guiding the ship through turbulent seas. Another quality was "confident humility," where the leader projects confidence

without arrogance. Another critical quality for DHS senior leaders is their ability to acknowledge, embrace, and leverage the "intangibles" existing in their people. As declared by a focus group member:

> It is critical that a leader acknowledges the intangibles in people – they must capitalize on them if you are going to have success in the government. It's not just managing and allocating resources and things – but developing skills in human beings.

DHS managerial-level professionals also want their leaders to have "backbone" whereby they take risks and assume personal responsibility for everything that happens, or fails to happen (and employees are not "thrown under the bus" when things go bad) in their direct line of responsibility. As conveyed in the focus groups:

> Some leaders have the mindset that "if your employees fail, then your employees fail." This is the wrong answer – the truth is that if employees fail, then the *leaders* have failed.

> A good leader insulates – they have to insulate their subordinates – the employees get the praise, but if all hell comes down – it stops at the leader – not the people that work for him.

Managerial-level professionals also want their senior leaders to acknowledge and address the problems and challenges that the organization must face each and everyday. In other words, no "elephants in the living room," as the employees (especially the managers) know full-well what the issues are that impact the organization. Denial, or a lack of focus on these issues by senior leaders, was characterized as toxic and unproductive. They argued that leaders should not give an appearance or send a message that says that "everything is ok," or "nothing is wrong" – when in reality, the place is a mess and there are major problems that lie in wait. Subordinate leaders and employees in the organization want their leaders to set forth the fundamental truths, even if they are brutally grim or bad, so that the organization can just deal with the situation they are in. This was characterized as a critical element of honesty and transparency that the people in the organization simply appreciate. It was purported that if the leaders are simply honest, frank, and transparent, no matter how grim the situation is, then this will pave the way for everyone involved to just roll up their sleeves to deal with the situation.

Through a survey of managerial-level professionals attending a graduate program in homeland security studies, following were answers students provided when they were asked to "briefly describe the individual who in their experience best personifies the meaning of leadership."[174]

> Honorable… humble… intelligent and insightful... loyal... delegated duties and allowed his subordinates to develop their operations within his guidelines… selfless… dutiful… forgiving and respectful…

> Inspires not only by words but in actions - has a vision - is credible - and is not driven by popular opinion but of a sense of right and wrong. May not be the most popular person, but history tells the final story...

> An effective leader creates a vision of what an organization or group is working for, engages the organization or group in identifying and developing strategies to achieve their goals and objectives, empowers group members to succeed, and recognizes the achievements of group members.

In short, DHS managerial professionals expressed that they want their leaders to possess and demonstrate leadership behaviors, skills, and traits whereby they celebrate what their employees contribute – their ideas, their knowledge, and their service. They want their leaders to be honest, frank, and transparent. They want their leaders to understand that they must be both "servant-leaders" (humble) as well as confident, "out front" leaders so that they can proactively move the organization to a better place.

2. Leader Development

DHS managerial professionals clearly voiced their desire to be developed by their leaders, involving both formal and informal (or "on-the-job") development. In terms of formal development opportunities, most acknowledged that development programs currently exist. But they further articulated their belief that training opportunities are not applied or administered as well as they should be (with the exception of the USCG). Some DHS professionals from the field specifically declared that they have declined

---

[174] Philip J. Palin, (class survey, Center for Homeland Defense and Security, NPS, Monterey, California, 2008).

developmental opportunities as they would be required to be detailed to the headquarters (in Washington) for an extended period of time. They voiced that this would be too large a disruption to their family and professional lives, and that it would also disrupt their community connections and investments. As stated by a focus group member:

> How does somebody whose life experiences and circumstances entail all of the skills and attributes of a great leader—drop everything [to go to a detail in Washington] when they have to maintain a balance with their social, civic, and family responsibilities? So, you have to sell your soul to the government, or remain a balanced human being…and I prefer the latter….and I would encourage others to do the same.

Others surmised that formal developmental programs exist in their components, but the development of technical skills is considered to be of greater importance as opposed to the development of management or leadership skills (again, USCG feedback varied). In effect, programs that tend towards technical or programmatic skills are used most frequently, as opposed to managerial and leadership training.

DHS managerial-level professionals placed even greater importance on informal or on-the-job development, which they characterized as "mentoring." They articulated that because new supervisors in DHS (and in many other federal agencies) are often "knighted" – declared to be a supervisor before they have demonstrated their capabilities – mentorship is even more critical than a week-long supervisor school to help new leaders to be effective. In effect, the core elements of how a framework could be constructed for developing leaders would entail:

- Deciding *what* the developing leaders should learn;

- Incorporating what they should learn into a flexible and practical "on-the-job" structure that enables the organization's leader to communicate, model, and reinforce the traits and behaviors that they want the developing leaders to have; and

- Sending the developing leaders to formal training opportunities that reinforce the on-the-job modeling and mentoring.

While formal training is valuable, the leadership development that really resonates is what happens (or does not happen) on the job. However, they consistently voiced that

the challenge is that their organizations generally do not have organizationally-sponsored mentoring programs. If an individual is exposed to "great" mentor, then this is principally based on luck and local supervisory channel circumstances, as was conveyed in the following focus group excerpt:

> If you've got a great leader – that's great – as you will learn a lot about great leadership skills – and it is really helpful. However, you are not always going to have a great leader. So you have to rely on others. For the boss I have now, I would not go to him for much; but for others, it was like "I want to be just like him." So, you learn from the best – and if you don't have that – you have to talk with your peers or others so you can learn.

These DHS managerial professionals emphasized that they take their responsibilities seriously and are fully committed to their organizations. But for organizations or teams to perform successfully in a challenging environment, each individual team member must know his job, take direct action on a timely basis, communicate as required, and be fully accountable for his action. In short, these managers have asserted that the institution (the agency, the department) does not have concerted, deliberate, organizationally-endorsed mentoring programs—and they would like to see this change.

C. SUMMARY – OBSERVATIONS AND RECOMMENDATIONS OF DHS MANAGERS

The strategic leadership issues that were deemed to be of critical importance to DHS managerial-level personnel are summarized as follows: DHS managerial-level professionals want DHS leaders to:

- Build and maintain organizational trust.

- Align the organization – clarify, confirm, and "rack and stack" the roles and responsibilities of each organization (including the headquarters, the components, and their field offices) to ensure the organization is structured to most effectively and appropriately perform the work. This also includes considering or allowing HQ opportunities to professionals operating in the field (virtual work).

- Possess and demonstrate leadership behaviors, skills, and traits whereby the leaders celebrate what their employees bring (their ideas, knowledge, and service); that they are honest, frank, and transparent; and they understand that they must be both "servant-leaders" as well as confident, "out front" leaders to move the organization to a better place.

- Develop and invest in DHS employees – both at headquarters and in the field, both formally and informally – grow them to become the future generation of senior DHS leaders.   This must be done in a manner that is relevant, meaningful, and directly-supporting to the realities, challenges, and requirements of the job.

THIS PAGE INTENTIONALLY LEFT BLANK

VI.   PERSPECTIVES OF DHS SENIOR EXECUTIVES

Interviews were conducted with DHS senior leaders to understand their perspectives on leadership in DHS. These interviewees consisted of DHS Senior Executive Service (SES) employees from the operational components as well DHS headquarters-oriented components. Some were the top leadership of their component, and others were Assistant Secretaries, Assistant Administrators, Deputy Assistant Secretaries, Executive Directors, Chiefs of Staff, or Senior Counselors. Some were political appointees, and others were career government employees.

DHS senior executives provided similar descriptions, definitions, and characterizations of leadership that all other interviewee populations provided. They also described comparable leadership traits and behaviors that they deemed to be critically important for senior leaders to possess and demonstrate in order to be most effective. Since this group formed the core interview population of which much of this research is centered upon, they provided uniquely insightful information on the specific issues, challenges, and tendencies that they face as part of their leadership requirements as DHS senior leaders. They also provided recommendations that, if implemented, they believe would help future DHS leaders to be more effective.

It must be clearly noted that themes formed as a result of recurring thoughts, ideas, and suggestions that were provided to the researcher by the DHS senior executives that were interviewed—a population that represents a very small portion of the enterprise. While these professionals held significant positions in DHS at the time of the research, it is possible that their specific insights and suggestions may not serve as a direct representation of the views of *all* DHS senior executives that are inside of DHS. The point is that while the following themes represent clear patterns that formed through the course of this research, they should not be inferred as analytically equivalent to the thoughts, ideas, and opinions of the entire population of DHS leaders.

The complexity or the difficulty of the leadership challenges that these leaders face was a predominant theme in terms of what has shaped or driven the issues that they

have faced on a daily basis. In terms of how to meet this complexity, resulting themes were formed from these interviews, and included the need for a concerted focus on DHS's leadership culture, organizational alignment, and leader development.

A.   COMPLEXITY

The interviewees, in one way or another, continually veered towards describing the difficulties, challenges, and complexities of the situations they have faced as part of their DHS senior leadership roles. It became evident very soon in the interviews that all of the senior leaders interviewed have made significant personal and professional sacrifices as a result of their commitment to serve DHS in a senior leader capacity. It was also clear that many DHS leaders have made phenomenal contributions and significant achievements to stand up DHS and "make it work" since its formation in 2003. They accomplished this within a highly compressed time period, coincident with a time of national crisis, and in the midst of significant debate over how the nation's domestic security priorities should be achieved. Throughout their tenure, they have also faced tremendous scrutiny and oversight from numerous stakeholders. As stated by one senior leader, "The challenges are just so great…it's extreme oversight, high pressure, high stakes, all of those reasons."

While DHS senior leaders are not generally physically out on the front lines catching "bad guys," their leadership challenge has principally entailed navigating their organizations towards mission-accomplishment in the face of:

- The hierarchical bureaucracy of DHS in coordination with many other "inside the beltway" bureaucracies such as the Congress, the White House, other Executive Branch departments and agencies, and the Judiciary (the *orchestrated symphony*).

- The requirement to be capable of preventing, preparing for, or responding to unanticipated mission requirements and asymmetric threats alongside multiple and diverse stakeholders (the *jazz band*) to "make it all work."

As is illustrated by these interview excerpts:

Now, I may not be an ICE [U.S. Immigration and Customs Enforcement] Agent out there arresting a child pornographer, but there's other kinds of

bravery in standing up to a bureaucracy—making it work for the security of the country rather than sit back at watch it attempt to run itself—this is the leadership challenge.

…because if we are facing a threat that is ever-changing, that studies us, that studies our technology, studies our procedures, studies our processes, well – if we're going off a checklist, then we're done before we even start.

Many comments were made about very long days (and often nights), and the high degree of turnover, stress, and burnout that many DHS employees have faced – including the senior leadership ranks. It was also offered that many of DHS's senior leaders are simply in the business of making "no one happy," in that they often are charged with leading very "unpopular" missions that bring significant scrutiny from stakeholders at all levels. Examples of missions that have brought this scrutiny, for various reasons, from multiple stakeholder groups include worksite enforcement operations ("busting" worksites) due to the systemic employment of illegal aliens, conducting perceived intrusive security checks at airports and sea ports, and implementing other security measures that can often end up delaying or impacting the daily activities of law-abiding citizens, and more. As conveyed in the following interview excerpt:

I actually think that no matter if DHS was perfect, we'd still be criticized because some of the things we do are not popular. It has everyone's attention and you've got people from both ends of the political spectrum that don't like what we're doing – and occasionally, we make people in the middle angry even as we try to have a balanced approach.

They also described their perceptions of constantly being "under siege" by the Congress, other stakeholder organizations, and the general public in their attempt to implement security measures unlike anything since 9/11. It was asserted that every time they lift up a rock, something else seems to scurry out that requires immediate leadership intervention. A few notable depictions about the challenges of being a DHS senior leader include:

You can't win – there are so many third rails, if you will.

I think the disregard that the Hill has for DHS, and how they try to personally embarrass and disrupt the morale of the entire department, is

probably the biggest challenge…and I have had some very, very difficult experiences with certain committees that in my mind have no [technical] oversight of DHS – but they put themselves in a position to try to publicly embarrass us.

Some of the people that have taken so much grief and I think they have handled it very well. You know, TSA for instance, Kip Hawley does not know how much I admire him- but I have watched TSA – they have been under crushing criticism, and Kip has kept his eye on the ball the entire time and has known what the right thing to do was no matter the criticism TSA has faced.

It may be just the old adage that "the next higher headquarters is always screwed up" – but I think the components need to trust the headquarters more. I feel like they – information sharing – you know, they hold onto information – they don't share it…it bothers me when they can't even work together well in Washington…and sometimes I find it disturbing to hope that they are doing it better in the field.

The toughest hurdles are internal. It is avoiding the conflict where the operational component in question believes my particular employee or my team here is stepping on their toes – or, I think their favorite phrase is "swimming in my lane."

Think about it at homeland [DHS] – all of the hours you put in – the stressfulness of standing up the organization – and much of it is still that way – people are leaving, people are wondering what the future is.

To date, it has been like 4-year old soccer…everyone is just going after the ball. I looked at who managed operations; sometimes it was [the Office of] Policy, sometimes it was OGC [the Office of the General Counsel], sometimes it was Management [the Management Directorate] – you just never knew – who is coordinating all of the components together so we can function as one agency?

But they've got to get over this turf; they've got to be willing to coordinate and cooperate on a large scale with others. I still see turf issues. Maybe it's because I have the budget and I have to do what I have to do—and you know, I am going to maybe talk a good game, but I am basically going to stay within my organization. It's hard for them to cross over that line.

It was clear, based on the emotions and the passions that were conveyed in the interviews, that most of DHS's senior leaders are dedicated patriots, especially those that

have persevered in their leadership capacities over the course of years. The interviewees offered that in order to deal with their inherently complex leadership challenges, they must each have an extremely focused purpose of mind and heart, and they must have an inordinate amount of tenacity, courage, selfless-service ethos, and sheer "guts" to pull through it. Similar to the non-DHS executives, the DHS senior leaders that have been successful in moving their piece of the organization forward in the midst of this have been those that have found a way to meet their challenges by embracing the complexity as opposed to denying it, or fighting it. The conceptual example provided earlier in the paper also embodies this: it is about "riding the wave," as opposed to being "pounded by the wave," by figuring out what parts of the complexity the leader can influence; identifying the high payoff targets and the goals; and moving ahead towards those goals. As supported by the interviewees:

> Recognize that this is a tough nut to crack – and that in the meantime, there is all of this low-hanging fruit—and with a little more detailed guidance, we can spend 75 percent of our time on this big rock that we can knock down…but we've got these little rocks in the meantime – and it would take just a fraction of someone's time to really – with tremendous payoff – start to plug away.

> So, when you get into the system, you need to understand what's there, what's required by Congress that you cannot get around, and then work with that 15 percent that you can really have an impact on – because it is not something that's tied down – but if you work with things that are out of your control, and I am not saying you should not try new things, what I am saying is that you've got to work with what you have as a tool – so they need to know what they are coming into. It is much better.

B. LEADERSHIP ENVIRONMENT AND CULTURE

Interviews of the DHS senior leaders confirmed the key findings of the literature as well as the insights provided by the non-DHS executives regarding the significant impact that the leadership environment and culture has on organizational performance. Similar to what was set forth earlier in the paper, for leaders throughout DHS to be effective, the organizational environment must be one whereby leadership can function. Leaders must create an environment whereby their people are encouraged to think about

all possibilities and work across organizational boundaries to get the best product, policy, process, and solution. This means that DHS leaders must foster discretion, decision-making, risk-taking, innovation, creativity, and ideas. This means getting away from "checking blocks," and moving towards the systemic practice of harnessing people and their collective ethos, motivation, discipline, teamwork, desire, and talent in order to move the organization forward. As stated by the interviewees:

> That's going to take years to do it all – but we've got to keep working at it. To make everybody feel—that's why I say "inclusiveness" – so that an agent out on the street understands that Border Patrol or ICE has the job – and they also understand what is expected of them. Not lip service – but actually working in a cooperative environment. That is hard…

> We need to [change the culture], because if we are facing a threat that is ever-changing, that studies us, that studies our technology, studies our procedures, studies our processes, well – if we're going off a checklist, then we're done before we even start. So, what's the difference? The difference is the people; the difference is the human element.

Accordingly, a clear imperative was revealed for DHS leadership to foster an environment whereby individuals do not view their career as a "job," but they view it more as something that they "are." They need to have a genuine service-ethos; they need to eat, live, and breathe their service; and they need to buy into it. They have to really want to make things happen everyday that contributes to public service and to homeland security. It is about fostering an environment such that the employees get really energized by what they are doing; passionate about what they are doing; and thoughtful and creative with what they are doing. The environment needs to be supported by more than "in and outbox" type of professionals. That is the essence of what a DHS leadership environment and culture should entail, and DHS leaders need to help their people to pull and push ideas and make things happen. As one senior leader declared:

> A mentor of mine used to say, "A vision without action is nothing but a dream." I've said many times that our vision is not a dream – but that it is really going to happen.

Another necessary cultural element for DHS to focus on is unleashing the capabilities that can be achieved by embracing the human element—the people. This is

done by centering everything that the people "do" on leadership, feedback, cross-talk, team-work, collaboration, networking, and ensuring that communication happens sideways instead of being confined only to the hierarchy. As reflected in this interview excerpt:

> So, we're going back [to the workforce] and we're saying, "We need you to engage – we need you to turn your brains on. You have the experience. We've got 47,000 sets of eyes out there. You guys know what is normal; you know what's not normal. Look for it – find it – and by the way – you are empowered to go beyond the SOP [standard operating procedure] – to look outside the SOP – and you should be – because that is what is going to come at you.   They're not going to come at you with a box-cutter."

Another clear issue that formed from these interviews was that DHS continues to struggle to fuse, or even connect, its component organizations. As referenced in these interview excerpts:

> The tug of war that has existed over the last 5 years between not losing the legacy cultures in some of the other components…217 years of experience between the Coast Guard and Customs—and there's been a conscious decision to try to not lose that culture, that legacy. At the same time, there needs to be a cultural shift…a totally different approach.

> When you look at the components, you have so many varying approaches that I don't know how you get to a common DHS culture, while maintaining the operating discipline within each of the components – it's a big struggle. I mean – Coast Guard – it's truly military.

> We are a long way away from the career SES [Senior Executive Service] cadre coming together. There's still a long way to go. The Secretary may have been able to bring in a political leadership team that all works well together and can sing from one common vantage point – you still have this long-standing career cadre that I think still harbors their desire for the old days. I think that's one of the challenges that the new leadership team in DHS will have…and depending upon how long it takes to get the new leadership team in place – you are going to have a group of career SESs running the place.

An idea that was recommended by a few interviewees that would help resolve this lack of connection or fusion is that DHS should impose a concept (that was apparently agreed to as an approach DHS would take) of having the Senior Executives rotate among

DHS's components. In fact, a criterion for personnel being considered for senior executive was apparently supposed to be on how many other component organizations they served in. However, it was claimed that this rotational model has not been adhered to in practice. In reality, for example, U.S. Customs and Border Protection senior executives most often come from within, and the same goes for the other DHS component organizations.

To summarize this theme, most interviewees agreed that the leadership culture and environment starts and stops with top, as it is a true-to-form "trickle down" phenomenon. As noted in the review of the literature, leaders are central to shaping the context and environment, and that organizational cultures can limit leadership potential while others can offer more.[175] Thus, DHS leaders, as a collective leadership team, must proactively seek to shape and reinforce an environment that allows DHS professionals to function effectively between the symphony orchestra and the jazz band.

C. ORGANIZATION ALIGNMENT AND CLARITY OF ROLES

A clear theme that resulted from the interviews revolves around how the organization is aligned, along with the issue regarding each of the components' roles and responsibilities (including DHS headquarters).

1. Organization Alignment

DHS senior leaders posited that a fundamental issue that impacts the leadership performance of DHS is a directly based on how the organization is structured and aligned. The following interview excerpt reflected the sentiments of several interviewees:

> The impact of an org chart and how an organization is racked and stacked—we are fighting against ourselves – pushing back the tide. We have extremely talented individuals – hard-working guys and ladies, but we have a flawed structure. It's a competition, and we are never going to be able to compete with [the Departments of] State and Defense until we

---

[175] Storey, "What Next," 94.

can get ourselves straight – and we have yet to do that. Chertoff…he really is smart guy – again, the problem is that Jack Welch could not manage what DHS has become.

A core issue behind such sentiments is that DHS was reorganized through the Second Stage Review (2SR) in 2005, which essentially flattened the organizational structure. As a result, DHS currently consists of multiple and separate component organizations that generally have a flat reporting relationship to the Secretary's Office. Because of this, it was argued that achieving DHS-wide fusion has been impeded as a result of how this structure seemingly requires Secretary's Office's become virtually engaged in every issue that arises from each component organization. Many described that as a result, the Secretary's Office has to constantly "fight fires" and react to the crises of each day. As stated by the interviewees:

> Again, I go back to my argument about structure to support the Secretary. Chertoff's got too much stuff coming across his desk – on a daily basis.

> …and I don't even know all of the names of these [components]…I don't think that [a certain component] needs to be a direct report – could it be a part of [the Office of] Policy? There are some of these offices where they probably have 10-15 people that are reporting directly to the Secretary.

> …some of the things that they are dragging the Secretary into—and I think about it in terms of the Department of Defense – I mean – it would be as if they were micro-managing the development of the M16 or the M16 replacement. That's not Department-level stuff—let alone, Secretary-level stuff.

It was argued that if the Secretary had a deeper support capability, characterized by a little more hierarchy and subordinate leaders that have decision-authority (i.e., Under Secretaries), then both the Secretary and the DHS component leaders would be better served. One core supporting argument for this was that there are simply not enough people in the Secretary's Office that have the wherewithal (the authority or the time) to, as one interviewee stated, "run all of the components." Second, the interviewees voiced that there are perceived disparities among the ostensibly "co-equal" components. For example, a component leader of a 50,000-person law enforcement organization is

ostensibly positioned as a co-equal peer to the component leader of a mission-support office that contains less than 50 personnel. While their intent was not to diminish the functions or responsibilities of the mission-support components, they voiced that these disparities have reportedly created tension and have confused priorities when the significantly smaller entities 1) regard the mission imperatives of the operational components as directly congruent or analogous to their work; and 2) attempt to "direct" the component leaders to take certain actions (i.e., review documents, attend meetings, etc.) that are not feasible or appropriate to expect of the top leaders of significant law enforcement, military, or otherwise operational organizations.

Analogies were made by several interviewees to how the Department of Defense (DoD) is structured at the senior-most organizational levels. In DoD, the independent Service arms maintain distinct organizational cultures, yet collaboration and connection is enforced centrally at the Pentagon. In the example of DoD, strategic leadership is performed by the Secretary of Defense alongside a leadership support structure consisting of a limited core group of Under Secretaries, the Joint Chiefs, the Service leadership, and ultimately the command organizations. There are unique differences among the Services and even within the Services; but there are also a myriad of joint connecting points throughout DoD that keep its numerous and diverse organizational elements connected— and perhaps even unified to some degree. Even when it comes to Congressional oversight, DoD has unified its interface through the Senate Committee on Armed Services and the House Armed Services Committee (single committees in each body responsible for national defense).[176] Comparatively, in practice at DHS, the organization does not appear to have similar binding connections at play. Internally, the organizational "glue" to meld together DHS's multiple silos has not been fully established.

Therefore, an organizational concept that was discussed is that there would be an Under Secretary for major functional areas such as policy, management, acquisition, as well as an entity that would oversee and coordinate DHS's operational imperatives. This

---

[176] Williams, *Strengthening Homeland Security* in National Academy, *Presidential Transition*, 19.

would reduce the number of direct reports to a manageable level, which would also 1) reduce the "fire-fighting" by the Secretary's Office; and 2) inject senior-level Under Secretaries that have the requisite authority to champion and act upon the issues of the component organizations. As is reflected in the following interview excerpt:

> Now, I think there're some fundamental things—like there are some very small offices – you know, that I do not think should be direct reports. I could make some recommendations on changing the entire R and D [research and development] nature of DHS – it would ultimately end up in [my component] going away. It would require some fundamental changes in the operating components, too. I could recommend a research, development, and acquisition arm – the Pentagon's got one – they have an Under Secretary for acquisition. You'd have to take acquisition budgets away from the operators – Coast Guard, CBP, TSA, etc. It creates a mutual reliance that does not exist right now. [Anonymous] is trying to build a relationship from development to acquisition – where the money sits is often where the authority is…in terms of simplifying things, this would be a good thing to do.

The DoD analogy was a conceptual example, but it was worthy of noting given that several of the interviewees discussed how DoD's organizational model may be applicable to DHS. In fact, most interviewees explicitly supported how the Department's Operations Coordination component was working to increase their "plug in" capabilities in order to better fuse into and help *coordinate* (but not *control*) operations that are performed by the seven distinct DHS operational components. As stated by the interviewees:

> I think one of the best things that the Department is trying to do – at least conceptually – and I am trying to find out more; to get a brief or something on this new Ops outfit [*referring to the revised responsibilities that are being led by Operations Coordination component of DHS.*]

> I do think there needs to be more joint-focus and a more integrated product team focus – as it is still very, very hierarchical. And - you need to be able to drive accountability to capability versus entity.

Regardless of how this is pursued, this issue was also conveyed with this note of caution: if DHS does not have the right leaders that are highly experienced, trained, and capable to effectively manage at this high level of the organization (as the Under

Secretary of each major entity), then any movement towards this restructuring could become very detrimental and create significant resentment, particularly by the leaders of the operational agencies.

A major organizational realignment of DHS was not supported by all interviewees. A small portion of the interview population remarked, due to the significant change and "turmoil" that would be entailed in any realignment of DHS, it would not be best served to undergo another change this soon into its existence. The argument was that the people and the organization as it currently stand simply need more time to settle in. This is illustrated by the following interview excerpt:

> …the best thing anyone can do for DHS is to just leave it alone for awhile – and I hope to God that the new guys coming in just leave it alone—for awhile. I think it is better to take the existing structure and define their roles – how you want them to perform – confine the change towards the structure that you have in place. You can still influence how (and there is still room for improvement) in just giving clear guidance in terms of who you want to do what, when, how—and also how to interface with other people.

Whether or not a major realignment is pursued, the preponderance of the interviewees supported an approach whereby some of the smaller components would no longer be direct-reporting components, but would be combined into or added as subordinate organizations with other components. The bottom line, however, is that there was wide agreement among the interviewees that the existing organizational structure does have some natural attributes that do lead to impediments, such as "fire fighting" at the senior-most levels. While it may have been a sufficient structure for DHS under the current leadership, many suggested that some form of organizational realignment should place so that DHS can increase its performance. The core of this issue principally comes down to how DHS addresses this.

It was also suggested that it is critically important to recognize that every DHS component plays a key lead role within their respective areas of specialty; yet, for DHS to achieve organizational synergies, it was argued that the department must also be better-welded together. The interviewees maintained that this would require a concerted leadership effort to make DHS headquarters and its components both dependent and

independent. It was argued that it would be a challenge to both achieve and maintain this inter-dependence, and that leading this balancing should be a core focus area of the Secretary. It was also posited that those that want to scrunch everyone together as "one" will not achieve success as it will create resentment; thus, the key is to figure out how to incrementally link and fuse the connection points that can lead to synergies (the "win/win") without disassociating the component agencies' rich history and heritage into something generic or vanilla.

An approach that was stated to be underway by the current leadership to help bring DHS together has to do with the core issue of how resources (dollars and people) are managed. Some of the interviewees agreed with this initiative in that the aim is to try to find synergies among DHS's components in order to drive common business practices and common investments – all towards shared objectives. One example is how the senior leadership in the Secretary's Office is evaluating the intricacies of the budgeting process for DHS. Interviewees stated that the top DHS leadership has been focused on trying to understand, from a budget perspective, what the issues are of all of the components, the common threads, and the kinds of common investments that can help weave together the components of DHS.

This specific organizational alignment issue seems to come down to two key leadership tasks for enabling an improved organizational connection within DHS:

- DHS needs to operate together, which involves bringing leaders together to integrate and focus on capabilities as opposed to organizational "boxes."

- DHS needs to link the bureaucratic functions and foundations together (e.g., budgets, resources, information technology, access badges, human resource / staffing functions).

Without these two connection points, then separation among DHS components will persist. Interviewees claimed that all of this must be approached and viewed from a systems perspective whereby all of the points of interface are inventoried and incrementally cinched together. They said that this would be very difficult to achieve, as it would have to be accomplished from a holistically pure and unbiased view on behalf of

all that are involved. In other words, individual component agency agendas must not be the driving force behind any such effort. In closing this section, it is important to reveal a theme that formed based on all of the senior leader interviews: that DHS is *better together*. The following interview excerpts reflected these sentiments:

> I still believe that operational evidence as it continues to build up – shows that we're better together than we are separate…now when you see the things we were able to bring together based on Chertoff making some management decisions following Katrina. He brought together Coast Guard, CBP, elements of ICE, TSA, and FEMA – which really was an administrative office – and it was remarkable – that's the synergism that I think some people underestimate even today.

> I think that for those who argue for independence, I don't think that they really understand how an organization in government works. I think if anyone stands back and really thinks about all of the factors of being an executive agency – dealing with Congress, dealing with the Administration – there is a lot of value in being in DHS. [There is] mission synergy in DHS – there is a lot of value that I just don't think most people appreciate.

2.   Clarity of Roles

Regardless of whether DHS pursues a new organizational alignment, the majority (if not all) of the interviewees agreed that it is imperative for every DHS component to have better clarity of their respective roles and responsibilities and how they all integrate as one department. A clear theme formed from the interviews that there is currently ambiguity in terms of "who does what." It was recommended that the department-level should establish and reinforce the overall strategy and direction as well as clearly lay out the roles and responsibilities of each organization. As described by these interview excerpts:

> I think a lot of it is clearly defining the roles and responsibilities of these offices – particularly the headquarters, and how they all interact.

> I find that they [DHS headquarters] don't clearly articulate. I feel like the expectations, at that level, up there, that there's no clear delineation of

"DHS roles and responsibilities," "TSA roles and responsibilities," etc., and there's a lot of ambiguity around that organizational structure and it makes it really hard.

I feel like the rules are changing as we go and we do a lot on the fly. And again, that could be a product that the Department is so young. So, I think – to leadership – part of it is structure, expectations, and what are the roles and responsibilities.

Additionally, senior leaders inside of DHS's components widely-supported the concept whereby they would be empowered to determine how they will meet DHS's strategic direction. This was based on their claim that the component leaders, especially those that lead operational entities, know intuitively know more about their intricate operational and regional needs. An interviewee offered the following response to illustrate how her component would react to strategic guidance from DHS, "Okay, here's how we are going to do this here, and it might be different [from other components] – you know – we are different organizations."

However, rationale for why such strategic clarity and direction has not been regularly provided was based on the contention by some interviewees that the Department's view of their role has been to "control the components." If that is true, it was argued that such an environment of control effectively shuts down information-sharing, collaboration, and the exchange of ideas across DHS. It was then recommended that the overall strategic direction and guidance that is provided by the Department must be "strategic enough" to be useful and relevant, but not overly controlling or prescriptive for it to be really supported and acted upon. As put forward by an interviewee:

[DHS says] Okay, here is the over-arching, strategic goal. Here is the principle that we are trying to drive throughout the entire DHS. And, you, component, tell me how you are going to accomplish that within your area.

In effect, it was suggested that this method would enable a healthy dialog that is characterized by mutual respect 1) respect for DHS headquarters' role of providing

strategic, over-arching guidance and principles; and 2) respect for the components' authorities and capabilities to creatively meet the strategy so that it is successful at each component.

D.   LEADER DEVELOPMENT

All interviewees stressed that DHS leaders must be better developed and better supported. The interviews reflected that leadership development in DHS fundamentally comes down to the process of preparing DHS professionals to assume greater responsibilities that come with promotion to higher levels. Widely-supported by the interviewees, DHS leaders at all levels of the organization must be competently capable of performing the functions of a leader. At the same time, there was consensus by the interviewees that leader development in DHS currently does not receive the priority or the attention that it should. Of note, there was variation from component-to-component in terms of the maturity and effectiveness of their leadership development programs. In fact, the following excerpt of the leaders of two operational components reflects progress that has been made in leadership development:

> …we were very limited until recently – again—resource limited. Frankly, when I first got here, there was minimal training going on, minimal education programs going on, there was minimal movement of the workforce—transferring to jobs of opportunity, this sort of thing. What we have done is to try to put into place here, the last couple of years – which was really led by [anonymous], we have a training and education program that is exceptional, and it is dedicated towards training the leaders of tomorrow. And we now have—we're trying to build a "managerial reassignment" – managerial rotation program – in which we go ahead and do as you suggest – "grow our leaders" through rotations.

> The growth [opportunities] of the future top leaders of the organization have been huge – and we have not really changed much of that – we still will allow for that next generation, top-level leaders to take on really tough projects and move them forward.

However, the consensus from the interviews was that progress needs to be made in this endeavor, as is reflected in the following excerpts:

The government — it doesn't develop its people to be leaders – so I personally feel at all levels of the organization that leadership is severely lacking.

I think that we're going to start to begin to invest money in the development of [component] people—this is very important. It just hasn't been done in the past.

We don't do a good job, quite frankly.

There is just too much of where you were assigned and who you know—folks have been carried along. Some are good – but some are not – and we are saddled by some of the "not."

I feel starved for that type of feedback and data because we're in a culture that does not give it – and so how do I know if I am being an effective leader or not? Because I am not getting that feedback. So, I think if I look down on the organization, we're not developing people to value feedback—and to value, "oh gee, I need to be looking into the mirror honestly if I am going to, you know, get better." So, I feel like we are lacking leadership development programs.

They agreed that spending money to "send people to training" is not the answer. Rather, it comes down to deciding what DHS wants its developing leaders to learn – so that whatever training method is available, the content of the training can be reinforced and supported on the job. In short, there was wide consensus from DHS senior leaders that it is important for growing leaders to have access to a system that develops, distills, and strengthens their critical leadership capabilities that required for success in this challenging environment. However, while these senior leaders seemed to want better leadership training and organizational preparation, the interviews revealed a notable gap. This gap was the space between:

- The high amount of importance and priority DHS senior leaders placed on developing leaders in a meaningful way.

- An inconsistent, lackluster leadership pursuit to support *doing* this.

The inference that was drawn from the interviews is that the business of the enterprise is such that the senior leaders do not have the time or the opportunity to personally engage

in the leader development process. Thus, they seemed to be looking for some outside facility, training center, or company to take on that responsibility and deliver ready-made leaders. That is the equivalent of telling their direct reports, or subordinates, to "step out on the wire" while telling them, "BE CAREFUL! DON'T FALL!"

E.   CHAPTER SUMMARY

The interviews with DHS senior leaders revealed that they are impressive, fully-capable, and highly dedicated professionals. They are not unqualified as leaders or as professionals in their field. There is nothing inadequate, or "lacking" when it comes to them as individual leaders. For DHS leaders to achieve *Goal 7*[177], these interviews provided that they can better meet their complexities and the challenges if there is a concerted focus on DHS's leadership culture, organizational alignment, and leader development.

---

[177] *Organizational Excellence* — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability, and teamwork to achieve efficiencies, effectiveness, and operational synergies. DHS, *Strategic Plan*, 8.

VII. CONVERGENCE OF KEY ISSUES – THE JOURNEY TO THE "SO WHAT"

This chapter discusses three key issues that have emerged from the hours of interviews with DHS senior leaders, DHS managerial professionals, and the non-DHS executive leaders. The first key issue describes the impact that tradition, legacy missions, and established culture and commitment has on the leadership challenge. In the context of large-scale organizational inertia, what does it mean for "leadership to be done right"? The second key issue describes the notion of organizational "glue," or cohesiveness, and whether organizational cohesiveness is a fundamental leadership issue for DHS to address before organizational excellence can be achieved. Finally, the third issue defines *who* in DHS can most effectively affect organizational leadership. That is, who in DHS is in the best position to establish a leadership strategy that will take hold in the organization?

A. KEY ISSUE 1: THE CONTRIBUTION OF LEGACY, CULTURE, AND BRAND TO "LEADERSHIP DONE RIGHT"

Given the relatively recent stand-up of DHS during a time of national crisis to perform a very difficult mission, DHS professionals have had to prepare, prevent, or respond to asymmetric, transnational, and unknown vulnerabilities and challenges. This very difficult undertaking has placed a tremendous operational burden on DHS leaders. In addition to DHS's complex mission, merely establishing and developing the DHS organization – its culture, its brand, its legacy, and its values – consisting of an assortment of preexisting legacy organizations and newly formed or merged organizations, has been a significant undertaking. This undertaking has truly required DHS leaders to "build the aircraft while it is in-flight."

The issue of legacy, culture, and "corporate brand" were revealed to be very important success factors for effective organizational leadership during the interviews taken with senior executives outside of DHS. Here are a few examples of how those senior executives described these issues.

- The [leadership] strategy starts with the leader understanding the brand promise of the organization.

- Effective leaders leverage the power of the brand - by understanding how the brand promise translates into individual, team, and organization-wide supporting actions. Leaders must understand what their institution promises – and what that means to its customers, stakeholders, and employees. It must be aligned and people must understand it in every encounter – whether the leader is there or not.

- Leadership requires an environment where they can apply it. It must be underwritten in the culture and the organization.

According to these executives, "leadership done right" significantly relies upon a strong legacy, culture, and brand in order to maintain a continuously high-performing organization. Large organizations generally build their legacy, culture, and brand over a long period of time, as is reflected in this excerpt from the literature; "Leadership, credibility, and experience grow within the time-honored and conventional confines of that [the organization's] work."[178]

Over the course of multiple encounters, employees and stakeholders participate directly in the development of the enterprise while senior leaders model character, define values, establish performance expectations, and personally network to refresh their vision. Leaders also challenge the organization to continually improve its product, performance, and client/stakeholder satisfaction. The culmination of leadership defines the legacy of an organization. A key success factor to continuous improvement and maintenance of the organization's legacy is organizational stability. Such stability is not to be considered static or inflexible, but is reflected in the organization's continuity of purpose, values, and performance ethos.

DHS as a single enterprise has not had the benefit of legacy, as it has been in existence, at this time, for just over five years. DHS also has a diverse array of organizational elements or DHS components, all with unique cultures. As is illustrated in these interview excerpts:

---

[178] Marcus, Dorn, and Henderson, "Meta-Leadership," 46.

Distinct cultures were thrown together into a single department – which is likely the hardest part of this formation. DHS has vastly differing cultures within it - depending on the type of component organization (such as law enforcement organizations like the Secret Service and ICE versus preparedness organizations like FEMA). The challenge is that instead of it being the "Department of Homeland Security" – it is more like the "Confederation of Homeland Security."

If you just think of the seven operating components at DHS, the Coast Guard, the Secret Service, and much of FEMA, they came to DHS in tact. ICE and CBP—new organizations themselves, brought together from bits and pieces from the Departments of State, Treasury, Justice, Agriculture, and other places were all shoved together; and so, they were developing their own culture and processes at the same time the Department was formed. It was not just an acquisition or start up, it was a hostile take-over/merger – and the headquarters had not established all of those processes or standards for how it was going to work.

There are vastly differing cultures in DHS - it has been called a "clash of cultures."

When you look at the components, you have so many varying approaches that I don't know how you get to a common DHS culture, while maintaining the operating discipline within each of the components – it's a big struggle.

The legacy, culture, and brand of DHS, at this point in time, seem to be more of a reflection of *each component organization*. This is particularly the case with the component organizations that have pre-existed DHS by decades (in some cases hundreds of years), and their legacies, cultures, and brands have been well-established and are fully functional. Since senior leadership turnover is a reality at DHS (and more pronounced at the DHS headquarters), by default, the elements of legacy in DHS tend to reside further down into the organization, where they are maintained by the components.

These issues of legacy, culture, and brand have become key elements that have shaped how a leadership strategy should be approached in DHS. For example, DHS initially sought to integrate the "One DHS" philosophy across the entire Department. However, emphasizing the singularity of "one" was viewed by DHS to be flawed (see quote below) given DHS's recent place in history, along with the fact that DHS

comprises multiple agencies that have maintained their own identity and legacy prior to their reorganization into DHS. In effect, "One DHS" diminished the rich legacies, brands, and cultures of many of the components. To address this, DHS followed up with "Team DHS" as the organization's philosophy, to emphasize singularity of "team" but also to respect the different elements of legacy and brand that the different components have valued over time. As noted previously in the Literature Review (Chapter III), the DHS Chief Learning Officer, Dr. George Tanner, stated:

> Under One DHS, components lose their identity. With "Team DHS," the Department is looking to assist where it can." It is "ensuring that everyone knows that we all work for the same team."[179]

However, similar issues with "One DHS" may also be seen with "Team DHS" – in that both philosophies emphasize some form of singularity that the organization may simply not be ready for. Given DHS's current organizational environment and its short history, a key finding is that an emphasis on singularity may not help to advance organizational connection in DHS given the evolutionary process to which legacy, culture, and brand are established. The point is that the very important evolutionary aspects of culture, brand, and legacy require time and "boots on the ground" experiences to achieve cross-DHS synergies, along with consistent, thoughtful, and deliberate propagation of organizational leadership. It is not about hanging a wall chart or creating an internet posting with a stated organizational philosophy to "help along" the organizational culture, brand, and legacy. In fact, it was revealed in the interviews that some of the DHS senior leaders were not aware of (or did not understand) the rationale behind the "Team DHS" philosophy:

> What they need to do is to continue the policies such as "One DHS." [At the time of the interview, "Team DHS" had been in effect for over two years (approximately)[180]].

---

[179] Huang, "After Reorganization," 67.

[180] Douglas Rich, personal communication, December 2, 2008: there does not appear to be an official "release date" for the "Team DHS" philosophy; it has therefore been approximated that this took effect in early 2006.

"One DHS" brought us way over here [to one extreme]; so perhaps "Team DHS" is in the middle. I did not know – I mean, I've seen the posters – but I just didn't get it.

[Team DHS] is [a good concept], but you know, people don't go to the ceremonies.

For an organization like DHS to evolve, for its brand, culture, and legacy to be developed—time, organizational experience, and an engaged workforce and leadership team are the essential ingredients.

B.   KEY ISSUE 2: DOES IT COME DOWN TO THE LACK OF "GLUE"?

The DHS organization resembles the wiring of a very large and complex homemade machine. It did not come with an operations manual. It does not have a wiring diagram, and no one knows exactly how it works. Rather than try to work with the big clunky homemade machine, DHS employees rely on their individual organizational silos which provide them with better-understood and more "knowable" support mechanisms, protocols, and points of contact with which to operate.

As a result, DHS has become infected by bureaucratic inertia and has faced other impediments (low morale, poor relationships, high scrutiny, etc.) that have made performing a cross-cutting, dynamic mission very difficult. The various impediments seem to be separate and distinct, but in reality, they are just unique symptoms of the same disease. The disease in this case is the inertia that results from the continuous application of vertical, bureaucratic, or formulaic approaches to *all* of DHS's leadership, organizational, and mission-related strategies that often require more dynamic, cross-cutting, "networked" approaches.

A persistent theme from the interviews, especially from the DHS executives, has been that there is an acute absence of "glue" (organizational cohesiveness) or strategic direction that is needed to connect or align the larger DHS organization in a meaningful way. In essence, it was proposed that connecting DHS's strategic direction must be resolved *before* effective leadership in DHS can occur. This is because: *how one leads is a direct reflection of what the organization allows the leader to do*. Therefore, initially,

the "so what" of this research was that resolving this lack of organizational connection is a likely prerequisite to making effective organizational leadership happen in DHS.

DHS's form of organization can best be compared to a large global conglomerate with a centralized "holding company." As a flat and broad organization, the senior-most leader directly oversees some twenty-two component organizations that are generally "silos" – or command and control independent structures. It was suggested that one way to resolve the "lack of glue" or lack of strategic connection was to be through a more streamlined, yet more rigorous organizational structure (as was a theme in the DHS senior leader interviews, i.e., having a few highly qualified Under Secretaries with requisite authority to oversee multiple component organizations that seek similar effects, threat management, or outcomes). It was also suggested that this connectedness could come about by way of broader integrated budgets, research and development collaborations, integrated service bureaus, or joint policy-making units.

Nonetheless, the point of this research was not to pursue a new organizational structure for DHS, or to propose detailed mechanisms to streamline and integrate core functions. Even so, in the interviews, it was continually voiced that the functionality of the organizational design is critical to communicating and modeling its leadership in a diverse and complex operating environment. If DHS cannot communicate effectively from top-down (vision and leadership modeling), or from the bottom-up (strategic and operational planning), or from side-to-side (matrixed collaboration and communication), then the organization will have difficulty in reaching out and effectively meeting the needs of its stakeholders (Executive, Congress, and the public) - the first time, every time. In short, at first glance, the seemingly obvious "so what" of this research was that DHS leadership cannot maximize its impact on performance given an unaligned or disconnected organizational structure—which may be the principle cause of DHS's lack of organizational "glue."

Given the importance of organization alignment and cohesiveness to effective leadership as provided by the literature and the interviews, dealing with this "glue issue" seems to be significant enough to enable or disable effective organizational leadership in DHS. However, after significant reflection and examination of each and every interview

transcript along with every piece of literature that was reviewed in this study, it became clear that the real "so what" must be centered on how <u>leadership</u> strategies, actions, or behaviors can help DHS to "*deal with the situation they are in*" (also a key theme from the interviews). In other words, while a reorganization or consolidation of budgets and oversight might be a useful undertaking to help connect the foundations of the organization, the core to better connecting DHS and achieving organizational excellence in DHS is about **the leadership strategies—the leadership strategies that can help DHS and its components work together better to "connect the dots," accomplish its missions, and achieve effects – better, faster, and as cost effective as possible**. This is illustrated in the following quote:

> The country does not at present have the luxury to patiently wait while agencies take their time to adjust operating procedures and protocols: progress in achieving a protected homeland needs to be quicker and deeper than what would occur in the normal course of governmental change and response.[181]

In other words, "bureaucratic excellence" of DHS or "expediting" DHS's organizational legacy, culture, or brand is more about the leadership strategies, behaviors, and actions that can enable this recently-formed alliance to achieve effects.

> The answer is leadership. Organizational change occurs slowly and it offers solutions to problems in the long run, as a gradual, evolutionary process. Individual people—leaders—however, can and should be more agile and adaptive in the short run, and are able to prompt the sort of resilient and flexible organizational response required for quick and immediate change.[182]

---

[181] Thomas Inglesby, Rita Grossman,. and Tara O'Toole, "A Plague on your City: Observations from TOPOFF," *Clinical Infectious Diseases* 32 (2001): 436-444 in Marcus, Dorn, and Henderson, "Meta-Leadership," 43.

[182] John Gardner, *On Leadership* (New York: Free Press, 1990) in Marcus, Dorn, and Henderson, "Meta-Leadership," 43.

C. KEY ISSUE 3: WHO ARE THE LEADERS IN DHS THAT CAN AFFECT LEADERSHIP?

Within DHS, who is actually defined as a leader or "the leader"? If there are organization-wide issues or problems, then who, exactly, is responsible for addressing them? Is the leader the most senior executive as in the symphony metaphor described in the Introduction? Or, is everyone a leader in some fashion as in a jazz band? Are leaders a combination of "all of the above" and, if so, how does that combination form and work within an organization as large and complex as DHS? If leadership is defined as what one does, as well as who one is, then it seems to lead to the conclusion that the most senior executive is the "ultimate" organizational and visionary leader.

However, there are other leaders within DHS whose actions affect the performance of the organization. Leadership of an individual contributor might be defined as the prorating of their independent thinking and actions as related to the functions of their role that are determined by the organization's processes and procedures. Since this type of leading occurs most frequently, and is exhibited by the greatest number of people in the organization, perhaps it is this aspect of "leading," by its own weight, that is the most meaningful to the performance of an organization like DHS.

While there are likely both qualitative and quantitative differences regarding the practice of leadership when comparing a line supervisor to the senior-most leader of the organization, the point is that everyone has a critical role to play in leadership in DHS. The most senior executive must lead in a way that permeates the entire organization to guide the expressions or outputs of every individual contributor within the total organization. Since each individual leader's contributions are what the customers or the stakeholders most often directly experience, performance by individual leaders can form the basis for that which makes DHS relevant and effective (or not).

Therefore, the leadership actions of everyone in an organization like DHS matter. If the most senior leader is not engaged or focused on leading the organization, then effective organizational leadership would be difficult to achieve. Similarly, if the individual contributors or "performers" of leadership do not support the senior-most

126

leader or are not adequately skilled to lead their organizations or tasks, then mission success and organizational excellence would also be difficult to achieve. In short, the practice of "leadership" by all DHS leaders, from the Secretary to the individual contributor is important and relevant.

The primary conclusion from the chapter is that DHS's current "leadership equals authority" pattern cannot meet the challenges presented in the first two issues. In other words, DHS has not had sufficient time to mature (Issue 1), and because of that, there is no "glue" (Issue 2). In order to lead the organization through the continuing transition, to overcome "singularity," and to create the "glue," the answer to the WHO the leader is in DHS cannot simply be the person or two with authority. Traditionally who the leader is would be defined by authority. However, in light of the need to be creating new legacies, to respect diversity and to achieve cross-organizational synergies, a new form of leader is needed based on ability to influence, inspire, and catalyze. This is no longer a function of "authority" or even "power," but of skill, experience, and collaboration.

THIS PAGE INTENTIONALLY LEFT BLANK

VIII. THE "SO WHAT" – RESEARCH CLAIMS

DHS has faced a persistent bureaucratic inertia, characterized by "vertical silo" tendencies, low morale, relationship issues, and other impediments that have given DHS employees a sense of being in a continuous struggle to perform their mission. Of significance is the negative inertia that is caused by some key, long-standing DHS employees (including some leaders) who "still harbor their desire for the old days."[183] This is further compounded by the fractured and overwhelming Congressional oversight by more than 80 diverse committees and subcommittees. These issues or impediments have caused DHS to resist the imperative to connect, fuse, and function consistent with *Goal 7, Organizational Excellence*.

> Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability, and teamwork to achieve efficiencies, effectiveness, and operational synergies.[184]

This research has been an attempt to understand how leadership can help DHS to accomplish this goal, and whether specific strategies and corresponding improvements can lift DHS to a higher level of performance. The research question was:

> Are there new strategies for leading in DHS that: 1) help DHS leaders achieve a higher level of individual and organizational performance given organizational, functional, and technological challenges; and 2) enable DHS to more effectively synchronize towards achieving its Organizational Excellence Strategic Goal (Goal 7) that was established upon the formation of DHS?

The research question was studied through the analysis of:

- The findings and recommendations offered by the literature on strategic leadership issues.

---

[183] DHS senior leader interview excerpt (Chapter VI).

[184] DHS, *Strategic Plan*, 8.

- The leadership strategies, practices, and traits of non-DHS senior leaders (executive leaders, external to DHS, who have faced similar challenges as DHS leaders).

- The impressions of how managerial-level professionals view leadership within DHS.

- The leadership strategies, practices, and traits of DHS senior leaders.

The following table illustrates the core elements of the research question:

Table 3.   Research Question Elements

STRATEGIC GOAL #7
VALUE PEOPLE
The Executive Branch
Congress
States, Local, & Tribal Stakeholders
Individual Citizens
International Stakeholders
Employees
Contractors & Suppliers
CREATE THE DHS CULTURE
Common Organizational Identity "Team DHS"
Innovation
Mutual Respect
Accountability
Teamwork
A CULTURE THAT PRODUCES
Effective Operational Results
Efficiencies
Operational Synergies
Productive Working Environment

The simple answer to the question is yes, there are leadership strategies that can help DHS to achieve a higher level of individual and organizational performance, and to more effectively integrate toward achieving *Goal 7*. This chapter describes a leadership strategy for DHS that is based on a culmination of themes that formed throughout the

course of the research.[185]   These themes reveal ideas that, if acted upon, may help DHS to achieve a higher level of organizational performance.   These ideas are intended to serve as insight and recommendations for how current and future generations of leaders may seek go about leading in order to bring their organizations, employees, and stakeholders "to a better place."

A.   LEADERSHIP STRATEGY DEFINED

To begin, a "leadership strategy" in the DHS context is defined based upon themes that formed in the interviews and ideas presented in the literature (from Chapter III, Literature Review).   According to the interviews, particularly from the executives external to DHS, a leadership strategy encapsulates a *deliberate* approach to leading that is focused on achieving the organization's desired outcomes or effects.   As summarized in table format in Appendix IV, the executives described how a leadership strategy explains how their mission is applied in action, along with the values and behaviors that the people are expected to demonstrate.   According to the literature, a leadership strategy involves the continuous, flexible, and dynamic process of optimizing organizational and individual performance.   Citing authors Ireland and Hitt, Mary Crossan, and Daina Mazutis described a leadership strategy maps out:

- The organization's purpose and mission.

- The core competencies that are to be exploited and maintained.

- How human capital is to be developed.

- How and effective organizational culture is fostered.

- The ethical practices that are to be emphasized.

How organizational controls are to be maintained.[186]   These authors also emphasized that the leader should embrace the organization as a dynamic system of

---

[185] Appendix IV consists of a table that summarizes the key themes that were derived from each interview population.

[186] Ireland and Hitt, "Achieving" 63-77 in Crossan and Mazutis, "Transcendental Leadership,"132.

forces and individuals. Therefore, the strategy is not a concrete vision of a future state, but it is a set of processes and principles that ultimately drive the organization towards a higher level of performance.[187]

For a leadership strategy to resonate in a large, high-stakes organization like DHS, the literature provided that it must also be fundamentally integrated with the core business strategy. In other words, a leadership strategy needs to be directly tied to the strategy for how the business of the enterprise is conducted. As set forward by authors Katherine Beatty and Richard Hughes from the Center for Creative Leadership, the organization needs to be driven by leadership *as a process*, not as a position or a static model. The key is establishing a leadership strategy that is not only linked to the overall business strategy – but is inherently *part of* the business strategy – which expresses itself continually in real time. This integrated relationship is depicted by the following figure (developed by Beatty and Hughes). The key point is that "strategic leadership is a process, not a position." In other words, a leadership process is not a list of things to do, but is a list of ways to think. The following chart, Figure 6, demonstrates how the process supports direct actions.
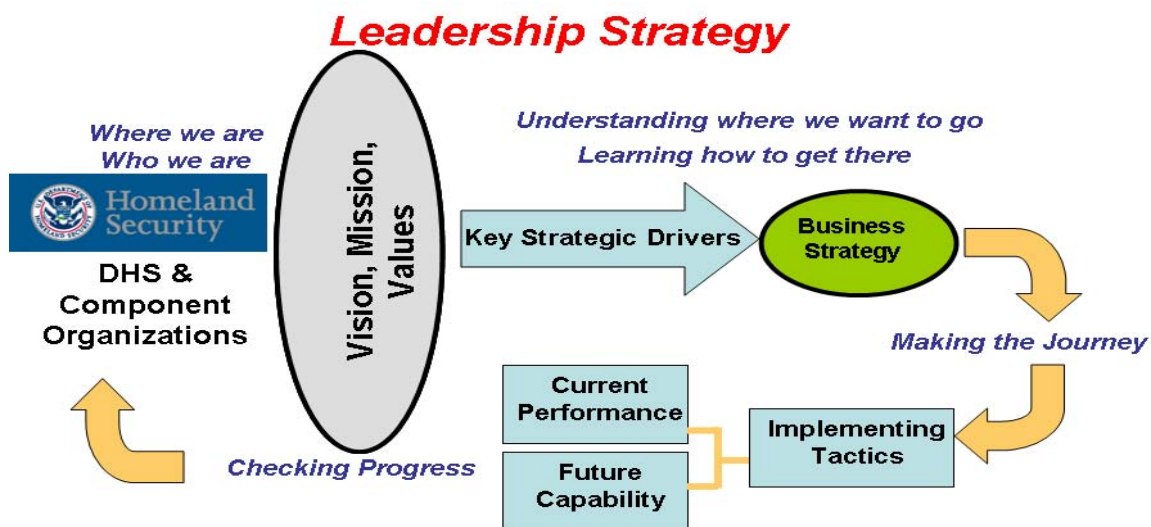
Figure 6.   How the DHS Leadership Strategy Should Integrate with the Big Picture[188]

---

187 Crossan and Mazutis, "Transcendental Leadership,"136.

The essential point of this graphic is that for any leadership strategy to be meaningful and effective, it must be fundamentally part of the entire strategic map. As part of the strategic map of the organization, the leadership strategy is a process whereby people are called to action and motivated to achieve meaningful, goal-centric results that move the organization forward.

Further distilling these themes and ideas from the literature and the interviews, a leadership strategy for an organization like DHS should be an approach that entails the *intentional* aspects of leadership to move the organization towards a higher level of performance in achieving its mission. It is not a response to the daily challenges of the business, but it is the expression of, or the intentional modeling of, the performance ethos and values desired for the organization. This intentionality is what shapes the strategic elements of the business plan, and for DHS, this needs to be a part of the strategic thinking of the senior executives. Therefore, the "so what" of this thesis describes how DHS leaders can most effectively and **intentionally lead** given DHS's inherent challenges and relative organizational immaturity.

B.   THE DHS LEADERSHIP STRATEGY

This research found that leadership matters – at all levels – and it must be approached in a deliberate, relevant, and meaningful manner organization-wide. The core principle behind a leadership strategy for DHS is that it should not take the form of a linear, formulaic, step-by-step leadership patch or periodic "start/stop" activity. A leadership strategy for DHS also does not involve working around the edges or hiring an external entity (such as a consultancy) to address individual symptoms or train small groups of leaders and employees. It is also not about having semi-annual "leadership off-sites," producing shelf-ware strategies or wall charts, or seeking "leadership compliance" by issuing generic annual performance feedback by way of standard government forms or processes. Additionally, such a leadership strategy is not an incremental, gradual balance of mild approaches; nor does it revolve around the application of "more energy" to leading. **It *is* about leaders taking comprehensive action in new or unknown**

---

[188] Beatty and Hughes, "The Who,"26.

directions to impact how the total organization <u>intentionally</u> carries out leadership responsibilities at each and every unit level (not limited to the senior-most leader).

This research found that leading in DHS requires a great deal. Committing oneself to be a truly effective leader in DHS may resemble more of a "higher calling." Making a difference seems to implicitly involve significant and continuous leading, following, twisting, turning, changing, and in some cases – experiencing a level of pain and turmoil to achieve results. Achieving results in DHS can often just entail moving one step forward, consistent with the sentiments of one global corporation's CEO: "one foot in today; one foot in tomorrow." Accordingly, the leadership strategy for DHS is described according to the following sub-topics:

- DHS needs "network leadership" (implementing and embracing a recurring practice of leading collaborations that often expand outside of the traditional chain of command).

- DHS leaders need to focus on achieving the "right" environment for leadership (an environment that is performance-based, minimizes turf, and increases organizational and individual trust and respect).

- DHS leaders need to ensure the workforce has the requisite capabilities, resources, and support to perform the mission (especially leader development).

1.   DHS Needs "Network Leadership"

In addition to leading in a way that has direct relevance to the mission of the organization, effectively leading in DHS requires skills and approaches that will help leaders to carry out cross-organizational and cross-jurisdictional work. First, DHS leaders must be skilled at working across organizational boundaries and inspiring others based on *principles* as opposed to solely relying upon command and control or jurisdictional *authorities*.

As described in the interviews and supported by the Literature Review (Chapter III, particularly in the "meta-leadership" piece by Leonard Marcus, Barry Dorn, and Joseph Henderson), this research argues that a leadership strategy for DHS should be focused on moving the organization beyond the "silo" mode of operation in order to

achieve the required cross-agency and cross-coordination imperatives.[189]   This was reinforced by a DHS senior leader that is promoting the concept of "network leading" within a key DHS operational component:

> There needs to be more joint-focus and more of an integrated product team focus – as it is still very, very hierarchical. And - you need to be able to drive accountability towards capability versus entity.
>
> We're trying to move from a hierarchical structure to a networked communication structure. What I found fascinating [is that] we are so mired in hierarchical structure – that we could not even get people to think in a networked way…but this is how Al Qaeda communicates – there are cells – they are not hierarchical.

Coined as "meta-leadership" by Marcus, Dorn, and Henderson (or called "network leadership" or "collaboration leadership" in more generic terms), it is the process of leading in a way that connects the efforts of different organizations while providing clear intent and momentum across organizations, whereby shared missions and collective purpose among people and agencies are formed (even if the involved organizations may be performing very different work).[190]   It is about connecting disparate groups based on shared interests and motivations, and seeking success, synergy, and ultimately "effects" as a combined, joint team.[191] As was illustrated in the Literature Review (Chapter III):

> These leaders connect with, influence, and integrate the activities of diverse agencies, thereby motivating interaction, enhancing communication, and engendering the sort of cross-organizational confidence necessary for effective terrorism preparedness and emergency response (Howitt and Piangi, 2003)…These meta-leaders achieve "connectivity," defined here as a seamless web of people, organization, resources, and information that can best catch (detect and report), respond (control and contain), and return to pre-event normal (recover) from a

---

[189] Marcus, Dorn, and Henderson, "Meta-Leadership," 44.

[190] Ibid.

[191] Ibid., 47.

terrorist incident. Connectivity—among agencies, organizations, and people with complementary missions—is one by-product of meta-leadership.[192]

Authors Leonard Marcus, Barry Dorn, and Joseph Henderson synthesized 10 skills that they deemed critical for "meta-leadership" to occur. This research argues that these skills are critical for DHS leaders to possess and demonstrate so that they can be effective in carrying out their cross-capability and cross-organizational missions.

1. **Courage** – despite significant resistance, persists in forging the system-wide mission, focus, and connectivity necessary to build a network of readiness.

2. **Curiosity** – approaches challenges with a calculated measure of humility and curiosity.

3. **Imagination** – envisions what cannot otherwise be seen.

4. **Organizational Sensibilities** – envisions and constructs complex networks and capacity to enable critical decision-making connectivity.

5. **Persuasion** – makes the case for seriously accepting threats and then promotes a sound strategy and plan to address them.

6. **Conflict Management** – steps in to resolve emerging differences and keeps everyone on mission and on track.

7. **Crisis Management** – prompts a coordination of effort within the moment of crisis that maximizes the response system's capacity to reduce mortality and morbidity.

8. **Emotional Intelligence** – derives steadiness, security, and support from within themselves.

9. **Persistence** – brings and maintains ample perseverance by keeping pace with the flow of surrounding events.

10. **Meta-Leadership as a valued effort** – understands and values the importance of social networking and its direct impact upon the effectiveness of their work during an emergency.[193]

---

[192] Arnold Howitt. and Ronald Pangi, *Countering Terrorism: Dimensions of Preparedness* (Cambridge: MIT Press, 2003) in Marcus, Dorn and Henderson, "Meta Leadership," 44.

[193] Marcus, Dorn, and Henderson, "Meta-Leadership," 48-53.

In addition to these 10 meta-leader skills, another critical capability or focus area for DHS leaders is the use of "collaborative communications." Collaborative communications involve a process or forum whereby diverse, multi-organization participants come together to *collectively* work through, discuss, anticipate, strategize, and plan for the next terrorist attack, critical infrastructure collapse, or weather event. Through collaborative communications, the leader seeks cohesiveness, synergy, the ability to "connect the dots," and to most effectively accomplish a multi-faceted, multi-organizational mission by engaging and bringing together diverse participants (from different units or organizations), to collaborate on, plan for, or to strategize about *complementary* missions, issues, or capabilities.

Collaborative communications provide a forum or a mechanism for the continual flow of information that is conveyed and organized by way of joint, integrated teams that are networked together to meet the needs of a particular mission, threat, or issue (often called "collaboratives"). Leaders of these integrated teams seek to collectively drive progress and accountability towards capability, mission, or outcome as opposed to an organizational "box." Communication is networked in nature, knowledge and capability-based, and less hierarchical or organization-specific. The value of collaboratives is derived from the synergy that results when more people are brought "to the table," facilitated by network or "meta-leaders," as presented in the literature:

> They are able to legitimately and effectively reach beyond their scope of authority and responsibility, and in the process, [the leaders] are able to generate linkages of purpose and activity that amplify their outcomes and impact (Heifetz, 1994). They leverage information and resources across agencies, extending what any unit alone could accomplish, by reducing inter-agency friction and creating a synergy of progress (Phillips and Loy, 2003).[194]

Relying upon collaboratives does not necessarily require participating entities to be reorganized into different organizational structures. Using collaboratives is more so a function of leaders espousing and encouraging their workforce to proactively engage in

---

[194] Ronald Heifetz, *Leadership without Easy Answers* (Cambridge: Belknap Press of Harvard University Press, 1994); Donald Phillips and James Loy, *Character in Action: The U.S. Coast Guard on Leadership* (Annapolis: Naval Press, 2003) all in Marcus, Dorn and Henderson, "Meta Leadership," 44.

collaborative, joint processes. However, networked communications *do* require methods, rules, or protocols that are efficient and flexible, and not slowed by bureaucracy, policy, organizational silo, or turf. For communications to be truly collaborative, they must regularly involve the stakeholders or organizations that have equities to the mission or situation, and they must be capability, team, stakeholder, and mission-oriented. This is a needed focus area for DHS leaders, as was reinforced by a senior state official, "Solutions need to be designed collectively…not passing out flyers and then saying that "coordination with the state and locals has been done." That is where we are today."

This form of dynamic, capability-based, and communications-centric leadership has the potential to help leaders to better reveal and harness the aspect of innovation and ideas that are critically-needed to meet homeland security's challenges. As was a key finding from the interviews of non-DHS executives, core to their success in leading has been centered on finding ways to continually embrace the knowledge, ideas, and innovations from across their workforce – not just the "top brass in the corner." Collaborative communications involve more people, encourage more cross-talk, and increase the chances for the workforce to be directly engaged in solving their critical issues. In other words, developing "real solutions" are not typically a function of rank or position power, as is emphasized in this previously-cited interview excerpt:

> Innovation is huge in the success of any organization and related to that is locating the most impactful intelligence in the organization – and it does not follow rank – so one of the key skills is understanding who can really help on this, and who has the good ideas. Often, this flips an organization on its head in traditional terms because it is often the kid speaking broken English – the Indian kid who is a summer intern with you who knows more about how to solve this problem than the brass in the corner. So, the organizations now – have to be in many ways – very fluid.

For leaders to be network-focused and for communications and collaboratives to be functional in DHS, component organizations and DHS professionals need to have clarity of their organizational and individual roles and responsibilities with respect to 1) how they integrate into DHS; and 2) how their organizational and individual mission meets their stakeholders' needs (i.e., how their individual and collective actions contribute to the "brand promise" or to the "effects" they seek to deliver or achieve).

138

For DHS leaders to perform as leaders in this capacity, they must have the requisite support (or "top cover" in common DHS vernacular) from their respective DHS leaders. In DHS, it does seem to necessitate a leadership mandate, supported by concepts of engagement, to provide the organizational comfort for command and control silos to operate outside of their natural span of control. This form of communication increases the risk for silos, adds a little chaos, and requires exceptional communications skills as an offset for the performance benefits derived from cross-talking, collaborative organizations.

DHS leaders must also have willing participants or collaborators from across the organization. This needs to be very intentional and leader-driven, as spontaneous success is not guaranteed. If certain organizations in DHS are told to "live and die" by the laws of their chain of command, then such network, meta, or collaboration leaders will not get far when eliciting their support or participation. Without a strong leadership mandate, the leaders within the network who are committed to a command and control form of operation may opt to sit back and mitigate their personal risk by helping the process to fail (i.e., "see —I told you so!!!!").

2. Leadership Required by the DHS Environment

As acknowledged by the recently released DHS *Strategic Plan*: "The homeland security mission is complex, and resources are constrained."[195] Leading in this context requires the engagement of persistent ambiguity, uncertainty, and lack of resolution in a manner that followers find meaningful.[196] This requires DHS leaders to be able to readily embrace complicated and complex situations — and match them with equally unconventional, innovative, and extraordinary actions, ideas, and collaborative solutions. DHS leaders must be able to anticipate and account for the myriad of potential second and third-order effects that result from their decisions and their methods of

---

[195] DHS, *Fiscal Years 2008-2013*, 4.

[196] Philip J. Palin, "Radically Realistic Leadership" (lecture, Naval Postgraduate School, Monterey, California September 16, 2008).

communication. In short, "everything leaders <u>do</u> matters"– how leadership is performed and the results or effects that are achieved comprise the total leadership system.

There is no predetermined formula for leading in the multi-faceted DHS environment. Leading in DHS is more of a mindset, a process, an openness, and a willingness to sense, reflect, collaborate, and simultaneously move through complicated and complex situations and environments to deliver mutually-agreed upon effects or outcomes. As it relates to leading in complex environments, Dr. Christopher Bellavita suggested that the "leadership task" is to sort through the strategic elements of disorder and determine what methods or knowledge can help remedy it.[197] This is not a straightforward process that automatically "spits out" a solution – this requires a combination of skills and instincts that are honed through experience and development. An interview excerpt from a state governor supports this:

> There is not a magic bullet. And, homeland security is not going to be perfect. And, FEMA is not going to be perfect. And, the Governor's Office is not going to be perfect. We are going to screw up. Everybody is going to screw up. Everybody is not going to be able to be all things to all people. We are not going to answer every question. We are not going to have a model that works in every situation. You are never ever going to have the right solution. It doesn't exist. Situations change, issues change, acts change, people change, times change, everything is so fluid that there is no magic bullet…what works for me, may not work for somebody else, and it may not be the next administration's way to do things. But for me, hiring good people, surrounding yourself with people with those traits that we indicated [knowledge, competence, likeability, respectability]…and, letting people "do their thing" are key general components that tend more often than not to have a successful outcome.

Unfortunately, DHS leaders must engage in a difficult balancing act on a daily basis. On one hand, DHS contains several command and control, paramilitary, law enforcement components with rich legacies and engrained protocols for conducting business and communicating externally (and "external" to some DHS organizations is often interpreted as other DHS components). DHS also has flatter and perhaps more knowledge-based, capability-based, or regionally-based component organizations that

---

[197] Bellavita, "Shape Patterns,"4.

espouse different "rules" for communicating and conducting business. Adding to this organizational dichotomy, DHS components also have responsibilities to integrate (or at least communicate with) a diverse array of external stakeholder organizations that have their own unique modes of communication and operation.

A key finding in this research is that the leadership environment has a significant impact on organizational fitness.[198] The research also found that any such effort to focus on culture change in a large organization like DHS would require the full focus and direct involvement throughout the leadership cadre. Similar to the ideas set forth by senior executives external to DHS, for leaders in large organizations to be effective, the environment must be one whereby leadership can *function*. An environment that allows for functional leadership, as derived from the interviews and literature, has these characteristics: 1) it is a performance-based "effects-focused" environment; 2) it focuses less on turf, silo, or kingdom – and more on the collective team effort; 3) it fosters trust; and 4) each and every individual contributor, stakeholder, and organization are respected.

a. *Performance-Based, "Effects-focused" Environment*

The leader must strive to move individuals and organizations away from "checking blocks" toward a performance culture that is characterized by the behaviors that help them achieve the end-state—the mission, the capability, or the effects that they seek. The following interview excerpts from executives external to DHS (all of them are state officials) support this:

> The culture should change from a process orientation which just gets fixated on "going to the meeting" as opposed to "did I accomplish at the end of the day what I set out to do?"

> Leadership is about outcomes – and harnessing the good intentions that people bring towards a common purpose. At the end of the day - are you going to be able to deliver effects?

---

[198] Organizational fitness in this context implies that the organization is capable of approaching the strategic plan, and meeting or exceeding its goals and benchmarks without unplanned intervention. It is able to perform as required, the first time, every time.

Is it going to get us "effects"? It is not just about a method – there are a lot of ways to skin a cat. It is not about the knife you use – but at the end of the day, that you have a skinned cat.

The environment must be one where the workforce is engaged with meaningful work, so that they understand how their actions move the organization forward and contribute to the larger cause or mission. As described by a senior leader of a global corporation:

Set an environment where people feel they are actually there do meaningful work. If the organization only exists and functions so they can "get paid," there's a limit to what the organization can do – you can't rely on the training to work – you can't rely on the compensation to work – because the organization is just not bought into what's going on. This is because most people want to make a difference, they want to understand how they are contributing, and [they] want to feel like they are making a difference. And it is all about leaders enabling this.

DHS leaders must therefore create an environment whereby their people are encouraged and empowered to think about all possibilities and work across organizational boundaries to achieve the best product, policy, process, or solution. Leaders must foster discretion, decision-making, risk-taking, innovation, creativity, and ideas. Achieving this performance culture requires an engaged workforce, authentic leaders, and the systemic practice of harnessing the people and their collective ethos, motivation, discipline, teamwork, desire, and talent that can be used collectively to move the organization forward. This was reinforced by an Army general:

Much of what a culture needs is not a function of people performing "tasks"– it is culture that is made up of human beings – that leverages their minds, character, spirit, and attitude. It is not tasks---it is ethos: motivation, discipline, teamwork, desire, "won't quit."

b.   Breakdown the Barriers – and Beware of Turf

The interviewees, particularly the executives external to DHS (including the state governor), consistently voiced their concerns about DHS being too turf-centric and not sufficiently focused on the mission or the customers:

In a bureaucracy like DHS, information is power. If employees have to share information, then this can mean that they may lose power – so they may not be all that inclined to share. So the leaders need to find non-threatening ways to make people understand why sharing it is valuable – and finding ways to reward people for sharing.

DHS leaders need to watch the bureaucracy – watch out for the "we/they" bit; this should not be tolerated. Guarding turf should not be tolerated. If I had someone who did not understand that we were there to collectively do a job for the United States, I would deal with it – if I could not get team players – they would not work for me. I would get the leaders together, explain that it does not work, and explain to them that I will replace them. I don't care who is to blame – our goal is to serve. We cannot have "boxes." I would tell them, "If you want to successfully accomplish your mission, you have to work together, set your egos aside, and do what is right for the United States – NOT what aspect of your kingdom that you will gain or lose." If they do not get this, then they will not be there. This would be my message.

If you want to know what is wrong with DHS – they are too concerned with themselves instead of who they should be serving…the big business of DHS should be about supporting the people who are supporting the citizens – and that is not the direction and it never was. Now, I can tell you that some of the sub-agencies truly have a keen understanding of what that means – the Coast Guard and the Border Patrol – but now they are lost in an umbrella – a holding company if you will – with DHS having command and control capability over those agencies—they are not as free to exercise their support roles that they have built up historically. That is unfortunate.

But they've got to get over this turf; they've got to be willing to coordinate and cooperate on a large scale with others. I still see turf issues. Maybe it's because I

have the budget and I have to do what I have to do—and you know, I am going to maybe talk a good game, but I am basically going to stay within my organization. It's hard for them to cross over that line.

DHS leaders must create an environment whereby their people are encouraged to think about all possibilities and work across organizational boundaries to get the best product, policy, process, and solution—regardless of who gets credit and

whose "kingdom" is expanded (or not). As a transition to the next section on trust, yet equally relevant to the issue of turf and power, Jack Welch, former CEO of General Electric Corporation, stated the following:

> For some people, becoming a leader can be a real power trip. They relish the feeling of control over both people and information. And so they keep secrets, reveal little of their thinking about people and their performance, and hoard what they know about the business and its future. This kind of behavior certainly establishes the leader as boss, but drains the trust right out of a team.[199]

c.   *Trust*

A key ingredient for cross-team, cross-jurisdictional capabilities and missions is trust. Trust must be established and maintained internally, externally, across organizations, and between individuals. Consistent with the literature's findings on the criticality of trust (i.e., "…if you don't command trust, you won't get anywhere."[200]), an investment by leaders in building and fostering trust can be the key towards realizing better collaboration, communication, relationships across the organization, and other positive outcomes. As claimed by Stephen M. R. Covey:

> Trust impacts us 24/7, 365 days a year. It undergirds and affects the quality of every relationship, every communication, every work project, every business venture, every effort in which we are engages. It changes the quality of every present moment and alters the trajectory and outcome of every future moment of our lives – both personally and professionally.
>
> …nothing is as fast as the speed of trust. And, contrary to popular belief, trust is something you can do something about. In fact, you can get good at creating it! [201]

This research argues that trust is a key issue for DHS leaders to focus on. The literature provided that trust is a combination of two leadership attributes: competence and character, and that both of these attributes must be possessed and

---

[199] Covey, *Speed*, 152.

[200] Ibid., 4.

[201] Ibid., 1-2.

demonstrated for trust to be realized.[202]   Directly related to this combination of competence and character as necessary ingredients for trust, the governor of a state declared:

> People will follow you for a lot of reasons; the two broadest categories are knowledge [*competence*] and likeability [*character*].   If somebody believes in your ability to lead, your knowledge, your competence, and they feel loyalty to you because they like you and respect you, then they will run through a wall for you.

The point is that DHS must create an environment that espouses trust – as much more than a generic value that is placed on the organization's website. Trust must be engrained into the fiber of the organization as a real and identifiable competency that is demonstrated, modeled, and reinforced by the leadership on a daily basis.   As supported by the following interview excerpts from non-DHS executives:

> I can more effectively bring about change based on the relationships and the trust that I have with people—and the fact that they know that I am here to back them if they need support.

> If you put your people out there, and they get ripped apart – and they see you just sitting there – then that sends a message to them that their leaders are not looking out – that they'll just send them out there to the wolves. You do not build relationships, trust, and allegiance by doing those kinds of things.

> Leaders must be genuine – they have to see that you practice that, and that you believe it. Then you build that trust, which is essential; you must have the trust and the respect—otherwise, you will not get to where you need to be.

> The best leader I ever served under – he had the complete confidence of the men. He was tough – but they trusted him and liked him. They would do almost anything for him. It was a matter of building trust by being fair and treating them right—insisting that they do their job but listening to them and trying to put a human aspect to it when needed – but squashing those that were trying to take advantage of the team or the organization. He seldom had to do that – but he did it when he needed to.

---

[202]Covey, *Speed*, 30.

DHS has been viewed by stakeholders and employees to be an environment characterized by low trust. DHS managerial professionals and senior leaders also cited lack of trust as an issue or impediment that is adversely affecting the organization. The following table presents characteristics of high and low trust. When comparing these to the findings of the literature and interviews, DHS overall seems to more closely resemble the "low trust" characteristics. This research therefore asserts that the high-trust effects that are precisely what DHS leaders should pursue in a leadership strategy (see Table 4 below).

Table 4.   Characteristics of High and Low Organizational Trust[203]

High Trust Effects	Low Trust Effects
• Information is shared openly • Mistakes are tolerated and encouraged as a way of learning • The culture is innovative and creative • People are loyal to those who are absent • People "talk straight" and deal with real issues • There is real communication and collaboration • People share credit abundantly • There are few "meetings after meetings" • Transparency is the practiced value • People are candid and authentic • There is a high degree of accountability • There is real vitality and energy – people feel the positive momentum	• People manipulate or distort facts • People withhold and hoard information • Getting credit is very important • People spin the truth toward their advantage • New ideas are open resisted and stifled • Mistakes are covered up or covered over • Most are involved in the "blame game" • Lots of "water-cooler talk" • There are many "meetings after meetings" • There are many "undisscussables" • People tend to over promise and under-deliver • Lots of violated expectations • People pretend bad things are not happening – they are in denial • The energy level is low • People feel unproductive tension – sometimes even fear

[203] Covey, *Speed*, 237.

While addressing low trust in an organization like DHS must start with individual leaders (competence / character combination), these same leaders must evaluate their organizational structures or systems that may be contributing to the low trust environment.[204] In other words, while the individual leader may have the trust of his or her employees, his or her organization may be rife with low trust. For example, the organization can have low trust if the employees are required to perform procedurally-mandated tasks to "prove" they are performing in a trust-worthy manner. A simple example to illustrate the point, would be an organizational rule that requires all employees to sign in and sign out, accounting for their every physical move during the course of a workday (restroom breaks, lunch, etc.). Such a simple organizational "rule" may actually propagate organizational mistrust. The leader, although not explicitly stating it, is communicating that he or she does not trust his or her workforce on any given workday. The following interview excerpt from a state official illustrates how actions can create mistrust in organizations:

> DHS should not be into…knocking down trust…I was especially taken in by how that cyber-initiative [was handled]. They took in allies from outside of the United States, but there was never a thought to ask members of the states – the governors or their staffs to join in and participate. That shows a very a vernacular, very myopic, very inward, very self-serving view.

Low organizational trust in DHS can be addressed by leaders focusing on the following four trust-centric areas – as it relates to their organizational mission, the leadership intent, and the organization's values:

- **Integrity** – focus the organization on the mission it stands for and the DHS values that it is expected to have and demonstrate.

- **Intent** – focus the organization on the importance of having the right motives – to care for fellow workers, stakeholders; focus them on wanting to win; focus them on sharing ideas and information.

- **Capabilities** – the leader must ensure the organization has the means to deliver effects – skilled talent and resources.

---

[204] Covey, *Speed*, 240.

- **<u>Results</u>** – the leader must contemplate everyday – does the organization deliver value? Are the stakeholders' needs met? Is the customer happy?[205]

d.   Respect

Leaders must foster an environment that espouses respect – respect for DHS employees, DHS organizations, DHS stakeholders, and the citizenry that is the ultimate customer base of DHS. With respect to DHS employees, a theme that formed in this research is the criticality for leaders to acknowledge, embrace, and respect all workers – from the top brass all the way down to the line workers. Several interviewees voiced that it is not always the top leaders that have the highest potential to solve the organization's most pressing challenges.

Specific to DHS, given the fact that the "line" workforce is physically out on the front lines protecting the nation, it is this workforce will most likely make the needed critical decisions that can preserve the integrity of the nation's homeland security. Once again, leaders must account for the fact that the finite group that makes up the "top brass in the corner" may be less likely than the thousands of employees to develop the necessary ideas, innovations, and solutions that solve the organization's critical issues. In practice, and as explained by an international banking executive, when the new intern, by chance, comes up with the next big thing, it: "flips the organization on its head."

Respect must be given to every individual contributor and every organization (inside and outside of DHS). Giving and showing respect must be required and modeled by leaders everyday. James Blanchard, the former Chairman of Synovus Financial Corporation, which was highly-rated by *Fortune* magazine's 100 Best Companies to Work for in America, described the need as follows:

> The secret, the clue, the common thread is simply how you treat folks. It's how you treat your fellow man, and how you treat your team members, and how you treat your customers, your regulators, your general public, your audiences, your communities. How you value the worth of an

---

[205] Covey, *Speed*, 243-244.

individual, how you bring the human factor into real importance and not just a statement you make in your annual report.[206]

Similarly, as declared by an anonymous contributor in Stephen M.R. Covey's book: "You can judge a person's character by the way he treats people who can't help him or hurt him."[207]

Other senior leader interviewees, both DHS and non-DHS, also reinforced the central value of respect:

> Any success I have had in leadership has been by respecting the people, treating them as individuals, and not talking down to anybody. You must talk to the President just like the janitor – and make them feel respected the same.

> You need to listen to them and care for them – and show them flexibility – and respect. When you do this – they will really work for you.

> If you are teaching respect for the individual, which appears in almost every corporate values statement, then you don't sneer at the janitor who is cleaning the bathroom when you want to take a pee. If you can't really believe in it and practice it – then you are in the wrong business. And it is so transparent to customers and workers if all this is lip service – it is just so transparent. The rank and file customer and worker are so much smarter than people understand.

> The janitor at Cape Canaveral – he understands that cleaning the floor keeps the dust out of the rocket, which means that the valves won't jam, which means that they get to the moon…it makes his behavior align with his emotions. There are Aeronautical Engineers who walk by everyday who make 50 times as much – but I am <u>respected</u>, they say hello to me, they understand that if I don't do my job right, this damn thing could crash – and we're a team.

> Something as a leader that you have to remember is that those closest to you—you can vent on them because you need people you can vent on and express your true feelings, etc. – but always remember that if you vent on them personally and if there isn't a performance issue, then you hurt your personal loyalty. People will naturally begin to resent you – so you need

---

[206] Covey, *Speed*, 144.

[207] Ibid.

to ensure loyalty at all times, and you really have to basically be good to them. As a leader, you have to be good to people.

C.   ENABLEMENT AND REINFORCEMENT

Enablement and reinforcement revolves around leaders providing the tools and resources for the people to perform their work in the best possible manner. Examples of these tools include resource mechanisms and allocations (funding, manning, equipping, etc.), development, training, coaching, performance assessment, measurement, metrics, and rewards. A specific theme of enablement and reinforcement that arose from this research is for DHS to focus on *developing its leaders* to perform within the realm of complexity.

To support leaders and to help them to be constantly in pursuit of "the next best thing" (idea or solution), organizations must espouse leader development that provides growing leaders with the opportunity to develop and expand their capabilities—*in a way that is relevant to their mission, their team, and their environment.* In other words, to realize networked approaches, to foster the right environment for leadership (i.e., foster trust and respect, minimize "turf," etc.), and to effectively operate in a large, bureaucratic, and challenging "symphony orchestra jazz band," leaders must enable individuals and organizations to this end.

A DHS operational team must perform at the highest level of quality the first time, every time. While it may be cliché to say one can learn from his mistakes, and that assertion is most certainly true, the issue at DHS is that the cost of mistakes is simply too high (especially in the operational arena). One "dirty bomb" slipping through a port, one improvised explosive device snuck onto an airplane, or one emergency rescue getting lost on the way to people in distress, simply cannot be considered as an acceptable cost of the "learning curve." A DHS team must be knowledgeable and fully rehearsed to meet any potential threat. Each team member is fully accountable to himself, to his teammates, and to the organization as a whole.

For the "Flying Wallendas," as shown in Figure 7 below, rehearsal and performance were both experienced in real time. Once on the wire, the organization

manual, the chalk talk, and the plan dissolved into the individual performance of each team member. At DHS, mentoring and other forms of on-the-job-training have similar aspects to "stepping on the wire." While the "Flying Wallendas" may have had only one leader, the direct reports all have mission critical roles in the success of any, or all, members of the team.

Figure 7.   Flying Wallendas: The 7 Person Pyramid[208]

DHS managers indicated that they see themselves in much the same mission critical role as "stepping on the wire." For them, development, role clarification, communication, rehearsal, and feedback are as critical to their success as the Wallendas practicing on the wire. They want their senior leaders to do much more than just bark out marching orders—but to prepare them to meet their mission challenges as effectively as the "Flying Wallendas" stepping on the wire. In 1962, one Wallenda lost his footing toppling the formation causing the death of two performers and serious injuries to five others.[209]   One incident, during one performance, against decades of success, permanently stained the reputation of the team.

Much in the same way, Hurricane Katrina created an indelible stain on FEMA. The point is that DHS managers and employees do not want to carry the stains of failed

---

[208] Tino Wallenda, "The 7 Person Pyramid," *The Flying Wallendas,* http://www.wallenda.com/seven.html (accessed August 17, 2008).

[209] Ibid.

performance. They are willing to train, rehearse, communicate, absorb risk, and perform. They are relying on the initiative of senior leadership to create opportunities for them to be effective individual contributors to their teams. With respect to leadership capabilities, the desire to be developed and to be fully "mission-effective" was voiced by DHS managerial-level professionals in the focus groups:

> If you've got a great leader, that's great; as you will learn a lot about great leadership skills, and it is really helpful. However, you are not always going to have a great leader. So, you have to rely on the people on your level. For the boss I have now, I would not go to him for much—but for others, it was like "I want to be just like him." So, you learn from the best – and if you don't have "the best" – you have to talk with your peers or others so you can learn.

> Formal training is valuable, but the leadership development that really resonates is what happens (or does not happen) on the job.

> One of the challenges within quite a few organizations is that 1st-level supervisor slot – you get an operational person who gets put into that 1st-level supervisor position, and they get "knighted"—"I dub thee supervisor! Now go supervise." Now, depending on what job you are in, and if you have never supervised before, you are learning the management side of it, the leadership side of it, and in some cases – the operational side of it. You really need to understand that it's going to take 1-3 years to become competent in all those areas, and it is hard to develop individuals into those positions without having the "knighthood." You know, "Congratulations, Joe, we have declared you to be a supervisor. Now go supervise!" That's why when somebody mentioned the characteristics of mentoring – for me – I would put them in "acting" positions and so if/when they are picked, the transition will be easier. But when you get picked to be a supervisor, you go to "supervisor school," then you go to some other developmental opportunities, and it just takes time to apply what you have learned in these schools into an active work situation.

However, the Wallendas did not put someone from their family on the wire in front of an audience without years and years of practice. At DHS, the organization seems to be putting people into leadership and decision-making capacities without the required skills and experience. That is a critical success factor (or deficit) that DHS needs to plan for. The workforce needs someone to follow that will help them to "run through a wall for you" as the state governor said.

A starting point to address employee performance includes the ideas and programs that the DHS Chief Learning Office (the office oversees DHS's learning strategy) has developed in an effort to enhance the learning opportunities for DHS professionals. This office has asserted that DHS must offer more and better leadership opportunities by "seeking mission and DHS-culture-relevant methods." In support of this, the Chief Learning Office has taken actions to design a strategic, overarching framework that sets forth a "continuum of leadership development" that identifies a pathway from employee-to-supervisor to manager-to-executive.[210] Their position is that simply providing a training course (or "certification" course) at each level falls short of what is really needed. They also offered that while DHS does some things that support this idea, much more is needed to be done.

Specifically, the Chief Learning Office's proposed leadership continuum identifies competencies, identifies gaps, provides multiple solutions for those training gaps, and tailors training appropriate for each leadership level (employee, supervisor, manager, and executive). It is based upon principles (the OPM Leadership Competencies—see Appendix V), and is compatible with other efforts to develop DHS professionals. Ultimately, this concept has the potential to serve as the basis for a multi-tiered, Department-wide system to deliver, measure, and recognize leadership development at all levels.

This platform, however, is only the beginning. First, and of critical importance, DHS leaders, at all levels of the organization, must champion and be personally familiar with the leadership curricula that are offered. DHS leaders must then be personally invested in how each and every one of their employees is developed, and they must continually reinforce, coach, and counsel as part of the normal course of the job.

Second, developing DHS leaders according to the OPM competencies alone is not likely sufficient. This research asserts that development in the 10 "meta-leader" skills

---

[210] Douglas Rich, *DHS Leadership Continuum—A Proposal* (draft version 0.2, Department of Homeland Security Chief Learning Office, 2008).

(described earlier in this chapter) is important for the success of DHS leaders.[211] DHS leaders also needs to be skilled in the competencies necessary to lead collaborations, to build (or re-build) trust and respect, and also on how to lead in complex environments. OPM Leadership Competencies may be well-suited for more stable and organizationally mature departments and agencies, but DHS needs to adopt more cross-cutting, dynamic competencies (to overlay OPM's Leadership Competencies).

D.   SUMMARY

For DHS to most effectively account for, embrace, and embody the intricacies, implications, and applications of all of the leadership themes explored in this research, it is recommended that DHS leadership focus on a leadership strategy that addresses leading in a dynamic, often complicated, and sometimes complex environments. This is accomplished by 1) enabling networked leadership (or "meta-leadership") capabilities and collaborative communications; 2) creating and fostering the "right" leadership environment; and 3) providing enablement and reinforcement that directly support this (particularly leader development). The elements of this strategy are depicted Figure 8:

---

[211] Note that there is one OPM competency that is included on the list of "meta-leader" skills: "Conflict Management" (Marcus, Dorn, and Henderson, "Meta-Leadership," 125.).

DHS Leadership Process

NETWORK OR "META" LEADERSHIP AT THE CORE
Courage, Curiosity, Imagination, Organizational sensibilities, Persuasion, Conflict management, Crisis management, Emotional intelligence, Persistence, Meta-leadership as a valued effort

ENABLING & REINFORCING
Tools & Resources
Proactive & Continuous Development
*Informal Development (coaching & feedback)
*Formal Development (simulations, schools, seminars)
***All development is deliberate and meaningful, and curricula is based on senior leader's intent

UNDERSTANDING THE ENVIRONMENTAL ELEMENTS
Uncertain & Ambiguous
Complicated & Complex
No Formula or Prescription
Embrace Flexibility & Change
Embrace New Technology & Processes
Both process and results matter
Collaboration and communication is REQUIRED (with both "command & control" and network-based elements - internal & external)

LEADERSHIP ENVIRONMENT
Allow discretion, decision-making, risk-taking, innovation, creativity, and ideas
Mission & capability-focused
Performance ethos
Engaged workforce
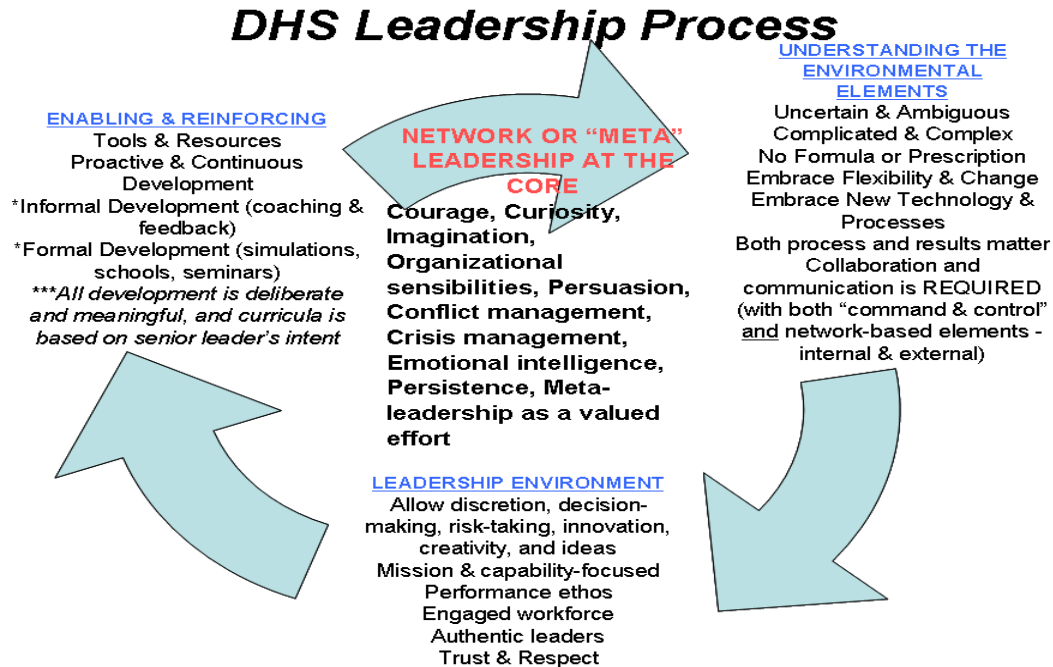Authentic leaders
Trust & Respect

Figure 8.   DHS Leadership Process

The elements in this process are important for effective leadership in DHS – principally as it relates to engaging the workforce and expanding the leadership, networking, and communications responsibilities beyond the senior-most leaders. This can be achieved by way of a leadership strategy that informs and empowers all levels of leaders to lead and perform in a way that realizes synergies that no single executive leader could possibly achieve alone. As posited in the previous chapter (Chapter VII), DHS simply cannot rely on the current "leadership equals authority" pattern to help connect the organization consistent with *Goal 7, Organizational Excellence*.[212] Furthermore, to lead DHS through the continuing transition, to overcome "singularity," to

---

[212] Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability, and teamwork to achieve efficiencies, effectiveness, and operational synergies. DHS, *Strategic Plan*, 8.

create the "glue," to create new legacies, to respect diversity, and to achieve cross-organizational synergies, DHS needs to focus on a leadership strategy that brings many other DHS leaders and employees into the fold.

It is not just the star atop the National Christmas Tree (Figure 9 below) that makes it remarkable; but it is the star, <u>in combination</u> with the multitude of diverse and brilliant "bright lights" that cover the tree, that make it unique and special.

Figure 9.   Photograph of the National Christmas Tree[213]

DHS needs to create, empower, and support more "bright lights", by way of its diverse array of leaders, by espousing networked capabilities, establishing an environment where leadership can function (increase trust, increase respect, and reduce turf), and by supporting and developing all involved.

It is therefore of central importance for DHS leaders to focus on improving how their individual employees and organizations interact, communicate, and collaboratively perform their missions — while continually leading in a manner that is centered upon intent, values, capabilities, and results. DHS leaders must also accentuate the aspects of

---

[213] Terry Adams, '"National Christmas Tree 2005" (2005), About.Com, http://dc.about.com/od/christmasphotos/ss/NatChristTreePh_4.htm (accessed November 4, 2008).

the working environment that enable performance, and reduce the environmental impediments that disable performance. Once again, the key aspect of this strategy is that everything that is done with respect to leading must be embedded into the core business of DHS as defined in the mission statement:

> We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation. We will ensure safe and secure borders, welcome lawful immigrants and visitors, and promote the free-flow of commerce. [214]

---

[214] DHS, *Strategic Plan*, 4.

THIS PAGE INTENTIONALLY LEFT BLANK

IX. CONCLUDING REMARKS

The primary objective of this research was not necessarily to "fix" or remedy specific leadership issues or capability gaps. Instead, this research described why leadership matters, particularly in DHS, and how a concerted leadership strategy may help DHS to better perform its myriad of multi-organization and multi-jurisdiction missions. More generally, this research was an attempt to expand the literature and contribute to the body of knowledge on leadership in DHS.

This research provides DHS with the opportunity to consider implementing a strategy for leadership, and the organizational dynamics that support leadership. It should be noted that at the time of the preparation and publication of this thesis, DHS is in the midst of its first change of administration – which is a vast undertaking given the number of substantial leadership posts that will turn over. Therefore, the new administration, no matter the political party, has a fresh opportunity to address and improve leadership at DHS.

Making any changes in DHS will not be without challenges. Most people, including DHS professionals, tend to gravitate towards what they know and what has been familiar to them throughout their careers. For federal employees, this generally involves linear operations, command-and-control leadership structures, and vertical coordination and communication methods. Additionally, change alone is tough, and changing to seek out unfamiliar terrain is generally more difficult. Adding to all of this are the tremendous challenges that have come with the "clash of cultures" that resulted pursuant to the formation of DHS as the single, over-arching organizational construct.

Despite this, it is important to recognize that the mission of DHS does not allow for substandard leadership performance. The safety and security of the nation depends on a high-performing, well-led organization. Effective leadership is required for DHS professionals to mobilize resources in collaboration with federal, state, and local governments, and many other diverse stakeholders to meet the primary mission of protecting the American people and the homeland. DHS leaders must be supported by a

leadership strategy that helps them to be effective agents in managing, coordinating, and executing the federal government's responsibilities through multiple programs and stakeholders to prevent the full spectrum of hazards and threats. Other high-stakes, large-scale, and competitive business and governmental organizations have faced critical mission and organizational challenges and have achieved success in spite of ambiguous, difficult environments. Effective leadership is always a requirement; avoiding leadership issues is not a viable option.

APPENDIX I.   COMPARISON OF DHS STRATEGIC PLANS

DHS Strategic Plan **2004**	DHS Strategic Plan **2008**
Vision: *Preserving our freedoms, protecting America ... we secure our homeland.*	**Vision:** *A secure America, a confident public, and a strong and resilient society and economy.*
Mission: *We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the nation. We will ensure safe and secure borders, welcome lawful immigrants and visitors, and promote the free-flow of commerce.*	**Mission:** *We will lead the unified national effort to secure America. We will prevent and deter terrorist attacks and protect against and respond to threats and hazards to the Nation. We will ensure our national borders while welcoming lawful immigrants, visitors, and trade.*
Strategic Goals: 1) *Awareness* 2) *Prevention* 3) *Protection.* 4) *Response* 5) *Recover* 6) *Service* 7) *Organizational Excellence — Value our most important resource, our people. Create a culture that promotes a common identity, innovation, mutual respect, accountability and teamwork to achieve efficiencies, effectiveness, and operational synergies.*	**Goals & Objectives:** 1) *Protect Our Nation from Dangerous People* 2) *Protect Our Nation from Dangerous Goods* 3) *Protect Critical Infrastructure* 4) *Strengthen Our Nation's Preparedness and Emergency Response Capabilities* 5) *Strengthen and Unify DHS Operations and Management*

Goal 7's closest match in new strategy: Goal 5 - *Strengthen and Unify DHS Operations and Management*

*(Objective 5.1): We will improve Department governance and performance in support of DHS Components delivering mission goals. We will lead efforts within the Department that provide structure to enhance Department-wide governance, decision-making and oversight, including internal controls and performance management tracking. We will optimize processes and systems to facilitate integration and coordination. **We will foster leadership to perform duties and effect progress while adhering to DHS core values and guiding principles. We will leverage culture to implement best practices that benefit from component commonalities and differences.***

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX II.   2007 DHS ANNUAL SURVEY FINDINGS[215]

Decision Aid

This table is a summary of all survey items that allows you to quickly identify DHS strengths and challenges. The survey results are presented in item order. This view of the survey results can be used to pinpoint possible focus areas for action planning. According to the convention described earlier in this report (*Comparing Your Survey Results*), 2007 DHS AES results are displayed in green or red— items with 65 percent positive or more are displayed in **green** and items with 35 percent negative or more are displayed in **red**. Items with 30 percent neutral or more are displayed in **blue**.

Items highly related to satisfaction and intent to leave, based on analyses conducted by OPM for the 2006 FHCS, are noted by an asterisk (*).

| Survey Question Text | Percent Positive | | | | | |
| | 2007 DHS AES | | | 2006 FHCS | | |
	Positive	Neutral	Negative	Positive	Neutral	Negative
1. The people I work with cooperate to get the job done.	77	12	11	79	11	10
2. I am given a real opportunity to improve my skills in my organization.*	51	20	29	49	22	29
3. My work gives me a feeling of personal accomplishment.*	65	17	19	62	19	19
4. I like the kind of work I do.*	80	13	7	80	13	7
5. I have trust and confidence in my supervisor.	58	19	23	56	20	25
6. The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.	63	17	19	68	16	16
7. My work unit is able to recruit people with the right skills.	37	29	32	33	31	31
8. I know how my work relates to the agency's goals and priorities.	80	11	8	77	13	10
9. The work I do is important.	91	6	3	89	7	3
10. Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	56	15	28	54	16	29
11. Supervisors/team leaders in my work unit support employee development.	51	20	27	52	23	24
12. My talents are used well in the workplace.	52	19	29	48	20	31
13. My training needs are assessed.	45	24	30	43	26	29
14. Promotions in my work unit are based on merit.	25	25	45	22	24	50
15. In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	26	23	46	23	24	49
16. Creativity and innovation are rewarded.	29	26	42	25	27	46
17. In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (e.g., Fully Successful, Outstanding).	62	15	18	NA	NA	NA
18. In my work unit, differences in performance are recognized in a meaningful way.	29	27	42	22	27	48
19. Pay raises depend on how well employees perform their jobs.	18	23	55	15	25	55

---

[215] WESTAT, 2007 DHS Annual Survey: Engaging the Workforce, (Washington, D.C.: DHS, Office of the Chief Human Capital Officer: 2007) 19-22.

Survey Question Text	Percent Positive					
	2007 DHS AES			2006 FHCS		
	Positive	Neutral	Negative	Positive	Neutral	Negative
20. My performance appraisal is a fair reflection of my performance.	52	20	24	56	22	20
21. Discussions with my supervisor/team leader about my performance are worthwhile.	50	24	24	48	25	25
22. Managers/supervisors/team leaders work well with employees of different backgrounds.	53	22	23	56	23	18
23. My supervisor supports my need to balance work and family issues.	62	18	18	64	16	19
24. I have a high level of respect for my organization's senior leaders.*	42	22	35	41	23	36
25. In my organization, leaders generate high levels of motivation and commitment in the workforce.	29	25	45	27	25	48
26. Managers review and evaluate the organization's progress toward meeting its goals and objectives.	38	28	25	42	28	21
27. Employees are protected from health and safety hazards on the job.	55	20	24	52	19	27
28. Employees have a feeling of personal empowerment with respect to work processes.*	33	27	38	30	28	40
29. My workload is reasonable.*	62	16	22	55	17	27
30. Managers communicate the goals and priorities of the organization.	48	22	29	49	23	27
31. My organization has prepared employees for potential security threats.	57	20	22	60	18	21
32. My job matches the roles and responsibilities for which I was hired.	69	13	17	NA	NA	NA
33. My supervisor provides me with constructive suggestions to improve my job performance.	51	25	25	NA	NA	NA
34. Employees are rewarded for providing high quality products and services to their customers.	28	30	43	30	24	43
35. I am held accountable for achieving results.	69	20	11	69	19	11
36. Awards in my work unit depend on how well employees perform their jobs.	31	26	42	29	23	44
37. Employees receive timely information about employee development programs and opportunities.	39	25	35	NA	NA	NA
38. I know how to contact EEO Representatives in my component (For purposes of this question -- Equal Employment Opportunity (EEO) representatives are EEO Counselors and Special Emphasis Program Managers).	67	15	17	NA	NA	NA
39. Discrimination is not tolerated in my workplace.	66	18	16	NA	NA	NA
40. I would recommend DHS as a place to work.	54	24	22	51	23	26

164

Survey Question Text	Percent Positive					
	2007 DHS AES			2006 FHCS		
	Positive	Neutral	Negative	Positive	Neutral	Negative
41. Sexual harassment is not tolerated in my workplace.	77	15	9	NA	NA	NA
42a. In the past year I have seen improvement in the following area: Communication.	40	27	33	NA	NA	NA
42b. In the past year I have seen improvement in the following area: Leadership.	34	27	39	NA	NA	NA
42c. In the past year I have seen improvement in the following area: Performance (i.e. appraisal, dealing with poor performers, etc.).	27	31	42	NA	NA	NA
42d. In the past year I have seen improvement in the following area: Recognition and Awards.	28	30	43	NA	NA	NA
42e. In the past year I have seen improvement in the following area: Resources (i.e. people, equipment, supplies).	37	25	38	NA	NA	NA
42f. In the past year I have seen improvement in the following area: Supervision.	36	30	34	NA	NA	NA
42g. In the past year I have seen improvement in the following area: Training.	42	27	31	NA	NA	NA
42h. In the past year I have seen improvement in the following area: Work Life Programs (i.e. Telework, alternative work schedules, access to Employee Assistance Programs).	29	35	37	NA	NA	NA
42i. In the past year I have seen improvement in the following area: Work Space (i.e. facilities, lighting, ventilation).	35	30	35	NA	NA	NA
43. My organization supports my participation in volunteer activities.	36	47	17	NA	NA	NA
44. Instructions on how to do my job such as Standard Operating Procedures are available to me.	70	15	15	NA	NA	NA
45. Turnover of personnel has affected my work unit's ability to achieve objectives.	53	27	20	NA	NA	NA
46. I receive the weekly DHS Today newsletter.	73	12	15	NA	NA	NA
47. I read most of the news in DHS Today.	46	24	30	NA	NA	NA
48. I regularly access the DHS Online Intranet.	50	21	29	NA	NA	NA
50. How satisfied are you with the information you receive from management on what's going on in your organization?*	38	25	37	35	24	42
51. How satisfied are you with your involvement in decisions that affect your work?*	32	25	44	39	24	38
52. How satisfied are you with your opportunity to get a better job in your organization?*	30	26	44	28	26	46
53. How satisfied are you with the recognition you receive for doing a good job?*	35	24	41	35	24	41
54a. How satisfied are you with the policies and practices of your senior leaders?*	31	27	42	30	28	42

165

Survey Question Text	Percent Positive					
	2007 DHS AES			2006 FHCS		
	Positive	Neutral	Negative	Positive	Neutral	Negative
54b. How satisfied are you with the policies and practices of senior leadership in your component?	35	27	**38**	NA	NA	NA
55. How satisfied are you with the training you receive for your present job?*	48	24	28	48	24	28
56. Considering everything, how satisfied are you with your job?	57	21	23	57	21	23
57. Considering everything, how satisfied are you with your pay?*	49	19	32	55	18	27
58. Overall, how good a job do you feel is being done by your immediate supervisor/team leader?*	59	23	18	57	24	19

Summary.

- ❑ A total of 12 survey items had percent positive ratings of 65 percent or more
- ❑ Seven items had percent neutral ratings of 30 percent or more
- ❑ 23 items had percent negative ratings of 35 percent or more
- ❑ Of the 14 items that are highly related to job satisfaction and intent to leave:
  - ▪ Two items are strengths (items 3 and 4)
  - ▪ Seven items are challenges (items: 24, 28, 50, 51, 52, 53, and 54a)

APPENDIX III.   INTERVIEW QUESTIONS

Population 1: Questions for Non-DHS Leaders

1.   You joined the company/organization in (year) and led it for nearly ___ years. During that time, what was your most satisfying accomplishment? Why, what made it so special to you?

2.   From your perspective, what is leadership? [Probe for skills, knowledge, and abilities that demonstrate leadership in action. Probe for specific examples.]

3.   Can you describe your leadership style and reason for it? [Listen to answer]. What is it about this style that has made it effective for you?

4.   How did you learn to be a leader? [Probe for experiences, mentors, training/development, methods, books, etc.]

5.   What do you think has been your greatest accomplishment / contribution as a leader? [Probe for examples and details on what was done as a leader to achieve the success.]

6.   Can you describe your greatest leadership struggle, challenge, or "worst moment" (perhaps a "defining moment")? [Probe for details on what was done as a leader to get through this.]

7.   What do you think are the most important leadership traits – and why?

8.   As a whole, how effectively do all levels of leaders in your organization "lead"?   That is, can you describe the quality of leadership that is regularly demonstrated by your organization's leaders?

9.   How does/did your organization develop, reinforce, or model desired leadership skills/behavior? [Probe on mechanisms, structures, support, mentoring/counseling, education, etc.] Is this done in a manner such that it is aligned with the daily "realities on the ground" (i.e., what leaders learn is what is reinforced in practice on-the-job)?

10.   What do you think your future leaders, managers, supervisors, and line staff in your organization want from their leaders?

11.   If you had a chance to talk with the next 50 people who will become the heads of different agencies within the Department of Homeland Security (as well as the highest leadership in DHS), what would you tell them about leadership that would help make them successful? [Probe and let them talk about those. Ask for a priority ranking, in their own words, of the applicability of their experiences to the homeland security challenge.]

1.   From your perspective, what is leadership? [Probe for skills, knowledge, and abilities that demonstrate leadership in action.]

2.   What do you think are the most important leadership traits – and why?

3.   How did you learn to be a leader? [Probe for experiences, mentors, training/development, methods, books, etc.]

4.   As a whole, how effectively do all levels of leaders in DHS "lead"? Can you describe the quality of leadership that is regularly demonstrated by your organization's leaders?

5.   How does your organization develop, reinforce, or model desired leadership skills/behavior? [Probe on mechanisms, structures, support, mentoring/counseling, education, etc.] Is this done in a manner such that it is aligned with the daily "realities on the ground" (i.e., what leaders learn is what is reinforced in practice on-the-job)?

6.   What do you and the people that you lead in your organization want from senior leaders in DHS?

7.   If you had a chance to talk with the next 50 people who will become the heads of different components within DHS (as well as the highest leadership in DHS), what would you tell them about leadership that would help make them successful from your perspective?

Population 3: Questions for DHS Leaders

1.   From your perspective, what is leadership? [Probe for skills, knowledge, and abilities that demonstrate leadership in action. Probe for examples.]

2.   Can you describe your leadership style and reason for it? What is it about this style that has made it effective for you?

3.   What do you think are the most important leadership traits – and why?

4.   What do you think has been your greatest accomplishment / contribution as a leader? [Probe for examples and details on what was done as a leader to achieve this.]

5.   Can you describe your greatest leadership struggle, challenge, or "worst moment" (perhaps a "defining moment")? [Probe for details on what was done as a leader to get through this.]

6.   How did you learn to be a leader? [Probe for experiences, mentors, training/development, methods, books, etc.]

7.   How does your organization develop, reinforce, or model desired leadership skills/behavior? [Probe on mechanisms, structures, support,

mentoring/counseling, education, etc.] Is this done in a manner such that it is aligned with the daily "realities on the ground" (i.e., what leaders learn is what is reinforced <u>in practice</u> on-the-job)?

8. As a whole, how effectively do all levels of leaders throughout DHS "lead"? [Also ask for variation across DHS leadership. Give the interviewee a chance to talk about varieties, so they might yield more insight into what they think is good and bad from their perspective].

9. What do you think your future leaders, managers, supervisors, and staff in your organization want from their leaders?

10. What do you think others outside of DHS think of DHS leadership? (If applicable—-Why do you think there is a difference between outsiders' views and your own of the quality of DHS leadership?)

11. If you had a chance to talk with the next 50 people who will become the heads of different agencies within DHS (as well as the highest leadership in DHS), what would you tell them about leadership that would help make them successful?

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX IV. SUMMARY OF KEY RESEARCH THEMES

Summary of Findings Across Interview Populations			
	Non-DHS Executives	**DHS Managers**	**DHS Executives**	**Gaps / Themes / "So What"**

	Non-DHS Executives	**DHS Managers**	**DHS Executives**	**Gaps / Themes / "So What"**
Complexity	• Account for & anticipate 2nd and 3rd order effects that result from what they decide, communicate, reinforce, or model. • Determine the parts of the complexity they can influence, identify high payoff targets; set goals; & move ahead	• Acknowledge it & communicate it – no "elephants in the living room" • Want leaders to set forth the fundamental truths, even if brutally grim or bad, so that the organization can just deal with the situation.	• Have made significant personal sacrifices to serve as DHS leaders (long days & nights). • Unanticipated mission requirements, asymmetric threats, multiple & diverse stakeholders. • "Under siege" by Congress & others. • Tough internal hurdles & turf. • Must have tenacity, guts, and clear focus of mind to lead.	• DHS senior leaders resisting or not facing complexity with requisite approaches or "solutions" • Ambiguous state of leadership within DHS is due to its leaders' efforts to apply vertical, bureaucratic, and formulaic approaches to the organizational dynamics that most often reside in the realm of complexity
Leadership Skills & Traits	• Knowledge & Competence • Sense, Probe, Feel, & Act • Communicate, Motivate, & Model • Ego, Attitude, & Adaptability • Ethics & Values • Team-Oriented, Receptive, & Accessible.	• "Conventional": Loyal, competent, responsive, adept listeners, inspirational, fair, consistent, responsible, accountable, ethical, & team builders. • "Unconventional": Wisdom, backbone, "confident humility," leverage, respect, and embrace the intangibles that the people bring.	• *Consistent with "conventional" traits described by DHS Managers – not much by way of "unconventional" traits*	• Need more focus on "unconventional" traits that help with complex, complicated, or just unknown situations and environments. • "Meta-leader" or network leadership skills should be considered as competencies for DHS leaders given their cross-organizational, cross-jurisdictional, and cross-coordination responsibilities.

171

Leadership Environment & Culture			
• Environment must be one where leadership can function. • Fosters discretion, decision-making, risk-taking, creativity, and innovation	• DHS environment lacks trust – must build and foster it in order to realize better collaboration, communication, & relationships. • DHS environment is centralized and "control-focused."	• Leaders must shape & reinforce environment that allows DHS professionals to function effectively. Must get away from "checking blocks," and move towards harnessing people & their collective ethos, motivation, discipline, teamwork, desire, and talent. • Center everything on leadership, feedback, cross-talk, teamwork, collaboration, networking, & communications that are not limited to hierarchy. • But… this need is not consistent with what is "done" – there is this tug of war – a "clash of cultures;" a struggle to connect DHS-wide. There is a need to instill "service ethos" and a mission-orientation.	• Need to work on trust and respect in order to foster conditions necessary for collaboration, innovation, teamwork, etc. • Need to address the issue that there are leaders throughout the organization who "still harbor their desire for the old days"

Leadership Development	**Non-DHS Executives**	**DHS Managers**	**DHS Executives**	**Gaps, Findings, So What**
	• Must build production capacity in organization by investing in developing leaders • Formal training is good – but the big impact is through informal development & modeling	• Desire to be developed in a manner that is relevant, meaningful, & directly-related to the realities of the job. • Current emphasis is more on programmatic / technical skills vice leadership skills. • DHS does not have concerted, organizationally-endorsed mentoring programs.	• DHS leaders must be better developed and better supported. • Development does not receive the priority that it should. • The business of DHS is such that senior leaders do not have the time or the opportunity to engage in development. They are looking for an external resource, facility, or organization to take on that responsibility.	• DHS leaders need to be developed in new skills – "meta-leader" or network leader skills. • All DHS leaders, starting at the top of the organization, must champion and be personally familiar with the leadership curricula that are offered. DHS leaders must then be personally invested in how each and every one of their employees is developed, and they must continually reinforce, coach, and counsel as part of the normal course of the job.

Organization Alignment &			
• Everyone is "singing off the same page of music" to achieve aligned goals.	• HQ to focus more on strategy; less on operations & tactics. • Need to clarify, confirm, and "rack & stack" the roles & responsibilities DHS components (including the HQ).	• DHS as an organization is not aligned. • DHS components do not have role clarity. • Flat, law firm construct does not enable "organizational leadership" – but chiefdoms based on highly competitive individual leaders that try to outsmart their peers.	• DHS, the organization does not appear to have binding organizational connections or cohesion (department wide) in effect. • Internally, the organizational "glue" to meld together DHS's multiple silos has not been fully established. • The "glue" tends to more so exist within the components.

	Non-DHS Executives	DHS Managers	DHS Executives	Gaps, Findings, So What

Organizational Leadership Strategy	• Effective leadership of an organization occurs when individuals collectively follow the leader such that the organization synchronously "lives the vision" as they deliver the desired outcomes or results.
	• To live the vision, a leader must demonstrate critical leadership characteristics – and have broader skills than just being a visionary; they must have the ability to call people to action and motivate them to achieve goal-centric results. This is then reflected in:
	   o The mission – what must be done, what the organization exists to do;
	   o The strategy – how this is applied in action—the path; and
	   o The value set that embodies this – the ethics, the important character traits.
		• Create a vision, engage the organization in developing strategies, empower people to succeed, and recognize success.
		• Focus should be on how leadership can enable DHS to more effectively & collectively address its risks, missions, and priorities — so DHS can better address its shared priorities & missions
		• Better at being "dependent upon interdependencies."
			• DHS leaders can better meet their challenges if there is a concerted focus on DHS's leadership culture, organizational alignment, and leader development. Specific points:
			   o DHS needs to continue to operate together, bringing leaders together to integrate and focus on capabilities as opposed to organizational "boxes;"
			   o DHS needs to link the bureaucratic functions and foundations together (e.g., budgets, resources, information technology, access badges, human resource / staffing functions).
			   o Imperative for every DHS component to have better clarity of their respective roles and responsibilities and how they all integrate as one Department.
				• A long-term goal should be for DHS to be organized and inter-connected in a strategic, synergistic manner. This is driven by legacy and experience, and it can take years.
				• Core principle behind the leadership strategy for DHS is that it should not take the form of a linear, formulaic, step-by-step leadership patch or periodic "start/stop" activity. It is not an incremental, gradual balance of mild approaches; nor does it revolve around the application of "more energy" to leading. It must be focal component of the nucleus, or the heart, of the organization.
				• The strategy for how leadership is to be acted upon in DHS needs to be directly tied to the strategy for how the business of the enterprise is conducted. This strategy is supported by the concepts of:
				   o DHS being <u>network</u> or "<u>meta leaders</u>" – espousing and modeling collaborative communications.
				   o <u>An environment</u> – where leadership can function. 1) performance-based "<u>effects-focused</u>;" 2) focus less on turf, silo, or kingdom – and more on the <u>collective team effort</u>; 3) building and maintaining <u>trust</u>; and 4) <u>respecting</u> every individual contributor, stakeholder – as well as organizations.
				   o <u>Enablement and reinforcement</u> involving resource mechanisms and allocation (funding, manning, equipping), <u>leader development</u>, training, coaching, performance assessment, measurement, metrics, and rewards.

THIS PAGE INTENTIONALLY LEFT BLANK

APPENDIX V. OPM LEADERSHIP COMPETENCIES[216]

Leading Change

The ability to develop and implement an organizational vision that integrates key national and program goals, priorities, values, and other factors. The ability to balance change and continuity; to continually strive to improve customer service and program performance within the basic government framework; to create a work environment that encourages creative thinking; and to maintain focus, intensity, and persistence, even under adversity.	
Continual Learning	Grasps the essence of new information; masters new technical and business knowledge; recognizes own strengths and weaknesses; pursues self-development; seeks feedback from others and opportunities to master new knowledge.
Creativity/Innovation	Develops new insights into situations and applies innovative solutions to make organizational improvements; creates a work environment that encourages creative thinking and innovation; designs and implements new or cutting-edge programs/processes.
External Awareness	Identifies and keeps up to date on key national and international policies and economic, political, and social trends that affect the organization. Understands near-term and long-range plans and determines how best to be positioned to achieve a competitive business advantage in a global economy.
Flexibility	Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles. Adjusts rapidly to new situations warranting attention and resolution.
Resilience	Deals effectively with pressure; maintains focus and intensity and remains optimistic and persistent, even under adversity. Recovers quickly from setbacks. Effectively balances personal life and work.
Service Motivation	Creates and sustains an organizational culture that encourages others to provide the quality of service essential to high performance. Enables others to acquire the tools and support they need to perform well. Shows a commitment to public service. Influences others toward a spirit of service and meaningful contributions to mission accomplishment.
Strategic Thinking	Formulates effective strategies consistent with the business and competitive strategy of the organization in a global economy. Examines policy issues and strategic planning with a long-term perspective. Determines objectives and sets priorities; anticipates potential threats or opportunities.
Vision	Takes a long-term view and acts as a catalyst for organizational change; builds a shared vision with others. Influences others to translate vision into action.

---

[216] U.S. Customs and Border Protection
http://cbpnet.cbp.dhs.gov/xp/cbpnet/otd/lc/ldc/lcm.xml#Leadership%20Competency%20Model%20Mastery%20Levels (accessed October 27, 2008).

Leading People

The ability to design and implement strategies that maximize employee potential and foster high ethical standards in meeting the organization's vision, mission, and goals.	
Conflict Management	Identifies and takes steps to prevent potential situations that could result in unpleasant confrontations. Manages and resolves conflicts and disagreements in a positive and constructive manner to minimize negative impact.
Leveraging Diversity	Recruits, develops, and retains a diverse high quality workforce in an equitable manner. Leads and manages an inclusive workplace that maximizes the talents of each person to achieve sound business results. Respects, understands, values and seeks out individual differences to achieve the vision and mission of the organization. Develops and uses measures and rewards to hold self and others accountable for achieving results that embody the principles of diversity.
Integrity/Honesty	Instills mutual trust and confidence; creates a culture that fosters high standards of ethics; behaves in a fair and ethical manner toward others; demonstrates a sense of corporate responsibility and commitment to public service.
Team Building	Inspires, motivates, and guides others toward goal accomplishments. Consistently develops and sustains cooperative working relationships. Encourages and facilitates cooperation within the organization and with customer groups; fosters commitment, team spirit, pride, trust. Develops leadership in others through coaching, mentoring, rewarding, and guiding employees.

Results Driven

Accountability and continuous improvement. The ability to make timely and effective decisions and produce results through strategic planning and the implementation and evaluation of programs and policies.	
Accountability	Assures that effective controls are developed and maintained to ensure the integrity of the organization. Holds self and others accountable for rules and responsibilities. Can be relied upon to ensure that projects within areas of specific responsibility are completed in a timely manner and within budget. Monitors and evaluates plans; focuses on results and measuring attainment of outcomes.
Customer Service	Balances interests of a variety of clients; readily readjusts priorities to respond to pressing and changing client demands. Anticipates and meets the need of clients; achieves quality end-products; is committed to continuous improvement of services.
Decisiveness	Exercises good judgment by making sound and well-informed decisions; perceives the impact and implications of decisions; makes effective and timely decisions, even when data are limited or solutions produce unpleasant consequences; is proactive and achievement oriented.
Entrepreneurship	Identifies opportunities to develop and market new products and services within or outside of the organization. Is willing to take risks; initiates actions that involve a deliberate risk to achieve a recognized benefit or advantage.
Problem Solving	Identifies and analyzes problems; distinguishes between relevant and irrelevant information to make logical decisions; provides solutions to individual and organizational problems.

Technical Credibility	Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise. Is able to make sound hiring and capital resource decisions and to address training and development needs. Understands linkages between administrative competencies and mission needs.
DHS Internal Awareness	Knowledgeable of DHS mission, core values, and guiding principles. Recognizes and optimizes impact of actions on other parts of the organization.

Business Acumen

The ability to acquire and administer human, financial, material, and information resources in a manner that instills public trust and accomplishes the organization's mission, and the ability to use new technology to enhance decision-making.	
Financial Management	Demonstrates broad understanding of principles of financial management and marketing expertise necessary to ensure appropriate funding levels. Prepares, justifies, and/or administers the budget for the program area; uses cost-benefit thinking to set priorities; monitors expenditures in support of programs and policies. Identifies cost-effective approaches. Manages procurement and contracting.
Human Resources Management	Assesses current and future staffing needs based on organizational goals and budget realities. Using merit principles, ensures staff are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.
Technology Management	Uses efficient and cost-effective approaches to integrate technology into the workplace and improve program effectiveness. Develops strategies using new technology to enhance decision-making. Understands the impact of technological changes on the organization.

Building Coalitions/Communication

The ability to explain, advocate, and express facts and ideas in a convincing manner and to negotiate with individuals and groups internally and externally. The ability to develop an expansive professional network with other organizations and to identify the internal and external politics that impact the work of the organization.	
Influencing/Negotiating	Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals; facilitates "win-win" situations.
Interpersonal Skills	Considers and responds appropriately to the needs, feelings, and capabilities of different people in different situations; is tactful, compassionate, and sensitive; treats others with respect.
Oral Communication	Makes clear and convincing oral presentations to individuals or groups; listens effectively and clarifies information as needed; facilitates an open exchange of ideas and fosters an atmosphere of open communication.

Partnering	Develops networks and builds alliances; engages in cross-functional activities; collaborates across boundaries and finds common ground with a widening range of stakeholders. Utilizes contacts to build and strengthen internal support bases.
Political Savvy	Identifies the internal and external politics that impact the work of the organization. Approaches each problem situation with a clear perception of organizational and political reality; recognizes the impact of alternative courses of action.
Written Communication	Expresses facts and ideas in writing in a clear, convincing, and organized manner.

LIST OF REFERENCES

The 9/11 Commission Report: Final Report of the National Commission on Terrorist Attacks Upon the United States. New York: W.W. Norton and Co., 2005.

Adams, Terry. '"National Christmas Tree 2005" (2005) About.Com, http://dc.about.com/od/christmasphotos/ss/NatChristTreePh_4.htm (accessed November 4, 2008).

Amabile, Teresa. "How to Kill Creativity." *Harvard Business Review* (1998): 77-87.

Atkinson, Philip. "Managing Chaos in a Matrix World." *Management Services* 47, no. 11 (2003).

Barsh, Joanna. "Innovative Management: A Conversation with Gary Hamel and Lowell Bryan." *McKinsey Quarterly,* 1 (2008).

Bellavita, Christopher. "Shape Patterns, not Programs." *Homeland Security Affairs Journal* 2, no.3 (2006).

Beatty, Katherine and Hughes, Richard. "The Who, What, and How of Strategic Leadership." In *People, Performance, Profit: Maximizing Return on Human Capital Investments*, edited by Alexandra Wharton 24-26. San Francisco, California: Montgomery Research Inc., 2005.

Bettis, Richard A. and Michael A. Hitt. "The New Competitive Landscape." *Strategic Management Journal* 16 (1995) in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Brown, Shona L. and Katheleen Eisenhardt, Competing on the Edge: Strategy as Structured Chaos. Boston: Harvard Business School Press, 1998 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Business Executives for National Security. *Untangling the Web: Congressional Oversight and the Department of Homeland Security*. Washington, D.C.: Center for Strategic and International Studies, 2004.

Caiden, Gerald. *The Dynamics of Public Administration.* New York: Holt, Reinhart, and Winston, Inc. 1971. In Paula Gordon, "Changing Organizational Culture: Unleashing Creative Energy." Paula Gordon's Homeland Security Web Site. http://users.rcn.com/pgordon/homeland/change_culture.html (accessed February 9, 2008).

Cheese, Peter. "Disturbing the System." In *People, Performance, Profit: Maximizing Return on Human Capital Investments*, edited by Alexandra Wharton 56. San Francisco, California: Montgomery Research Inc., 2005.

Chertoff, Michael. Chairman King. September 4, 2007. House Committee on Homeland Security.

Collins, Jim. *Good to Great*. New York: Harpers Collins Publishers, 2001.

Corporate Leadership Council. *The Compelling Offer Revisited: Changes in Employee Preferences Across Time*. Washington, D.C.*:* CLC Solutions, 2002.

Covey, Stephen M.R. *The Speed of Trust*. New York, Free Press, 2006.

Crossan, Mary and Daina Mazutis. "Transcendent Leadership." *Business Horizons* 51 (2008).

D'Aveni, Richard and Robert Gunther. Hypercompetition: Managing the Dynamics of Strategic Maneuvering. New York: Free Press, 1994 in Crossan, Mary and Daina Mazutis. "Transcendent Leadership." *Business Horizons* 51 (2008).

Denhardt, Robert and Janet Vinzant Denhardt. "Leadership for Change: Case Study in American Local Government." *Grant Report*. Arlington, Virginia: PricewaterhouseCoopers Endowment for the Business of Government (1999).

Eisenhardt, Kathleen M. and Donald N. Sull. "Strategy as Simple Rules." *Harvard Business Review* 7, no. 1 (2001): 107-116.

Eisinger, Peter. "Imperfect Federalism: The Intergovernmental Partnership for Homeland Security." *Public Administration Review* 66, no. 4 (2006): 537-545.

de Rugy, Veronica. "Facts and Figures About Seven Years of Homeland Security Spending." Working paper Meracatus Center, George Mason University, Fairfax, Virginia, 2008. in Heyman, David and James Jay Carafano. *Homeland Security 3.0, Building a National Enterprise to Keep America Free, Safe, and Prosperous*. Washington, D.C.: Heritage Foundation, 2008.

Gardner, John. *On Leadership*. New York: Free Press, 1990 in Marcus, Leonard J., Barry C. Dorn, and Joseph M. Henderson. "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity," *Working Papers 2005*, Cambridge: Center for Public Leadership, John F. Kennedy School of Government.

Garfield, Andrew. "PIRA Lessons Learned: A Model of Terrorist Leader Succession." *Low Intensity Conflict & Law Enforcement* 11, no. 2 and 3 (2002): 282.

GlobalEd Project Middle School Simulation. "Glossary of Terms." University of Connecticut. http://www.lib.uconn.edu/~mboyer/ms2001-02glossary.html#bureaucratic%20inertia (accessed August 12, 2008).

Goldsmith, Marshall and Howard Morgan. "Leadership is a Contact Sport, the Follow-Up Factor in Management Development." *Strategy + Business* 36 (2004): 71-79.

Goldsmith, Stephen and Eggers, William. *Governing by Network* (Washington, DC: Brookings Institution Press, 2004).

Green, William D. "Achieving High Performance through Your Workforce." In *People, Performance, Profit: Maximizing Return on Human Capital Investments*, edited by Alexandra Wharton 24-26. San Francisco, California: Montgomery Research Inc., 2005.

Grint, Keith. *Arts of Leadership*. New York: Oxford University Press, Inc., 2000.

Hambrick, Donald, David Nadler, and Michael Tushman. *Navigating Change*. Boston: Harvard Business School Press, 1988 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Harris, Michael. "Leadership in a Time of Crisis: The Shackleton Way." Lecture, Siena Heights College, Adrian, Michigan, April 9, 2003.

Hart, Stuart L. and Robert E. Quinn. "Roles Executives Play: CEOs, Behavioral Complexity, and Firm Performance." *Human Relations* 46, no. 5 (1993): 543-574 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Heifetz, Ronald. *Leadership without Easy Answers*. Cambridge: Belknap Press of Harvard University Press, 1994 in Marcus, Leonard J., Barry C. Dorn, and Joseph M. Henderson. "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity." *Working Papers 2005*. Cambridge: Center for Public Leadership, John F. Kennedy School of Government.

Heyman, David and James Jay Carafano. *Homeland Security 3.0, Building a National Enterprise to Keep America Free, Safe, and Prosperous*. Washington, D.C.: Heritage Foundation, 2008.

Hill Jr., Randall W., Andrew Gordon, and Julia M. Kim. *Learning the Lessons of Leadership Experience: Tools for Interactive Case Method Analysis*. Los Angeles: Institute for Creative Technologies, University of Southern California, 2004.

Hitt, Michael A., Barbara W. Keats, and Samuel DeMarie. "Navigating in the New Competitive Landscape: Building Strategic Flexibility and Competitive Advantage in the 21st Century." *Academy of Management Executive* 12, no. 4 (1998): 22-42 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Homeland Security Advisory Council. *Top Ten Challenges Facing The Next Secretary of Homeland Security*. Washington, D.C.: Department of Homeland Security, 2008.

Howitt, Arnold and Robyn Pangi. *Countering Terrorism: Dimensions of Preparedness*. Cambridge: MIT Press, 2003 in Marcus, Leonard J., Barry C. Dorn, and Joseph M. Henderson. "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity." *Working Papers 2005*. Cambridge: Center for Public Leadership, John F. Kennedy School of Government.

Huang, Michael P. "After Reorganization: A Leadership Journey." *Public Manager* 36, no. 1 (2007): 67.

Huxham, Chris and Siv Vangen. "Leadership in the Shaping and Implementation of Collaboration Agendas: How Things Happen in a (Not Quite) Joined Up World." *Academy of Management Journal* 43, no. 6 (2000).

Inglesby, Thomas, Rita Grossman, R. and Tara O'Toole. "A Plague on your City: Observations from TOPOFF." *Clinical Infectious Diseases* 32 (2001): 436-in Marcus, Leonard J., Barry C. Dorn, and Joseph M. Henderson. "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity," *Working Papers 2005*, Cambridge: Center for Public Leadership, John F. Kennedy School of Government.

Ireland, Duane. and Michael Hitt. "Achieving and Maintaining Strategic Competitiveness in the 21st Century: The Role of Strategic Leadership." *Academy of Management Executive* 19, no. 4 (2005): 63-77 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Jacobsen, Annie. "DHS Rated Worst of Federal Agencies by Employees." *Aviation Nation*. 2007. http://www.theaviationnation.com/2007/01/31/dhs-rated-worst-of-federal-agencies-by-employees/ (accessed September 7, 2007).

Joyce, Nola. "Can You Lead Me Now? Leading in the Complex World of Homeland Security." Master's thesis, Naval Postgraduate School, 2007.

Kettl, Donald F. "Contingent Coordination: Practical and Theoretical Puzzles for Homeland Security." *The American Review of Public Administration* 33, no. 3 (2003): 259.

Kim, W. Chan and Renee Mauborgne. "Tipping Point Leadership." *Harvard Business Review* (2003) 62.

Kurtz, Cynthia F. and David J. Snowden. "The New Dynamics of Strategy: Sense-Making in a Complex and Complicated World." *IBM Systems Journal* 42 (2003): 468-469.

Leedy, Paul D. and Jeanne Ellis Ormrod. Practical *Research, Planning and Design*. 8th Ed. Upper Saddle River, New Jersey: Pearson Education, Inc., 2005.

Lilly, Scott. "An Analysis of Employee Attitudes at Federal Departments and Agencies." Center for American Progress. 2005. http://www.nbpc.net/dhsrules/cap_personnel_report.pdf (accessed November 28, 2007).

Logan, Chris. "2007 State Homeland Security Directors Survey." Washington, D.C.: National Governors Association Center for Best Practices, 2007.

Lovallo, Dan P. and Larry T. Mendonca. "Strategy's Strategist: An Interview with Richard Rumelt." *McKinsey Quarterly* (2007): 8.

MacCoy, David J. "First Leadership Limited." First Leadership. http://www.firstleadership.com/pagedisplay.asp?webDocID=3108 (accessed June 10, 2008).

Maines, Ron. "Successful Leadership Found in Three Pertinent Priorities." *Arkansas Business*. (June 30 2008) www.arkansasbusiness.com/article.aspx?aid=106230.54928.118358 (accessed June 30, 2008).

Marcus, Leonard J., Barry C. Dorn, and Joseph M. Henderson. "Meta-Leadership and National Emergency Preparedness Strategies to Build Government Connectivity." *Working Papers 2005*. Cambridge: Center for Public Leadership, John F. Kennedy School of Government.

Nadler, David A. and Michael L. Tushman. "The Organization of the Future: Strategic Imperatives and Core Competencies for the 21st Century." Organizational Dynamics 28, no. 1 (1999): 45-60 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

National Academy of Public Administration. *A Report by a Panel of the National Academy of Public Administration, Addressing the 2009 Presidential Transition at the Department of Homeland Security*. Washington, D.C.: National Academy of Public Administration, 2008.

National Institute for Strategic Preparedness. *Annual Survey of State Homeland Security Directors Reports Findings* (2008) https://www.nisp.us/logistica/public/news.cfm?category=SPB&article_id=5544&sidebar=archive (accessed September 20, 2008).

Osborn, Richard, James Hunt, and Lawrence Jauch. "Toward a Contextual Theory of Leadership." *Leadership Quarterly* 13 (2002): 805.

Palin, Philip J. "Radically Realistic Leadership." Lecture, Naval Postgraduate School, Monterey, California, September 16, 2008.

Phillips, Donald and James Loy. *Character in Action: The U.S. Coast Guard on Leadership*. Annapolis: Naval Press, 2003.

Prince, Howard. "Teaching Leadership: A Journey into the Unknown." *Concepts and Connections: A Newsletter for Leadership Educators* 9, no. 3 (2001). http://www.utexas.edu/lbj/research/leadership/publications/teaching.html (accessed February 9, 2008).

Prince, Lesley. "Eating the Menu Rather Than the Dinner: Tao and Leadership." *Leadership* 1, no. 105 (2005): 117.

Pye, Annie. "Leadership and Organizing: Sensemaking in Action." *Leadership* 1, no. 1, (2005): 32.

Quinn, Robert. *Beyond Rational Management: Mastering the Paradoxes and Competing Demands of High Performance*. San Francisco: Josey-Bass, 1988 in Crossan, Mary and Daina Mazutis, "Transcendent Leadership," *Business Horizons* 51 (2008).

Ramkumar, Krishnaswamy. "Becoming a Global Player." *American Society for Training & Development* 60, no. 10 (2006): 41.

Rich, Douglas. *DHS Leadership Continuum—A Proposal*. Draft version 0.2, Department of Homeland Security, Chief Learning Office, 2008.

Say, Philip and Roman Bukary. "Compressing the Decision Cycle for Competitive Advantage." In *People, Performance, Profit: Maximizing Return on Human Capital Investments*, edited by Alexandra Wharton, 12. San Francisco, California: Montgomery Research Inc., 2005.

Snowden, David and Mary E. Boone. "A Leader's Framework for Decision Making." *Harvard Business Review*. Reprint No. R0711C. 2007.

Storey, John and Graeme Salaman. *Managers of Innovation: Insights into Making Innovation Happen*. Oxford: Blackwell, 2004.

Storey, John. "What Next for Strategic Level Leadership Research." *Leadership* 1, no. 1 (2005) 93.

Susskind, Lawrence and Jeffrey Cruikshank. *Breaking the Impasse: Consensual Approaches to Dispute Resolution*. New York: Basic Books, 1987.

Thomas, Robert J. and Peter Cheese, "Leadership and High Performance Business: Experience is the Best Teacher. In." *People, Performance, Profit: Maximizing Return on Human Capital Investments*, edited by Alexandra Wharton 37. San Francisco, California: Montgomery Research Inc., 2005.

Townsend, Patrick and Joan Gebhardt. "The Three Priorities of Leadership." *Leader To Leader* 4 (1997):13 in Maines, Ron. "Successful Leadership Found in Three Pertinent Priorities." *Arkansas Business*. (June 30 2008) www.arkansasbusiness.com/article.aspx?aid=106230.54928.118358 (accessed June 30, 2008).

U.S. Customs and Border Protection http://cbpnet.cbp.dhs.gov/xp/cbpnet/otd/lc/ldc/lcm.xml#Leadership%20Competency%20Model%20Mastery%20Levels (accessed October 27, 2008).

U.S. Department of Homeland Security. *Department of Homeland Security Strategic Plan*. Washington, D.C.: Department of Homeland Security. 2004.

U.S. Department of Homeland Security. *Department of Homeland Security Strategic Plan Fiscal Years 2008-2013*. Washington, D.C.: Department of Homeland Security, 2008.

U.S. Department of Homeland Security. "Organizational Chart." DHS. http://www.dhs.gov/xabout/structure/editorial_0644.shtm (Accessed August 10, 2008).

Verlander, Edward G. "Executive Education for Managing Complex Organizational Learning." *Human Resource Planning* 15, no. 2 (1992): 1.

WESTAT. *2007 DHS Annual Survey: Engaging the Workforce*. Washington, D.C.: DHS, Office of the Chief Human Capital Officer: 2007.

Wallenda, Tino. "The 7 Person Pyramid." *The Flying Wallendas*.http://www.wallenda.com/seven.html (accessed August 17, 2008).photo

Williams, Cindy. *Strengthening Homeland Security: Reforming Planning and Resource Allocation*. Washington, D.C.: IBM Center for the Business of Government, 2008 in National Academy of Public Administration. *A Report by a Panel of the National Academy of Public Administration, Addressing the 2009 Presidential Transition at the Department of Homeland Security*. Washington, D.C.: National Academy of Public Administration, 2008.

INITIAL DISTRIBUTION LIST

1. Defense Technical Information Center
   Ft. Belvoir, Virginia

2. Dudley Knox Library
   Naval Postgraduate School
   Monterey, California

3. Robert Bach
   Center for Homeland Defense and Security
   Monterey, California

4. Nola Joyce
   Center for Homeland Defense and Security
   Monterey, California