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**ETHICAL DECISION-MAKING FOR HOMELAND
SECURITY**

by

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September 2013

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ETHICAL DECISION-MAKING FOR HOMELAND SECURITY

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ABSTRACT

The thesis suggests that homeland security personnel lack a uniform method to make sound and defensible ethical decisions. Building on a foundation of classical ethical thought, it is established that ethics are essential to the work of homeland security. Philosophical underpinnings include virtue ethics, deontology, utilitarianism, decision-making practices, and values common to the homeland security enterprise.

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From this research, a conceptual framework for understanding was developed. The DRIVE framework (Duty, Respect, Integrity, Vision, Ends/Expected outcomes) is proposed to give homeland security personnel the tools necessary to evaluate a situation, make a decision, and review it retrospectively. The framework is easy to remember, flexible to allow for individual differences, yet comprehensive enough to encompass classical ethical thought, common values, and decision-making. The thesis recommends developing an ethics-training program for homeland security, using DRIVE as a foundation.

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TABLE OF CONTENTS

I.	INTRODUCTION.....	1
	A. PROBLEM STATEMENT—BACKGROUND.....	1
	B. RESEARCH QUESTION(S)	2
	C. SIGNIFICANCE OF RESEARCH	3
	D. METHOD	4
II.	LITERATURE REVIEW	9
	A. ESTABLISHMENT OF A PROFESSION.....	9
	1. Decision Making in the Public’s Interest for Homeland Security	11
	2. Leadership	14
	B. EXISTING ETHICAL FRAMEWORKS—CONSEQUENTIALISM, DEONTOLOGY, AND VALUES ETHICS	16
	C. THE ROLE OF VALUES.....	19
	D. ETHICAL DECISION MAKING.....	20
	E. SOME CONCLUDING THOUGHTS ON THE EXTANT LITERATURE.....	25
III.	DATA COLLECTION/APPLICATION.....	27
	A. A NEW FRAMEWORK FOR UNDERSTANDING—”DRIVE”.....	27
	B. WHY A GOOD ETHICS SYSTEM IS IMPORTANT, AND HOW ETHICAL DECISION MAKING CAN GO BAD.....	32
	1. Too Little Ethical Decision-Making: the Response to Hurricane Katrina	38
	2. Bad Ethical Decision-Making: Terrorism (or How Ethical Decision Making Can Go Wrong).....	43
	3. Good Ethical Decision-Making: The Discussion on Torture	50
	<i>a. Background.....</i>	<i>51</i>
	<i>b. Values, Public Opinion and Community Standards.....</i>	<i>52</i>
	<i>c. Utility, Efficacy, and Reality.....</i>	<i>53</i>
	<i>d. Rules, Legal, and Moral Issues</i>	<i>55</i>
	C. RELEVANT ETHICS PROGRAMS.....	57
	1. The Value of Ethics Training.....	57
	2. The Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program	63
	D. THE CANADIAN DEFENSE ETHICS PROGRAM.....	63
	1. Overview and Foundation.....	64
	2. Canadian Defense Ethics Program Ethical Principles and Obligations.....	66
	3. Decision-Making Tools.....	67
	4. Potential Indicators of Impact and Effect	67
	E. THE WILDLAND FIRE LEADERSHIP DEVELOPMENT PROGRAM	72

1.	Ethics Awareness	73
2.	Ethics Education	74
3.	Development and Enhancement of Core Values.....	74
4.	Ethics Advice in the Workplace.....	74
5.	Potential Indicators of Impact and Effect	75
IV.	RECOMMENDATIONS AND ANALYSIS.....	79
A.	ETHICS AWARENESS	79
B.	ETHICS EDUCATION	79
C.	DEVELOPMENT AND ENHANCEMENT OF CORE VALUES	80
D.	ETHICS ADVICE IN THE WORKPLACE	80
E.	ANALYSIS—AN ETHICAL DECISION-MAKING PROGRAM FOR HOMELAND SECURITY	80
V.	CONCLUSION	85
	APPENDIX A. VALUES- RAW DATA	89
	APPENDIX B. VALUES INFORMATION SUMMARIZED.....	95
	APPENDIX C. CANADIAN DEFENSE ETHICS PROGRAM	97
	APPENDIX D. CANADIAN STATEMENT OF DEFENSE ETHICS.....	99
	APPENDIX E. WILDLAND FIRE LEADERSHIP VALUES AND PRINCIPLES	101
	LIST OF REFERENCES.....	103
	INITIAL DISTRIBUTION LIST	109

LIST OF FIGURES

Figure 1.	Canadian Defense Integrity Framework (From Defense Ethics Program 2011)	65
Figure 2.	Ethical Climate Scales by Survey Year, Canadian Forces Respondents (From Defense Ethics Survey 2007).....	69
Figure 3.	Canadian Defense Ethics Program Leader’s Pocket Card (From Defense Ethics Programme 2011).....	97
Figure 4.	Canadian Statement of Defense Ethics (From Defense Ethics Programme 2011)	99
Figure 5.	Wildland Fire Leadership Values and Principles (From Wildland Fire Leadership Development Program 2011)	101

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LIST OF ACRONYMS AND ABBREVIATIONS

ACLU	American Civil Liberties Union
CDEP	Canadian Defense Ethics Program
CF	Canadian Forces
CHDS	Center for Homeland Defense and Security
CIA	Central Intelligence Agency
COPS	Community Oriented Policing Services
DEP	Defense Ethics Program (Canada)
DHS	Department of homeland security
DND	Department of National Defense (Canada)
DRIVE	Duty, Respect, Integrity, Vision, Ends/Expected Outcomes
EMI	Emergency Management Institute
FBI	Federal Bureau of Investigation
FEMA	Federal Emergency Management Agency
HLS	homeland security
IACP	International Association of Chiefs of Police
LESAT	Leaders Ethics Self-Awareness Tool (Canada)
NASA	National Aeronautics and Space Administration
NOPD	New Orleans Police Department
NWCG	National Wildfire Coordinating Group
PBS	Public Broadcasting Service
QHSR	Quadrennial homeland security Review
U.S.	United States
USDI	United States Department of the Interior
WFLDP	Wildland Fire Leadership Development Program

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EXECUTIVE SUMMARY

The thesis suggests that homeland security personnel lack a uniform method to make sound and defensible ethical decisions. Building on a foundation of classical ethical thought, it is established that ethics are essential to the work of homeland security. Philosophical underpinnings include virtue ethics, deontology, utilitarianism, decision-making practices, and values common to the homeland security enterprise.

Real-world case studies were examined in an attempt to understand and demonstrate what can happen if ethics are neglected, considered incompletely or incorrectly, or thoughtfully applied. Case studies include the response to Hurricane Katrina, motivation and thought behind terrorism, and the discussion on torture. Examples of good ethics programs were analyzed, including the Canadian Defense Ethics Program and the Wildfire Fire Leadership Development Program.

From this research, a conceptual framework for understanding was developed. The DRIVE framework (duty, respect, integrity, vision, ends/expected outcomes) is proposed to give homeland security personnel the tools necessary to evaluate a situation, make a decision, and review it retrospectively. The framework is easy to remember, flexible to allow for individual differences, yet comprehensive enough to encompass classical ethical thought, common values, and decision-making. The thesis recommends developing an ethics-training program for homeland security, using DRIVE as a foundation.

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I. INTRODUCTION

A. PROBLEM STATEMENT—BACKGROUND

There is an absence of a consistent and comprehensive set of ethical standards and guidelines for homeland security practitioners. Homeland security practitioners are broadly defined as anyone who has a part in securing our nation's homeland as part of their professional responsibilities and who is tasked with making decisions in the public's interest. While several disciplines within the homeland security effort do have codes of ethics and some very good ethical training, there is little tying them together under the developing homeland security umbrella and with a homeland security focus. Unified professions are set apart by having a code of ethics (Palin 2010). A more unified approach to ethical decision-making for homeland security would help to identify commonalities among the various disciplines in homeland security and would bring the profession together with a focus on ethics. While each discipline may consider ethics in the context of their own activities and specialty, a system designed for homeland security would help place their efforts in the larger context of the enterprise.

Ethics refers to “well-founded standards of right and wrong that prescribe what humans ought to do, usually in terms of rights, obligations, benefits to society, fairness, or specific virtues” (Markkula Center for Applied Ethics 2010). Ethics also refers to the systematic reflection on values and norms, about what constitutes good and bad, and what should or should not guide human conduct; a practice that always needs to proceed and underpin the above-mentioned standards. This practice of reflection is part of the decision-making process, and should proceed and reinforce the standards and guidelines that guide behavior. Ethics is not a model of correct behavior; it is about self-reflection, it is the label given to the recognition that we have choices (van Buuren 2009). The question of what constitutes a “good” decision is not trivial (van der Heijden 1996). Circumstances change after a decision has been taken and one will never know what would have happened if the decision had been different. The quality of the decision cannot be measured by reference to outcome, but only on the basis of how it was arrived at; or how resourceful and attentive the decision maker was before the decision was made

(van der Heijden 1996). Because ethics are about reflection and determining what we ought to do, a systematic process of evaluation and consideration would aid in this decision-making effort. Without standards, values, and guidelines with which to evaluate alternative courses of action, it is extremely difficult to choose the best option of many and to evaluate and defend decisions later in the interest of accepting responsibility, learning and improving. Because homeland security is an interdisciplinary field, the ethical guideline of any given individual discipline, which may be fine for that discipline, is inadequate to evaluate and defend interdisciplinary efforts.

B. RESEARCH QUESTION(S)

- What is a functional framework for ethical decision-making that homeland security personnel, broadly defined, could use to make decisions in the public's interest that is useful, defensible, and replicable?
- How are ethics for homeland security different than ethics for other disciplines?
- What makes ethical decision making for homeland security unique or different in the United States?

Because homeland security personnel are tasked with making decisions in the public's interest, many of them are characterized as ethical dilemmas. These decisions may be made in environments that are complex, dynamic, and nuanced, with multiple good options or multiple bad options. A method of thinking about and evaluating these situations and guiding decision-making would be beneficial to those making these difficult choices, and to the public they serve.

A method for ethical decision making for homeland security should also be based on a solid ethical foundation, and be built considering historical and established schools of ethical thought. What are some of the major schools of ethical thought that should guide ethical decision-making for HLS personnel? How can ethical theory be transformed into action, and how can the basics of decision-making be incorporated into this process?

The disciplines contained within homeland security effort are not unique to the United States. What can be learned from other countries in how they make ethical decisions for homeland security? Which countries are similar enough in the essentials to be good role models? Do any of these countries have anything useful to teach us? What makes homeland security in the U.S. different from other countries?

What would this method look like? In order to be useful, the method should be relatively simple and easy to remember. While many ethical questions are complicated and cannot be trivialized, a technique or process for reflection should be easy enough to remember and use that it is actually applied to these situations, and not simply forgotten. A useful tool or method should also be easily recalled after an incident or situation, and could be articulated in order to explain, defend, and further reflect on actions that were taken and decisions that were made. Could a formalized method or tool help personnel articulate, think through and determine whether actions that they inherently think are the “right” thing to do are actually appropriate? Can a method of reflection and decision-making for HLS be specific and useful enough for homeland security in the U.S., yet still broad enough to cover all disciplines within the homeland security effort?

C. SIGNIFICANCE OF RESEARCH

This research contributes to the literature on ethical decision-making for homeland security and gives those working in the homeland security enterprise a way of thinking about and using ethics. The research provides homeland security leaders nationally a framework of understanding for how to teach, think about and evaluate ethical decision-making for homeland security. It also provides opportunities for future research efforts relating to ethics and the homeland security enterprise.

There is much literature about ethics, morals, decision-making, and homeland security in general, but little tying all of these extensive concepts together in a practical and useful way. This research begins that process, and provides an initial framework for understanding and evaluation of ethical issues in the homeland security arena for both practitioners and for leaders. The thesis suggests a tool, the mnemonic device DRIVE, specifically designed to assist the HLS practitioner effectively frame ethical questions

before decisions are made. DRIVE stands for the values of Duty, Respect, and Integrity, and for the decision-making components of Vision and Ends or Expected Outcomes. The device will also assist the leader in making decisions that are ethical and defensible as such in a dynamic and evolving environment. This tool may also help frame the discussion about and evaluation of these difficult decisions after they have been made in the interest of learning and growth.

homeland security is a large and diverse endeavor, and ethics are a challenging and complex subject. This research is a beginning to what should be an ongoing conversation on ethical decision-making for homeland security. The thesis makes several suggestions for HLS practitioners and leaders, but there is clearly much more to be said on the subject.

D. METHOD

The concept for the thesis developed after attending a course on wildland fire leadership (Nelson 2012). During the course, participants were introduced to and taught the values of the wildland firefighting profession, and were counseled to consider those values when making decisions in the course of their work (Nelson 2012). Discussion with both participants and instructors of this wildland firefighting course, highlighted the utility and effectiveness of the material covered. This is particularly important as the students of this course are in essence and practice the types of HLS practitioners and leaders this thesis is working to influence. Research questions were formulated by reflecting on how a new and relevant program regarding ethical decision-making and leadership could reach a wider audience- the entire fire service or the rest of the homeland security enterprise.

To address the research questions, the thesis analyzes and discusses several case studies to establish a need for ethics training in the homeland security enterprise. Relevant examples of ethics programs that may serve as a foundation for an ethical decision-making program for homeland security are introduced and discussed. Finally, DRIVE, a framework for ethical decision-making for homeland security is suggested and explained.

The case study method is being used to analyze the issues for several reasons. Because ethics and homeland security are vast topics, the “limitation of attention to a particular instance of something” is necessary to maintain proper scope and depth for the paper (Babbie 2007). Particular cases were selected to illustrate possible outcomes when various levels and techniques of ethical decision-making were applied in the homeland security field. Additionally, case studies are both descriptive of specific occurrences and may also provide explanatory insights (Babbie 2007).

The cases used were selected both to describe what has happened and what discussions are going on in relation to ethics for homeland security, but also to explain why these things may have happened and to show how they might be improved. Berg (2007) suggests that case studies can help “bridge the gap between foundational studies and practice.” While ethical theory and background is very important in identifying and evaluating ethical dilemmas and is discussed in the thesis, one objective of the paper is to help show how these foundational studies can be applied to real world cases and used in the field to make ethical decisions.

Case studies also “open the door to the sensemaking process created and used by individuals involved in the phenomenon, event, group, or organization under study” (Berg 2007). The cases selected assist with making sense of the phenomenon of ethics in the homeland security arena. They show how ethical problems can arise, and suggest a method for evaluating and making sense of alternatives. As Berg (2007) suggests, “The scientific benefit to the case study method lies in its ability to open the way for discoveries.” The cases selected highlight a need for more research and discovery in the area of ethics and homeland security. The paper suggests a new discovery, the DRIVE method, for evaluating ethical problems and making decisions.

The research begins with a review of the literature relevant to ethical decision-making for homeland security in order to establish what current and historical thought exists on ethics. The topics covered include: 1) how ethics pertains to the establishment

of a profession; 2) the role of ethics in decision making in the public's interest; 3) leadership; 4) existing ethical frameworks and models; 5) literature on the importance of values to ethics in homeland security; and 6) literature on the ethical decision-making process.

The work then turns to a discussion on the need for an ethical decision-making process for homeland security as a discipline. This section consists of a general discussion of why ethics are important to the homeland security effort and serves as a foundation to future discoveries provided through the research. Three case studies illustrate significant problems and challenges in ethics represented in the broader homeland security enterprise. In the first case study, the response to Hurricane Katrina effectively represents an environment of chaos, where apparently minimal ethical consideration was given in the decision-making process. The case of terrorism and terrorist thought represents how ethical decision-making can go bad, and how even if ethics are considered, unethical action may be taken and justified. The third case analyzes the national discussion and debate around torture, and specifically the suggestion of "torture warrants." This case illustrates good ethical reasoning because ethical thought and ethical theory is applied on all sides of this complex and emotional case. These cases and the accompanying discussion effectively demonstrate the need for an enterprise-wide ethics program.

The following section introduces a new tool, DRIVE, for remembering and thinking about ethical decision making for homeland security. DRIVE is a mnemonic device to represent the words "duty, respect, integrity, vision, and ends." The thesis shows how this tool is based on established ethical theories and on values found throughout the homeland security enterprise.

Two cases of relevant ethics programs are investigated in order to provide examples of ethics programs that have been successfully implemented and how that relates to the project at hand. These include the Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program. These programs and their components are carefully analyzed to determine relevance and applicability to ethical decision-making for homeland security. The paper recommends a program using the

DRIVE device for ethics training for homeland security personnel in the U.S., using the existing ethical literature and the Canadian and Wildland ethics programs as a foundation.

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II. LITERATURE REVIEW

The literature relevant to ethical decision-making for homeland security can be divided into six general categories: 1) how ethics pertains to the establishment of a profession; 2) the role of ethics in decision-making in the public's interest for homeland security; 3) leadership; 4) existing ethical frameworks and models; 5) literature on the importance of values to ethics in homeland security; and 6) literature on the ethical decision making process.

A. ESTABLISHMENT OF A PROFESSION

Palin (2010) and Rohr (1988) suggest that a code of ethics will help establish the relatively new field of homeland security as a profession. Ethical education and thought is an important part of establishing a profession.

Through training and education, and through continuous reinforcement that ethics are important to the enterprise and that practitioners are expected to act ethically, practitioners can gain an understanding of and appreciation for the ethical foundations and issues as they relate to the homeland security effort. Philip Palin argues that homeland security may be emerging as a new profession and need not, and should not, become another specialization. This is an effort to recognize homeland security as something unique, different and valuable in its own right, and with its own characteristics and body of knowledge.

Specialization implies a smaller role inside the umbrella of a larger profession. To take Palin's suggestion a bit further, the disciplines in the homeland security enterprise could be considered specialties, much as medicine and law both have specialties within their professions. Many might argue that the fire service, law enforcement, public health, and even the media and public administration are professions and not just specialties either; but none of these has yet reached the professional status of the three recognized learned professions. Claiming the core characteristics of a profession is how homeland security can best serve the public interest (Palin 2010).

For much of Western history there have been three learned professions: the priesthood, lawyers, and physicians. The learned professions have been distinguished from other occupations by three characteristics: an extended period of education and apprenticeship; a self-sacrificing commitment to serving society, abiding by shared principles of ethical behavior; and freedom to self-organize and self-regulate as a community of professionals (Palin 2010). By incorporating these three characteristics, homeland security can achieve full professional status.

Other literature supports the creation of “a sphere of autonomy within the governmental process” in order to establish the enterprise as a profession (Rohr 1988). This “sphere of autonomy” compliments Palin’s suggestion that homeland security should not simply be a specialization, but should be an autonomous group within the government. Established ethical practices and standards can help establish that autonomy and to the claim of professional status.

The emerging field of homeland security can emulate the core characteristics of the professions—including shared ethical principles—in the pursuit of gaining professional status and best serving the public’s interest. Gaining professional status takes a long time. Medicine and law have been developing for centuries, as have their bodies of knowledge and professional codes of ethics. It may be difficult to establish a code of ethics for a profession before there is even a profession, but thinking about these things and developing a tradition and body of knowledge will be a step towards eventual professional status.

McDaniel (2007) sought to “determine whether the legal profession should now recognize homeland security Law as a separate practice area, and if not, what steps are necessary before a practice area is recognized.”

He found that “while there is no broad consensus that the homeland security Law must be identified by the American Bar Association as a separate practice area, there is agreement that practitioners and clients are treating it as a separate practice area” (McDaniel 2007). McDaniel suggests, “homeland security Law exists, because of the

perception that it exists, whether or not it has yet gained recognition as a separate practice area by the American Bar Association” (McDaniel 2007).

This acceptance and recognition of homeland security law as a separate field in the legal profession indicates that homeland security may be emerging as a separate professional field as well. Even without legal recognition, “the perception that it exists” is powerful support for the emerging homeland security effort. An established ethical system may add to that perception, to legal recognition, and ultimately to recognition as a profession.

1. Decision Making in the Public’s Interest for Homeland Security

Much literature supports the importance of values and ethics when making difficult choices, decisions, and when considering courses of action in the provision of public service. Dobel (1999) observes that commitments will come into conflict in the course of executing professional duties, and that difficult and sometimes painful decisions will need to be made in order to maintain one’s integrity. This suggests that good ethical decision-making is important at the personal level, maintaining one’s integrity, even when the decisions are made in a professional context for homeland security personnel.

Gordon (2007) argues that acting with integrity, acting in value-based and moral ways, also contributes to and helps sustain the healthiness of an organizational culture. In addition to being important at the personal level, this suggests that good ethical decision-making can also contribute to the healthiness and effectiveness of the homeland security enterprise.

Woodgate (2004) states “ethicists generally agree, that organizations have a moral responsibility to clearly communicate ethical expectations to employees” (Woodgate 2004). This indicates that the homeland security profession (or effort) has a clear responsibility to make expectations clear to those doing the work of homeland security. An ethics program or code of ethics is one way for the homeland security enterprise to meet that moral responsibility.

There is little literature specifically addressing ethics and the relatively new field of homeland security. Most of the literature discusses the older and more established military or law enforcement ethics. As Dobel (1999) suggests about other professions involved in the defense of our nation, in homeland security also it is the “complex integrity of individuals that will sustain and preserve the democratic principles of our nation.” This highlights the importance of individual integrity within the larger framework of the enterprise, and suggests that a way to deal with complex issues can help with the overall mission of maintaining out national security and integrity.

Philip Bobbitt, in his book “Terror and Consent,” discusses the relationship between ends and means in a security context. He states that both Machiavelli and Michael Walzer acknowledge two different moral codes, one for the civilian and one for the government official (2009). Bobbitt suggests, “the way that states of consent integrate these two otherwise alienated roles is through law” Law, because it represents the ethos of a society, is a “guide to action because it embodies those moral principles that the society has deemed ends in themselves, ends against which the means chosen by the government official must be measured” (2009).

In this way, the law and constitutional principles becomes an end themselves as well as a means to achieve other ends. Bobbitt also suggests, however, that “the moral rules that govern the official of a state of consent impose a “duty of consequentialism” (2009). This means that any contemplated course of action “must be measured in terms of the foreseeable costs and benefits that are its result and not against any absolute or categorical rule, including those regarding intentions. That is, what is achieved in such contexts is at least as important as how it is done” (2009). So while Bobbit on one hand acknowledges the importance of the rule of law and the importance of law in society, he also places importance on the ends to be achieved and the means used to achieve them. Bobbitt also highlights the fact that there is a different moral code for those in public service, and therefore, ethical decision-making in the homeland security enterprise is different than decision making for others.

There is some literature specifically stating the need for ethics in homeland security. The Department of homeland security's Training Leaders Council at the Center for Homeland Defense and Security has identified "Professional Ethics/Integrity" as one of six core behavioral competencies for homeland security leaders (CHDS 2010). The DHS has identified specific values important to the department, and has also identified several behavioral competencies for the objective.

One competency is that homeland security leaders can use a systemic problem solving process and display sound judgment and the ability to make the "right" decisions in a consistent manner for the benefit of all U.S. citizens. Another competency states that "free choice implies the need for a method of ethical decision-making" and that policy standards should be considered "an enforceable minimum rather than the aspiration maximum of the Department's core values and the ethos expressed in the Oath of Service" (CHDS 2010). A third competency requires that leaders "appreciates the distinction between nearly universal ethics (sometimes called "natural law") and the range of ethical variations between cultures; knows when to be tolerant, and when to draw the line." Finally, the competency requires that leaders "appreciates Departmental Ethos as a commitment by senior public servants to perform the mission properly, to take responsibility and be accountable, apart from the black letter ethical standards" (CHDS 2010). These competencies underscore the importance of good ethical decision-making to the department, and suggest that a method of doing so would be beneficial.

A Federal Emergency Management Agency Higher Education Project course at the Emergency Management Institute teaches key ethical principles for homeland security leaders (Emergency Management Institute 2003). The program suggests twelve components "necessary to develop, implement, and manage an industry wide comprehensive ethics program." These components include: 1) vision statement; 2) values statement; 3) code of ethics; 4) designated ethics official; 5) ethics task force or committee; 6) Ethics communication strategy; 7) ethics help line; 8) Comprehensive system to monitor and track ethics data; 9) periodic evaluation of ethics efforts and data; 10) ethics training; 11) ethical behavior—rewards and sanctions; and 12) focus on ethical leadership (Emergency Management Institute 2003). These 12 recommended components

suggest that a simple statement of ethics or code of ethics is not adequate for homeland security, but that a more comprehensive program of education and support is desirable.

2. Leadership

Much literature, especially in the business and military arenas, support the importance of ethical behavior and integrity in effective leadership.

Kouzes and Posner (2007) discuss the importance of ethics to leadership at great length. Leaders are looked to define and provide examples of the values and ethics of an organization. The most effective leaders have clearly considered and articulated value systems in advance to guide them and their subordinates. A leader's ethical standards and behavior frequently becomes the model for the rest of the organization. People are more likely to follow people that they believe are ethical or have integrity. We have not found any literature to suggest that ethics are not important for leaders or that one can be an effective leader and be unethical or corrupt, as well. It is possible for one to get others to follow through fear, position, or intimidation, but that is not true leadership (Reed 2004).

The phenomenon of toxic leadership is discussed as being a "destructive leadership style" (Reed 2004). Toxic leaders might be highly competent and effective in a shortsighted sense, but they contribute to unhealthy work conditions with consequences extending far beyond their immediate effects (Reed 2004). Three key elements of the toxic leader syndrome include: 1) an apparent lack of concern for the wellbeing of subordinates; 2) a personality or interpersonal technique that negatively affects organizational climate; and 3) a conviction by subordinates that the leader is motivated primarily by self-interest (Reed 2004). This definition of toxic leadership includes a lack of respect for subordinates and the organization, a lack of trust by subordinates, and at least the perception of unethical behavior. Reed (2004) suggests that "A toxic leader is poison" to the organization. Toxic leaders disprove "the myth that rule by fear and intimidation is necessary" (Reed 2004). Far from being necessary, toxic leadership is counterproductive to the organization.

Ayers (2009) discusses ethics and leadership in a law enforcement context; but many of his concepts have application to the rest of the homeland security enterprise.

Ayers defines ethical character driven leadership as a commitment of all employees “to do the right thing, the right way, for the right reasons” (2009). He suggests the right reasons are “the vision, mission and guiding principles that permeate the total ... organization.”

Ayers suggests that ethical, character driven leadership “is an effective framework or tool to help ... agencies mold a positive organizational culture, ensure the public trust, and maximize effectiveness to meet the present and future challenges” (add author and year). He also discusses the importance of credibility in leaders, a quality gained through ethical behavior. “Effective leaders have credibility—a fundamental characteristic that is based on trust. This trait is the very foundation of leadership and an absolute requisite for effective execution of [the] mission. Credibility is the lubrication that keeps the wheels turning” (Ayers add year). An effective ethical decision-making program for homeland security could help personnel think about and identify what the “right thing” to do is, and could help establish the credibility that is so essential to leadership.

Leadership is also considered the most essential element of success in the wildland fire service. Problems associated with its practice have been cited as a factor contributing to wildland fire accidents for many years (WFLDP 2011). The Wildland Fire Leadership Development Program uses the following working definition of leader, “Leaders are individuals whose values and character enable them to influence others by providing purpose, direction, and motivation, in order to accomplish the incident response mission and improve the organization” (WFLDP 2011). This definition reinforces the importance of values and character, and by extension ethics and ethical decision-making, for leaders.

The literature suggests that ethical behavior is an important factor in effective leadership. As homeland security personnel become leaders in their communities and organizations, ethical behavior and decision-making add to their credibility and effectiveness.

B. EXISTING ETHICAL FRAMEWORKS—CONSEQUENTIALISM, DEONTOLOGY, AND VALUES ETHICS

Philosophers traditionally support three distinct moral systems and use common sense moral intuitions to criticize each one: consequentialism, deontology, and values ethics. Consequentialism entails results that are the most important moral factor. Deontology or duty ethics requires that we always follow certain moral principles, regardless of the result. Values ethics (also known as “virtue ethics”) is the moral system based on the virtues or good character of individuals (Zack 2009).

The three mainstreams in ethical thinking are Aristotelian Virtue Ethics, Kant’s Categorical Imperative and Utilitarianism, of which Mill was an important defender. Academic discussions about ethical questions nowadays take place between these three systems (van Burken 2006). There are other ethical schools of thought that exist, but these three have stood the test of time and become the dominant ethical theories today. They are the main ethical processes discussed at the Center for Homeland Defense and Security, and the *Stanford Encyclopedia of Philosophy* describes them as the “three major approaches in normative ethics” (2012). Taken together, they provide a method of evaluating ethical dilemmas that accounts for several points of view and a solid basis in a range of historical ethical thought.

Values ethics, or virtue ethics, is one of the oldest ethical theories. Virtue ethics can be traced to the beginnings of Western philosophical thought, and philosophers such as Aristotle and Plato over two thousand years ago. Virtue refers to traits of character that predispose those who have them to behave in certain ways. In Aristotle’s classic work on the virtues the virtues are simply “those characteristics that enable individuals to live well in communities” (Pojman 1999). Human well-being (*eudaimonia*) is the highest aim of moral thought and conduct; the virtues are the requisite skills and character-traits. Examples of virtues include honesty, courage, compassion, generosity, tolerance, love, fidelity, integrity, fairness, self-control, and prudence (Markkula Center 2010). A person who is aware of the right virtues to live by knows what to choose in a difficult situation.

Aristotle argues that ethics is a case of practicing skill by which one can become a virtuous person. To achieve eudaimonia one must live by what can be considered virtues such as justice, wisdom, courage, prudence, and so forth (van Burken). Zack (2009) suggests that if we have the right virtues, and if we can trust the character of our democratically selected leaders, then we may have some confidence that the right decisions will be made in cases that appear to limit our normal moral principles and commitments. The right virtues will dispose us to do the right things in disasters. She then asks, “Which virtues are best for disaster?” More broadly, we can ask which virtues are best for homeland security.

These questions suggest some of the weaknesses and problems with virtue ethics. Virtue ethics are inter-subjective at best. Which virtues are most appropriate for a given situation are largely matters of personal opinion and not an objective measure. Virtue ethics also gives little guidance for action when virtues conflict (Philosophical Investigations 2012).

Utilitarianism, another major ethical framework and a form of consequentialism, has been discussed in the literature as an ethical framework for at least two hundred years. Two main thinkers and writers of utilitarianism include Jeremy Bentham (1748–1832) and John Stuart Mill (1806–1876). Utilitarianism, in its most basic form, is an ethical theory that seeks to promote the “greatest good for the greatest number” (Bentham 1948). Utilitarianism has been used to make decisions and policy, even in our democracy, for the “greatest good.”

Consequentialism proposes that good results are the most important moral factor. Zack (2009) suggests that while utilitarianism does have some appeal initially, it also has weaknesses that may make it an inappropriate or problematic model for ethical decision-making in the homeland security enterprise. In the process of working for the “greatest number,” the rights and conditions of those not in the greatest number can be violated, sometimes in the most egregious ways possible. Also, if results or ends are the most important consideration, any means can therefore be justified and acts that would ordinarily be unthinkable become rationalized.

Mill does qualify utilitarianism, however, acknowledging quality of pleasure as well as quantity. “It is quite compatible with the principle of utility,” he writes, “to recognize the fact that some kinds of pleasure are more desirable and more valuable than others. It would be absurd that, while in estimating all other things quality is considered as well as quantity, the estimation of pleasures should be supposed to depend on quantity alone” (Fullerton 2004). Some objective ranking or prioritization could help with ethical decision-making when multiple “pleasures” or “goods” conflict.

Deontology, or duty ethics, holds that there are certain actions that are never permitted, and certain obligations that must always be fulfilled. Immanuel Kant (1724–1804) is important proponent of deontology. According to deontology, if certain actions are morally right, then they ought to be done regardless of consequences, and if they are wrong they simply must not be done. Deontology, in effect, yields lists of duties and prohibitions that for the most part in normal life do guide moral thought and action (Zack 2009).

Immanuel Kant’s ethics represents the classical formulation of deontology, and suggests that ethical acts should be done regardless of consequences. Kant’s ethical system has three basic tenants: by reason a person can discover universal laws of conduct, people are never treated merely as a means, and every rational being is able to determine the universal laws of conduct. For deontologists, right action consists solely in the conformity of an action to a justified rule or principle.

For Kant, this becomes equivalent to the rational and autonomous conformity of one will to maxims that conform the Categorical Imperative. Kant holds that the fundamental principle of our moral duties is a *categorical imperative*. The *Stanford Encyclopedia of Philosophy* (2012) clarifies the categorical imperative:

It is an *imperative* because it is a command. More precisely, it commands us to exercise our *wills* in a particular way, not to perform some action or other. It is *categorical* in virtue of applying to us unconditionally, or simply because we possess rational wills, without reference to any ends that we might or might not have. (*Stanford Encyclopedia of Philosophy* 2012)

Kant states to ‘never act upon a maxim, unless I can ‘will that my maxim should become a universal law.’ This imperative is equivalent to the demand to treat people as ends, never as means only (van Burken 2006).

Kant had several formulas of the Categorical Imperative, including the Formula of Universal Law of Nature, Humanity Formula, Autonomy Formula, and the Kingdom of Ends Formula. While the different formulas are “not equivalent in meaning, they are nevertheless, logically interderivable” (*Stanford Encyclopedia of Philosophy* (2012)). Deontology also has weaknesses relevant to ethical decision-making for homeland security. Little guidance is given as to which rules to follow when rules are in conflict in a given situation, and no consideration is given to ends or the outcomes of an action, only to conformity to a principle.

C. THE ROLE OF VALUES

Dobel (1999) suggests, “public discretion and judgment is guided by the standards and considerations individuals in office use to frame their decisions.” Values can set those standards, and can serve as guides to action. Kouzes and Posner (2007) observe that values inform our decisions as to what to do and what not to do, and they help us to really understand why. Integrity is the value that “integrates” all other values into useful form. Dobel (1999) suggests that integrity is the essential virtue for a moral life in a complex world, and that integrity is the quality by which all values, personal and professional, can be applied in a meaningful way.

Much of the literature about values found in homeland security can be found in individual agencies’ value statements or mottos. Some literature is quite general describing broad values for government, while others suggest more discipline-specific values. Dobel (1999) suggests that for a public official, central values would include “respect for self and others, commitment to truthfulness and public good, care, fairness, and honor.”

Stephen Bailey argues “the attributes of optimism, courage, empathy, honesty, and conscientiousness, as well as an understanding of the paradoxes of procedure and moral ambiguities, are central to good public judgment” (Dobel 1999). According to the

Executive Overview Briefing, the Department of homeland security's values are "Integrity, Vigilance, and Respect" (DHS 2010). Representative of the law enforcement community, the FBI motto is "Fidelity, Bravery, and Integrity" (FBI 2010). The Central Intelligence Agency's values are "Service, Integrity, and Excellence" (CIA 2010). The U.S. ARMY lists "Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and Personal Courage" as their Core Values (U.S. Army 2010). The U.S. Navy cites "Honor, Courage, Commitment," as their "bedrock principles or core values" (U.S. Navy 2010). The National Wildfire Coordinating Group, in their Wildland Firefighter Leadership Development Program, lists "Duty, Respect, and Integrity" as the values of their profession (NWCG 2010).

A survey of 50 different value statements from organizations within the homeland security enterprise can be found in Appendix A. These values were analyzed to identify commonalities or themes relevant to ethical decision making for homeland security, and these groupings can be found in Appendix B.

D. ETHICAL DECISION MAKING

There is much literature relating to ethical decision-making. Milton Rokeach notes that values are organized into two sets: means and ends. Kouzes suggests that means are here-and-now beliefs about how things should be accomplished; ends are long-term visions that that we aspire to attain (2007). Means are therefore options to be considered and evaluated based on personal beliefs; while ends are prospective, looking to the future about what is to be accomplished. This definition seems a bit circular, however, as people can have beliefs and visions about both means and ends. Godschalk (2003) notes that most ethical principles are grounded in the notion of fairness. Fairness, however, includes issues of both equitable processes and equitable outcomes. An important component of ethical decision-making is prudence, which "emphasizes the importance of connecting means and ends" (Dobel 1999).

The goal of ethical decision-making is to evaluate possible courses of action, and without prudence, "no moral aspiration would have a concrete reality" (Dobel 1999). The UK Institute of Business Ethics (2010) suggests a simple "test" for ethical decision-

making: 1) transparency; 2) effect; and 3) fairness. When considering effects, possible harmful effects and ways to avoid them should be considered. The literature on decision-making begins to suggest more practical and concrete actions, as opposed to the more theoretical literature on values.

Pojman (1999) discusses ethical theories and their relation to ethical decision-making. Pojman also provides several definitions relevant to ethics. Morality and morals refer to the customs, precepts, and practices an individual or culture uses to determine how a person ought to act. Moral philosophy refers to philosophical or theoretical reflection on morality. Ethical theories are specific moral theories issuing from philosophical reflection. Ethics refers to the whole domain of morality and moral philosophy (1999).

Pojman has four main ideas relating to ethical decision-making. First, ethics are an important part of life. Morality is one of several practical institutions that guide our actions, including religion, etiquette, and law. The central purpose of moral philosophy is “to secure valid principles of conduct and values that can guide human actions and produce good character” (Pojman 1999). Ethical theories focus on the individual, but are intended to benefit the community. “The goal of morality is to create happy and virtuous people; the kind that create flourishing communities” (Pojman 1999).

Second, Pojman suggests that ethical analysis is complicated, and ethics are more than just evaluating actions based on rules of conduct. There are four major domains that can be considered in ethical evaluation and decision making: the act, the consequences, the character of the person, and the motive. Ethical theories attempt to define moral principles to guide conduct. Different ethical theories concentrate on one or two of those domains as more important than the others.

Pojman’s third point is that two major types of ethical systems have dominated modern thought concerning ethics- one where the focus is on the act, the other where the focus is on the consequences. The two ethical systems are deontology (as proposed by

Immanuel Kant), and Utilitarianism. Pojman also acknowledges virtue ethics, and states that it has reemerged as a major ethical theory because of dissatisfaction with the other two ethical systems.

Lastly, Pojman suggests that while each system has validity, something is lacking in each. Deontological systems have the problem that good results do not necessarily result from good acts. These systems “seem right in their emphasis on the importance of rules and the principle of justice but tend to become rigid or to lose focus on the central purposes of morality” (Pojman 1999). He also notes that “Utilitarianism seems to catch the spirit of morality (human flourishing and the amelioration of suffering) but undercuts justice in a way that is counterintuitive” (Pojman).

For many, the end does not justify the means when the means tramples basic human rights and dignity. These ideas and fears have real relevance in homeland security. Many in America seem to agree with an idea articulated by Benjamin Franklin that “Those who would give up essential liberty, to purchase a little temporary safety, deserve neither liberty nor safety” (Wittes 2013). In his articles “Would Ben Franklin Trade Liberty for Wiretapping?” (2013) and “Against a Crude Balance: Platform Security and the Hostile Symbiosis Between Liberty and Security” (2011). Wittes attempts to debunk some misconceptions about that famous quote itself, and suggests that “any crude notion of a ‘balancing’ between security and liberty badly misstates the relationship between these two goods- that in the vast majority of circumstances, liberty and security are better understood as necessary preconditions for one another than in some sort of standoff” (2013). This strongly suggests that security, specifically homeland security, is necessary to preserve liberty; and it is not necessarily a zero-sum game, where one has to give up something for the other to gain. An ethics system for homeland security would help to advance the interests of both liberty and security.

Mill’s qualifications of utilitarianism regarding higher and lower forms of happiness and suffering are intended to deal with basic rights being trampled in the process of achieving a greater good. Still, only ends are considered, and any means used to achieve them are considered legitimate. Also, specific ends to be achieved can be very subjective.

Virtue ethics tells us what type of person we should be, but does not help us to decide what to do. This is especially problematic when facing ethical dilemmas. “Virtue ethics has a problem of application: It doesn’t tell us what to do in particular instances in which we most need direction” (Pojman).

Personal integrity, or the characteristic that integrates all qualities into a whole, may allow an individual a basis for ethical decision-making by putting the individual virtues into a more useful form.

Holmes (1993) discusses moral philosophy as a portion of the larger field of ethics in *Basic Moral Philosophy*. He suggests that moral philosophy is very important, but has limitations. “Although moral philosophy cannot promise to resolve your moral problems for you, it can help guide you in efforts to resolve those problems, and in deliberations about what constitutes the wise conduct of life. And virtually nothing is of greater importance” (1993).

Holmes also notes that moral philosophy has developed over the centuries, and in some ways this development is circular. Ancient ethics (2,000 years ago) was concerned mostly with virtue, concentrating on the qualities of the person rather than conduct. Modern (the last 200 years) moral philosophy changed the emphasis to conduct, rather than character. Conduct relates to an act and its consequences. The legalistic approach came to dominate, and suggested that there are basic moral principles and rules; and that an ethical problem is resolved by identifying the particular rule to apply.

Contemporary philosophers have begun to reconsider the importance of virtue. “As a result, the ethics of conduct and the ethics of virtue, have in many ways, become competing outlooks. The ethics of conduct remains the dominant orientation, but the ethics of virtue is receiving increasing attention” (Holmes 1993).

Holmes also suggests that no ethical theory is completely satisfying. In virtue ethics the problem is how a person develops virtues. “Virtue does not just mysteriously spring up in some people. It is not innate” (Holmes 1993). The idea of virtues as skills that must be practiced and perfected can be very inter-subjective and circular. People have to do something to develop the virtues, but the process to learn to be virtuous must

start with morally right conduct. This also highlights the problems of virtue ethics in actually guiding action and making decisions in a specific case.

A good ethics training program, such as the DRIVE method, would provide homeland security practitioners with education on ethical thought and how to make a good decision; and would provide scenarios and opportunities to practice these skills and reflect on this process. In addition, the DRIVE method does not rely solely on one ethical theory, but takes into consideration the strengths and weakness of the three major schools of ethical thought.

Ethics of conduct theories, which stress the importance of either the act or the consequences, also have basic problems. Kant's theory is concerned with selecting the morally correct act, trying to carry it out, and doing it because it is right. One major objection to Kant and deontology is that consequences are not considered. "What the actual consequences would be if we performed certain actions does not enter into the process by which we determine rightness at all" (Holmes 1993).

A group of moral philosophers known as neo-Kantians have attempted to deal with this. The *Stanford Encyclopedia of Philosophy* (2012) states that more than any other single figure, Hermann Cohen is responsible for founding the Neo-Kantianism movement that dominated academic philosophy in Germany from the 1870s until the end of the First World War. Cohen claimed that the concept of humanity has a tension contained in it: a human being is at once an individual and a member of various pluralities.

Cohen attempted to understand how the universal laws of an ideal state could reconcile the interests of both individuals and groups. Cohen's emphasis on the universal character of ethical laws is clearly Kantian in spirit, and he intends the universal laws of an ideal state to be the laws people must give to themselves in Kant's realm of ends (*Stanford Encyclopedia of Philosophy* 2012). By placing the focus on society as well as the individual, neo-Kantians made some effort to account for effects or consequences of actions rather than simply focusing on acts.

Most of the ethics of conduct are legalistic, concerned with applying principles or following rules. This can be difficult when rules seem to contradict each other under specific circumstances. Utilitarianism is the major theory that stresses consequences. The ethical person selects the action that will do the most good for the most people. The act itself has no value apart from its consequences.

This is in effect almost the opposite of deontology, where the act (of following a rule) is the only thing considered, regardless of the consequences. Three areas of concern with utilitarianism are: 1) the moral relevance of such acts as truth telling and promise keeping even when they do not maximize value; 2) rights such as freedom of expression and the right to life, which sometimes seem to conflict with utility; and 3) justice, which may sometimes run counter to what promotes the greatest good (Holmes 1993). Again, almost any act can be seen as moral if it can be justified as promoting the greater good, and basic individual and societal values such as freedom and justice can in fact be a hindrance to promoting the greater good for the majority.

E. SOME CONCLUDING THOUGHTS ON THE EXTANT LITERATURE

Ethical decision making for homeland security is an expansive subject covering several schools of thought and disciplines within the literature. Taken together, the literature suggests that ethics are important in doing the work of homeland security, and that a process or system of evaluation is useful in making ethical decisions (Palin 2010; Rohr 1988; Dobel 1999; Bobbitt 2009). The literature suggests that ethics and an ethical code are essential components of an established profession (Palin 2010; Rohr 1988); and that while homeland security is not yet a recognized profession, it should become one in order to best meet the needs of the citizens (Palin 2010; McDaniel 2007). An established system of ethical thought and decision-making would help to bring together the emerging profession of homeland security, and help establish commonalities among the various disciplines within the effort. This ethical foundation should be based not only on established historical ethical theory, but also on ethics and values specific to homeland security in the United States today. The DRIVE method will help to do just that.

The literature also suggests that ethics are important for leaders, and especially for leaders in the public sector, and that as leaders in the community homeland security personnel require a strong ethical background (Dobel 1999; Gordon 2007; Bobbitt 2009; Kouzes and Posner 2007). Other literature discusses the importance of values in the decision-making process and the relationship of values to ethics (Dobel 1999; Kouzes and Posner 2007).

The literature also suggests three main schools of ethical thought relevant to ethical decision-making for homeland security: values or virtue ethics, deontology or rules-based ethics, and utilitarianism or consequentialism (Zack 2009; van Burken 2006). In discussing these ethical theories, literature suggests that while each has strengths and relevance to ethical decision-making, each also has weaknesses and flaws that could lead to unethical decisions and behavior (Pojman 1999; Holmes 1993).

This review of the literature suggests that homeland security personnel should be taught about the importance of ethics and values in their roles and that a method of ethical decision-making should be recommended, one that can account for historical thought as well as its weaknesses. A new framework for understanding ethics and ethical decision-making, the DRIVE method, will help teach homeland security providers about the importance of ethics and values in their roles, and will help in the decision-making process. The DRIVE method is founded on the ethical theories and thought found in this literature review.

III. DATA COLLECTION/APPLICATION

A. A NEW FRAMEWORK FOR UNDERSTANDING--"DRIVE"

In order to teach homeland security personnel about the importance of ethics and values in their various roles, a method of ethical decision-making for homeland security personnel is recommended by the thesis. This method, or framework for thought, utilizes the established historical schools of ethical thought and also accounts for their weaknesses. The method also incorporates elements of the decision-making process into ethical thinking for a proactive and actionable method of choosing the most ethical action in the challenging work of homeland security.

An ethical inquiry identifies the components of an inquiring system and the roles that each component plays to ensure the acceptance of the established norms of conduct. When the norms are broken, the ethical inquiry identifies where the failures leading to unethical behavior has occurred (Van Gigch 2008).

An inquiring system serves as a formal framework where ethical inquiries take place. The main components of an ethical inquiry are:

- The problem exists in a context or domain
- Stakeholders act according to established norms
- Norms are tied to values that must be respected and to imperatives/desires that express obligations
- Ethical infractions are committed when norms are broken
- A methodology identifies ethical infractions (Van Gigch 2008).

To create an ethical enquiring system for homeland security personnel, common values found throughout the homeland security enterprise can be put together with important parts of the decision making process and components of existing ethical theories to create a simple framework for identifying ethical infractions, and for making defensible ethical decisions. The enquiring system would include the vision to identify the context of the problem and relevant stakeholders, values relevant to homeland security, and imperatives or desires to be accomplished (ends or outcomes).

Values are a way of defining and articulating what criteria will be considered when evaluating possible courses of action in the ethical decision-making process. Clarifying values can make prioritizing and choosing between multiple good or multiple bad options easier and more defensible. Values cited for organizations within the homeland security enterprise have a few general things in common useful for ethical decision-making.

Stated values from 50 organizations within the homeland security enterprise were analyzed to determine if there were commonalities or themes apparent that are applicable to the greater homeland security effort for ethical decision making. The value statements for the 50 agencies are found in Appendix A. The group surveyed included nine federal homeland security and law enforcement agencies, five military organizations, 17 state and local law enforcement agencies, thirteen fire departments, and six public health and emergency medical services agencies. These agencies were randomly selected and chosen to represent the major disciplines within the homeland security effort.

After collecting the raw data, the values naturally divided into four general categories: professional responsibilities, treatment of others, personal integrity, and other personal traits. The grouped data are found in Appendix B.

In the professional responsibilities category, service was mentioned eighteen times, duty ten times, and professionalism eleven times. Other professional values include commitment, dedication, respect for the law, and teamwork. These values indicate the importance of the duty of service in homeland security and the value placed on acknowledgement of the profession. While service is an important component of the homeland security effort, by itself it does not describe the professional component and responsibility of homeland security duties, and could imply service of a voluntary or personal nature. Although the word “duty” was specifically mentioned less than “service,” duty best represents the significance of professional commitment and obligations to the job.

In the treatment of others category, respect was listed twenty-two times, and respect for the dignity of others was listed three times. This represents half of the lists

surveyed mentioning respect in some context. Other values related to the treatment of others included caring and compassion (13 times), fairness (eight), and communication and responsiveness. These values also contribute to and contain some form of respect for other people.

Integrity was by far the most common single value listed, and became a category by itself. Integrity was listed singly forty times in the list of fifty agencies, and in four other values statements. Other values related to personal integrity and listed in this category include honor (nine), accountability (seven), ethics and ethical behavior (three), and character. These values relate to personal qualities and behavior.

There were also several other values and personal qualities listed that are good traits for performing a job, but seem less relevant to ethical decision-making. The most commonly listed values in this “other” category include courage and bravery, mentioned thirteen times. While courage and bravery are good characteristics for carrying our challenging tasks, they may not be the best criteria for ethical decision making, as it may take an equal or greater measure of bravery to make an unethical decision as an ethical one. Excellence was another personal trait, listed 12 times in the surveyed group. This is another good quality for an individual or organization, but not very helpful in ethical decision making. Other personal characteristics listed include improvement and growth (nine), innovation and creativity (six), and safety (five).

In short, the values representative of the homeland security enterprise and taken from agencies and organizations throughout the effort can be organized into three basic groups useful for ethical decision making: acknowledgement of professional responsibilities; concern for the rights of others; and an obligation to maintain consistency and faithfulness to the self. These principles can adequately be represented by the values “Duty, Respect, and Integrity.” Duty, respect, and integrity are good starting values to begin ethical decision-making for homeland security.

While values are an important place to start in ethical decision making, there are other factors to be considered before making a decision and taking action. These factors include the context or domain in which the decision is being made, and possible effects of

the decision. Ethical dilemmas do not occur in a vacuum, and vision is required to understand the context in which the decision is being made and how the decision will affect all stakeholders. Vision includes being aware of the environment of the situation, the players involved, backgrounds, history, interests and positions, physical location, and any other factors relevant to the big picture. Vision also helps to perceive those norms that are tied to values that must be respected, and to requirements or objectives to be accomplished.

Values are organized into two sets: means and ends. The values discussed above are means, or process values. Effects or outcomes should also be considered when making ethical decisions. When considering effects, possible harmful effects and ways to avoid them should also be considered. Fairness includes issues of both equitable processes and equitable outcomes.

A functional framework for ethical decision-making in homeland security could then include the values “Duty, respect, and integrity;” and the decision making components of “vision and expected outcomes.” This guide could be remembered by the mnemonic device DRIVE; or by a simple phrase such as “values DRIVE ethical decisions,” or “ethics DRIVE good decisions.” By considering core values of the profession, the context of the decision, and possible effects of the action, homeland security practitioners will have a way of thinking about problems and making decisions that are ethical, consistent, and defensible.

This framework incorporates ideas and ways of looking at ethical dilemmas from the three main ethical schools: virtue or value ethics, deontology, and utilitarianism. A decision that is made by considering all ethical theories and ways of looking at problems is more likely to be a good decision rather than one that only looks at a problem from one angle, as all ethical systems do have weaknesses and limitations.

The virtue or value ethical school can be represented by duty, respect, and integrity, as the stated values for the profession based on the survey of values from organizations in the homeland security field. These values encourage one to consider what kind of a person they are to be while doing the work of homeland Security, and to

consider what kinds of actions that type of person might take. If an action can be justified to meet the requirements of being necessary for the job (or at least related to the job), shows consideration of others and does not deprive others of rights or dignity, and does not violate any personal beliefs or principles, then that action will most likely be considered ethical under the first school, virtue ethics.

The next ethical school is deontology, or rules-based ethics, and is represented by the components of Duty and Integrity. Any job or profession will have written policies, rules, procedures, standards of practice and applicable laws that govern and regulate behavior while performing one's duty. In addition, individuals all have personal standards, beliefs, and principles that they consider important and do not want to violate. Taken together, professional and personal rules of conduct can represent the deontological school of ethical thought. A noted weakness with deontology, this way of thinking only considers adherence to rules and performing good acts, with no regard to the outcome or results of that action.

Duty, respect, and integrity are all "means" values; that is, they are all ways of thinking about actions and how to accomplish problems. Vision is a way to connect means to ends, to put actions and their results in context, and to see the big picture of an ethical problem, possible courses of action, and their likely outcomes. Without vision, all possible courses of actions may not be considered and unintended consequences may be missed, and the most ethical course of action may not be taken.

The consequentialist or utilitarian school of ethical thought is represented by expected outcomes, which are also "ends" values. Expected outcomes deal only with what is to be accomplished, not how it is to be accomplished. Part of the expected outcome deliberation includes considering not only what the end result is supposed to be, but other unintended consequences or effects that could result from a given action. Care should be given to minimize negative outcomes. As with any utilitarian thought process, "means" or acts are not considered, and can be problematic used alone.

This framework could be applied to situations in which ethical problems or choices exist in different disciplines within homeland security, and could be used to

evaluate and choose alternative courses of action. While there is no perfect answer in many of these difficult situations, this framework would give homeland security personnel a way to think about a situation, a method to articulate and defend a decision and course of action, and a way to evaluate and learn from it later. For learning purposes, situations could be real or hypothetical, current or historical, and decisions that were made or are being considered could be evaluated to see if they meet the basic criteria of the ethical decision making framework.

The framework does have its limitations, however. It is certainly debatable that a single word can help to solve the complex and difficult ethical challenges that face personnel working to secure our homeland. It could also be argued that this device oversimplifies and trivializes the difficult process of moral reasoning and decision-making.

What the device does do is to put the important components of ethical decision making into an easy to remember format, and to begin the conversation or thought process about ethics for an individual. The device is specific enough to the values found in homeland security that it is relevant; but it is flexible enough that it can be adapted to any profession or situation to at least acknowledge that an ethical dilemma exists, and to begin thinking about ways to deal with it. The DRIVE device can be incorporated into a larger ethical program in order to teach homeland security personnel about the importance of ethics in the work they do, and to give them a way of talking and thinking about it.

B. WHY A GOOD ETHICS SYSTEM IS IMPORTANT, AND HOW ETHICAL DECISION MAKING CAN GO BAD

The previous section introduced a new method of ethical decision making specifically designed for homeland security personnel. The DRIVE method provides an easy to remember mechanism for thinking about ethical dilemmas, and incorporates many aspects of historical ethical thought. The following sections further establish why ethics are important to the work of homeland security, and how unethical action may be taken if careful and deliberate reflection is not accomplished.

Ethics are important at both the personal and organizational levels, and can affect how each is able to perform and complete their respective missions.

At the personal level, individuals may be at risk for a “moral injury” if they commit or witness immoral or unethical behavior. Brett Litz, Nathan Stein, Eileen Delaney, Leslie Lebowitz, William P. Nash, Caroline Silva, and Shira Maguen (2009) have started a conversation about the phenomena of a possible moral injury, its implications and possible treatments. They state, “throughout history, warriors have been presented with moral and ethical challenges, and modern unconventional and guerilla wars amplify these challenges” (Litz 2009).

Most of their research has focused on combat veterans from Iraq and Afghanistan, but their definition of modern unconventional wars could also possibly include the war on terrorism, the war on drugs, and other “wars” that affect homeland security personnel. They continue, “Potentially morally injurious events such as perpetrating, failing to prevent, or bearing witness to acts that transgress deeply held moral beliefs and expectations may be deleterious in the long-term, emotionally, psychologically, spiritually, and socially (what we label as *moral injury*)” (Litz 2009). They note that there has been some research on the consequences of unnecessary acts of violence in war zones, but the lasting impact of morally injurious events in war remains chiefly unaddressed (Litz 2009); and that

Moral injury in service members and veterans appears to be a distinct phenomenon warranting its own line of inquiry and development of special intervention strategies. (Litz 2009)

This threat to the well-being of those engaged in unconventional conflicts, underscores the importance of talking about and thinking about ethical behavior and its consequences.

At the national and organizational levels, Mr. Y (2011) argues in the “National Strategy Narrative” that values are the foundation of America, that they define who we are as a nation, and that if we fail to live up to our values, we fail as a nation. Mr. Y is a pseudonym for CAPT Wayne Porter, USN and Col Mark “Puck” Mykleby, USMC who at the time of publishing the Narrative were actively serving military officers. They wrote

the National Strategic Narrative as strategic advisors to the Chairman of the Joint Chiefs of Staff in 2011. The name “Mr. Y” is in reference to an article by Mr. X written in 1947 by George Kennan that argued for a policy of containment of the Soviet Union. The strong emphasis on values in the Narrative underscores the importance of values in the homeland security effort, and of the importance of ethical decision-making in carrying out that mission.

America was founded on the core values and principles enshrined in our Constitution and proven through war and peace. These values have served as both our anchor and our compass, at home and abroad, for more than two centuries. Our values define our national character, and they are our source of credibility and legitimacy in everything we do. Our values provide the bounds within which we pursue our enduring national interests. When these values are no longer sustainable, we have failed as a nation, because without our values, America has no credibility. (Mr. Y 2011)

Good ethical decision making with respect to those values can help strengthen our nation, but making decisions that are unethical and undercut those values may lead to a loss of credibility and legitimacy as Mr. Y suggests. He further suggests, “our ability to remain relevant as a world leader, to evolve as a nation, depends as it always has on our determination to pursue our national interests within the constraints of our core values” (Mr. Y 2011, p. 12). This indicates that while our ends are important, so are the means we choose to achieve them. A good system of ethical decision making can help those in the homeland security arena evaluate possible courses of action that will further our national goals, while at the same time maintaining our “core values.”

Ethics have been identified as an important issue within the homeland security enterprise, and have been made a priority for training and evaluation. The Police Image and Ethics Committee of the International Association of Chiefs of Police undertook a detailed analysis of ethics training within United States police departments. Following three years of surveying and research the committee concluded: “Ethics remains our greatest training and leadership need today” (IACP 2011).

In response to this finding, The International Association of Chiefs of Police (IACP) and the U.S. Department of Justice Office of Community Oriented Policing

Services (COPS Office) developed the “Ethics Toolkit: Enhancing Law Enforcement Ethics in a Community Policing Environment.” Both the IACP membership and the COPS Office consider ethics an important training and leadership need. They suggest that the toolkit is used both as “a call to action and a resource guide to assist local law enforcement agencies.” The toolkit includes a law enforcement Oath of Honor, a campaign for officers to sign and commit to the Oath, a list of resources regarding ethics in law enforcement, and a training manual and in-service training materials (IACP 2011). This program was developed by the IACP in response to a need they identified, and decided to take action to address.

Ethics programs are an outcome of strong public concern that developed in the 1970s over unethical behavior in government. During that period, most liberal democratic governments initiated “programs” to address the potential for unethical behavior in the public domain (Beauchamp 2002). Kernaghan observes, “The unprecedented public concern about ethics during the early 1970s was matched by an equally unprecedented outpouring of ethics rules from all levels of government. However, these rules usually dealt solely with the conflict of interest” (1996). Patricia Aburdene observes, “out of the ashes of crisis, corruption, and public distrust, a grassroots movement to revitalize the ethics and spirit of free enterprise is gaining momentum and attracting millions” (Covey 2006). Because of this growing distrust of governments, the number of ethics programs is increasing.

The problem, however, is that many “ethics” solutions focus on compliance (Covey 2006). The compliance definition of ethics is not one of integrity or integratedness; it is a “watered-down, devalued definition that essentially means, ‘follow the rules’.” These programs highlight organizations’ and bureaucracies’ tendencies towards rules and policies, not on clarifying values and fostering integrity to those values and to enduring principles (Covey 2006). This focus on compliance, on rules and acts, show a natural predisposition to deontology or “means” ethics, without much consideration for ends. Ethics training, therefore, is often focused exclusively on conformity to regulatory and rules-based legislation (Covey 2006). Chris Bauer, a psychologist and corporate ethics trainer, observes that:

What we're really talking about here isn't a law enforcement or regulatory issue. It's a psychological issue- an absence of core values, confusion about what is the right thing to do. I see a lot of companies saying that they're going to tighten their rules. I don't see a lot of them saying that they're going to work to be extremely clear about what their values are, and give people training on how those values translate into actual behavior. (Covey 2006)

Representative of this phenomenon is the FEMA ethics program and accompanying *Ethics Guide for FEMA Employees* (FEMA 2011). The booklet is written by an agency attorney and contains chapters on gifts, travel, outside work and activities, political activity, use of public office, nepotism, disclosure, and others. The pamphlet is most remarkable for what it does not contain- a section on ethical decision making or a process to evaluate situations and possible courses of action, or to evaluate and improve the ethical climate of leadership and groups. A booklet or field guide for employees on ethics would be a good opportunity for the agency to discuss the broader scope of ethics beyond simple compliance and the legal realm of ethics. A practical ethics decision-making guide, such as DRIVE, may remind employees of basic ethical principles and could prove useful in guiding behavior for employees in other ethical dilemmas they may encounter at work. This information should be included in any booklet or field guide for homeland security practitioners on ethics and compliance to remind them of the larger scope of ethics and ethical decision-making in their respective roles.

Adams and Balfour (2007) examine ethical failures within the Department of homeland security and in the greater HLS effort. They discuss the moral shortfalls of both professional and public service ethics, and show why both fail as safeguards against unethical behavior, incompetence, and even "administrative evil." They examine two case studies: the "largely failed response to Hurricane Katrina" with focus on "the considerable and rather rapid deskilling of the Federal Emergency Management Agency;" and the occupation and reconstruction of Iraq, and the "misplaced efforts of the Coalition Provisional Authority." They assess the role of ethical failures in acts of incompetence by leaders, and question whether those might constitute administrative evil. While there are no simple answers to the difficult and complex questions that Adams and Balfour address, a lack of training and education in ethical behavior and a way to apply that

ethical thought to real-world situations seem to be large components of the problem. A system such as DRIVE could help those in the homeland security effort that want to think about ethics and ethical behavior, and perhaps reduce action that is ethically incompetent or even evil.

The need for ethics and underlying values in the homeland security effort has also been outlined in guiding documents such as the Quadrennial homeland security Review (2010) and the National Strategy for homeland security (2007). These documents highlight the importance of values to the homeland security mission, but do not specifically call for ethical training or policies. Stating the importance of values is good, but suggesting a practical way to clarify and implement them is much more useful.

The QHSR states that “security is not an end in itself; rather, it is an important means to a vital end: preserving the values, principles, and way of life we pursue as Americans” (p. v). The National Strategy (2007) states that we will work to “offer a positive vision of hope and opportunity that is rooted in our most basic values; work with our partners to isolate and discredit those who espouse ideologies of hate and oppression; and nurture common interests and values between Americans and peoples of different countries, cultures, and faiths across the world” (p. 49). It also states that we will “support community and grassroots efforts to promote the values of citizenship, democracy, integration, religious tolerance, and the protection of civil rights” (National Strategy 2007).

The 9/11 Commission recommended that “The U.S. government must define what the message is, what it stands for. We should offer an example of moral leadership in the world, committed to treat people humanely, abide by the rule of law, and be generous and caring to our neighbors” (2004). This guidance reinforces the potential value of an interdisciplinary ethical decision making process for homeland security.

Recent incidents and events indicate that ethics have been a relevant issue for homeland security personnel, and that a solid framework for ethical analysis and decision-making might benefit both the homeland security personnel and the public they serve, and may improve service delivery. These incidents include the response to

Hurricane Katrina and the impact of natural disasters on homeland security, the war on terrorism, and the ongoing discussion and debate about torture. Homeland security personnel are placed in the position of having to make decisions involving safety and freedom, state security and personal liberties, and do not have a consistent method to make these decisions more transparent, defensible, and replicable.

Homeland security is a large and diverse endeavor, yet still developing and ill defined. While some individual disciplines within the homeland security enterprise do have codes of ethics for their members, they do not serve as decision-making guides for the profession as a whole and provide little guidance to determine what the “right” course of action may be in the many complex situations homeland security personnel encounter.

In today’s complex homeland security environment, responding to disasters and fighting the war on terrorism, many organizations from different disciplines and geographic areas will find themselves working together and transcending traditional boundaries of all types. While some of them may have excellent ethics programs, this does little for those who do not. An overarching, national homeland security ethic would help tie these groups together, provide a common basis for understanding, and help clarify for all not only what we want to do, but how we should do it.

1. Too Little Ethical Decision-Making: the Response to Hurricane Katrina

Events during and following Hurricane Katrina in August of 2005 provide examples of unethical behavior by homeland security professionals and demonstrate what can happen in the absence of a good ethics training program, or if individuals do not consider the ethical implications and consequences of their actions. It appears that in many of these cases, people were just trying to get by in a state of chaos, without any real ethical consideration occurring.

The storm “stripped bare any pretense that there was any structure, any accountability, any policies in place, any of the skeleton that you would expect of an organization like a police department. It all vanished” (PBS 2011). Officers decided that “it’s up to us and we’re going to ‘do what we have to do’ and move on” (PBS 2011). It

appeared that “Money; big money; tax money are the rule and ethics and procurement law have been tossed aside” in the response to Katrina, by both citizens and responders (Select Bipartisan Committee 2005). But as Van Gigch (2008) notes, “No governance project is complete unless it includes a concern for the ethics of the proposed actions, and a concern for the way that recipients of the proposed actions will be treated.” Ethical-decision making resulting in ethical treatment of citizens is integral to the mission of homeland security.

Actions taken by leaders in government, including and especially during times of crisis, have a great effect on the citizenry. Jurkiewics (2007) notes that citizens learn what is ethical from observing governmental leaders, and they abide by that code of conduct. She suggests that this was especially true in Louisiana following Hurricane Katrina. If corruption is evident in the less powerful, the source can be traced to those at the top of the hierarchy (Jurkiewicz 2007). This is more support for ethics training for those in leadership positions, such as the DRIVE method.

Lapses in governance are ethical lapses. Van Gigch (2008) notes that, if a member of the community commits a crime, he is judged and punished. Similarly, a government official who is found to infringe the community’s code of ethics by not protecting the average citizen from harm is just as guilty of an offence against the public good and should be held accountable for this ethical infraction (Van Gigch 2008). The DRIVE method, and especially the Duty component, would specifically address this issue.

There are many examples of ethical problems from several disciplines in the homeland security effort in the response to Hurricane Katrina. Sworn testimony given to the Select Bipartisan Committee to Investigate the Preparation for and Response to Hurricane Katrina from the U.S. House of Representatives highlight several incidents. Some of the incidents refer to actions taken by the military: “People who asked for help were threatened with being shot,” and “we were dropped off at a site where we were fenced in, and penned in with military vehicles. The armed military personnel brought in dogs” (Select Bipartisan Committee 2005). Others testified that they “were subjected to conditions only comparable to a concentration camp” by our own military (Select Bipartisan Committee 2005). These actions by personnel acting in a homeland security

role do not reflect thorough ethical thought or a good ethical decision-making process. A comprehensive ethical guide such as DRIVE may help homeland security personnel in the way they treat those they are trying to serve.

Further testimony highlighted actions taken by others in the homeland security effort, such as law enforcement, fire, and emergency medical services: “Within days after Katrina struck, dead bodies, mostly black bodies, floated through the streets, as ambulances and helicopters rushed passed black and poor victims toward white and affluent communities, leaving predominantly black and poor people to fend for themselves” (Select Bipartisan Committee 2005). While it is difficult to know exactly what happened and what circumstances lead to this behavior, at least some citizens were concerned enough about behavior they witnessed by homeland security personnel to testify to congress about it. A good ethical training program and decision-making guide such as DRIVE could help homeland security responders to consider the appearance of their actions and to show respect for those they serve.

Other incidents highlight other disciplines in the homeland security effort, such as the health care and medical industries. There were several cases of unmet health-related needs (Van Gigch 2008). One took place when a hospital for disabled and elderly people was not evacuated on time in which several people died from drowning and others may have died for lack of timely care. The facility was a private institution that had to rely to outside services to evacuate the sick and the infirm (Van Gigch 2008). Ethical thought and training, both before a major incident like this and during the crisis may affect how homeland security personnel treat others and provide their service.

Across the country “outrage has grown and still grows as the criminal indifference and mistreatment by the U.S. Government, FEMA, the Red Cross, State Governments, Local Governments and others towards the survivors and victims of hurricane Katrina became and still becomes more and more apparent” (Select Bipartisan Committee 2005). This broad and sweeping statement given in testimony to congress includes almost everyone in the homeland security effort and accuses them of some pretty unethical behavior. This indicates that some focus and training on ethical thought and behavior

may be necessary not only to improve actions taken by homeland security providers, but also to address some of the perceptions and concerns raised by customers and citizens.

Mary Howell, a New Orleans lawyer who has been working on civil rights cases for more than 30 years, describes conditions and events following the storm in the Frontline documentary *Law and Disorder* on PBS (2011). She states that “In a gross sort of overview, we went into that storm with a deeply dysfunctional department, with leadership that was hanging in there by name only.” She describes a “massive desertion of hundreds of police officers that just left.” Howell states that “Things were really awful, and there was no leadership... There was no sense that anybody really cared about them.” During the storm, she describes, “police officers who were engaging in criminal activity during the storm of a relatively minor level, in terms of the shoplifting, and they’re contributing to the sense of lawlessness” (PBS 2011). Howell’s description of the condition of the New Orleans Police Department before and during the storm seem to indicate a connection between ethics, leadership, and how people will act in extraordinary circumstances with no proper guidance, training, or expectations. A good ethical decision-making program, such as DRIVE, may help to address some of these concerns and behaviors.

On May 5, 2010, New Orleans Mayor Mitchell J. Landrieu sent a letter to U.S. Attorney General Eric Holder asking for his “support and partnership in transforming the New Orleans Police Department,” stating that he:

Inherited a police force that has been described by many as one of the worst police departments in the country. This assessment is made based on several indicators including the number of violent crimes, incidents of rape, and malfeasance by members of the police department. The force itself has been dealt a demoralizing blow with investigations, indictments, and resignations stemming from incidents in the days following Hurricane Katrina ... an independent investigation is needed to determine NOPD leadership and systems is needed (sic.) to determine how to prevent, detect, and discipline misconduct as well as introduce best practices for public safety. (PBS 2011)

In August 2010, members of the Justice Department were sent to New Orleans to investigate the city's police department, identify corruption, and advise leaders on improving the department's relationship with citizens.

As of August 25, 2010 more than a dozen current and former officers had been indicted, and there are at least nine ongoing federal investigations of the New Orleans Police Department (NOPD), most of which involve actions taken by the police in the aftermath of Hurricane Katrina (PBS 2011). The American Civil Liberties Union (ACLU) has been inundated with reports of racial injustice and human rights violations that have taken place in Louisiana and Mississippi since the storm (ACLU 2007). These complaints have come from families, business owners, evacuees, and prisoners who have suffered abuse in the storm's aftermath. They report details of an increase in police abuse, racial profiling, housing discrimination, and other civil liberties violations. In their analysis of the effects of the response to Hurricane Katrina, the ACLU reports an incident that occurred at Danziger Bridge, New Orleans amid the chaos after Hurricane Katrina. In this incident, NOPD officers gunned down several New Orleans residents, killing two, including a mentally retarded man who was shot in the back (ACLU 2007). On August 5, 2011 a jury convicted all five NOPD officers accused in the Danziger Bridge shootings after a cover-up that lasted almost five years. Federal prosecutors won on virtually every point except the murder charges. The jury found that the officers violated the victims' civil rights, but that their actions did not constitute murder (Times-Picayune 2011). These incidents highlight the need for a good ethical decision-making program, one that would improve the relations between homeland security personnel and the citizens they serve, and likely improve service delivery. This program would provide practitioners a way to evaluate difficult ethical situations, including and especially in times of high stress and disorder.

In times of crisis, rules, guidelines, and laws become more important because they may be all that we have -- that and an individual moral compass (PBS 2011). Howell discusses how, "in times of crisis, your training's supposed to kick in. That's when this stuff is supposed to be so ingrained in you that that's your default position" (PBS 2011). An effective ethics program can help set that individual "moral compass" and the

“default position,” and give HLS personnel the ethics tools they need to provide the best service possible in the public’s interest, even in times of disorder and crisis.

These examples highlight ethical lapses from several disciplines within the homeland security effort during the response to Hurricane Katrina: public health, the military, EMS, and law enforcement. Some of these issues may be leadership and communications issues, and some may have to do with a system that was overwhelmed. Individuals and groups working independently in the chaos of the storm may have contributed to the fragmentation and lack of unity. It seems, however, that in the chaos of the storm and during these extraordinary circumstances, ethics did not seem to be a consideration in the actions of some doing the work of homeland security, and may have contributed to the overall disorder and sense of unfairness.

A good ethics training program, such as the DRIVE method, and an emphasis on the importance of ethical behavior may help in guiding the actions of HLS providers, including and especially in times of crisis, and improving the service delivered to our citizens. An established homeland security ethic could reinforce the notion that ethics are important and expected in the work of securing our homeland, could provide a common framework of understanding and communication for those in the homeland security effort, and could help reduce divisions and specialization in the response to a large incident, bringing everyone under the larger umbrella of homeland security, providing a better service to citizens who desperately need it.

2. Bad Ethical Decision-Making: Terrorism (or How Ethical Decision Making Can Go Wrong)

It is also possible that individuals and groups can actually think about ethics and make them a component in their decision-making process, yet still end up justifying and doing horribly unethical things. The case of terrorists and terrorism provides one example of how an ethical framework may be applied to a situation, yet results in unethical and despicable acts. This discussion is intended to illustrate not only how faulty or incomplete ethical decision making can be dangerous, but how it can be quite persuasive as well. It is relevant to homeland security personnel because it serves as a warning that just thinking

about ethics or using a particular code of ethics is no guarantee of good behavior. Unethical actions may be taken when the ends are seen to justify the means, and this thought process could apply to homeland security personnel as well as those they are trying to defend us from.

Terrorists display many of the characteristics and values articulated by classical utilitarian thinkers such as Jeremy Bentham and John Stuart Mill. By relating terrorist action and thought to these principles, terrorists may be understood as rational, perhaps even ethical as defined by utilitarianism, and not simply as “crazy.” Zimbardo (Bongar 2007) reports “terrorists are neither crazy nor irrational, even when their actions are evil. All of the recent accounts make it evident that terrorists do not fit any mentally pathological profile.” McCauley agrees, “a common suggestion is that there must be something wrong with terrorists. They must be crazy or suicidal or psychopathological. Only someone devoid of moral feelings could do the cold-blooded killing that a terrorist does, but thirty years of research has found little evidence that terrorists are suffering from psychopathology” (Bongar 2007). Something else, then, must account for how terrorists think and act. The theory of utilitarianism may provide an ethical framework of understanding for how terrorists think and how they justify their actions. This is also relevant because this way of thinking could possibly be used by homeland security practitioners to justify unethical actions.

Utility has strength and simplicity in its main premise, and some of its main weaknesses further aid in understanding terrorist thought and action. Bruce Hoffman states that

the terrorist is not pursuing purely egocentric goals ... the terrorist is fundamentally an altruist; he believes that he is serving a ‘good’ cause designed to achieve a greater good for a wider constituency- whether real or imagined – that the terrorist and his organization purport to represent. (Hoffman 2006)

This is the essence of utilitarianism. Moghaddam discusses the differences in morality between terrorists and non-terrorists:

Terrorists have a very strong sense of right and wrong integrated in their identity, but it is not our sense of right and wrong; and they are highly

committed to a morality that serves as the core of their identity, but it is not our morality. Indeed, it is because their morality is so integral to their identity, and serves as a solid foundation for their ideas about right and wrong, about who is with them and who is against them, that they are able to commit terrorist acts. (Moghaddam 2006)

This is one reason it is vital to clearly identify what “our” sense of right and wrong is as homeland security practitioners in the United States, and what the morality for the homeland security enterprise is. It is important that we understand this type of thought as homeland security practitioners so that we do not end up committing similar “bad” acts in the name of a “good” cause.

Terrorism is a complex phenomenon, and one ethical theory is likely not enough to explain all actions by all terrorists. There is an element of deontology to some terrorist acts, where individuals may simply be following the tenets or rules of a particular group or ideology. Some terrorist groups may perceive themselves to be freedom fighters and engaged in a war, committing actions necessary to win their struggle with the resources they have. Bobbit addresses this issue, comparing unethical acts by civilians outside the theater of war as terrorism, and similar acts committed during a war as war crimes. Either way, the acts are unethical and illegal. If terrorist acts are an unethical means to an end, this does not necessarily reflect on the end itself, but only on the means used to achieve it. Good and legitimate ends (religious faith, freedom) could be used to excuse unethical means such as terrorism.

Utilitarianism, in its most basic form, is an ethical theory that seeks to promote the “greatest good for the greatest number” (Bentham 1948). Two of utilitarianism’s main proponents and thinkers include Jeremy Bentham (1748–1832) and John Stuart Mill (1806–1876). Bentham (1776) is widely quoted, stating, “It is the greatest happiness to the greatest number of people which is the measure of right and wrong.” Bentham eventually came to refer to his principle as the “greatest happiness principle” (1948).

Mill (1987) continues this thought: “Actions are right in proportion as they tend to promote happiness, wrong as they tend to produce the reverse of happiness.” Happiness is defined as pleasure and the absence of pain; unhappiness as pain, and the deprivation of pleasure. Mill also constructed a hierarchy of utility, differentiating between higher

and lower forms of pleasure and pain. The principle of utility can be applied at any level. Bentham (1948) states that his principle applies to “every action whatsoever, and not only of every action of a private individual, but of every measure of government.”

Terrorists use this principle of utilitarianism, both at the individual and group levels, to measure right and wrong in pursuit of their version of “greater happiness.” Homeland security practitioners, at the individual, small unit, and organizational levels, could also use this type of utilitarian thinking to achieve a goal, complete a mission, or achieve an objective, no matter how worthy, by questionable means.

Utilitarianism is part of a school of philosophical and ethical thought called consequentialism, which proposes that good results are the most important moral factor (Zack 2009). Consequentialists believe that an action is right if it has the best consequences, or if it “maximizes.” This is consistent with Bentham and Mill’s concept of utility. Consequentialism reflects practical common sense intuitions; every sensible person wants “what’s best.” This is why “The Greatest Good for the Greatest Number” is readily and plausibly adopted as a principle of triage (Zack 2009).

Utilitarianism focuses on the goodness or badness of acts only as evidenced by their ends or outcomes. Any action then may be said to conform to the principle of utility “when the tendency it has to augment the happiness of the community is greater than any it has to diminish it” (Bentham 1948). Acts, then, are only “good” or “bad” when considered in context. Terrorists use this principle to justify horrific actions to “augment the happiness of the community.” Dr. Ayman al Zawahiri of Al Qaeda states that “it is the ultimate result that determines the fate of a movement: either extinction or growth” (Mansfield 2006), and therefore “there is no solution without jihad” (Mansfield). He is linking his ends (fate of the movement) with the chosen means (jihad). From the terrorists’ point of view, the ends justify the means; the ideal society that is the goal of Islamic *Jihadists* justifies anything and everything (Moghaddam 2006). “The morality that guides terrorists justifies using every means available in order to reach the desired goal. Captured Islamic terrorists report believing that when they die and reach the next world, they will be forgiven for killing civilians because ‘it was justified.’ From the terrorists’ point of view, their ends justify their means, both in this world and the next”

(Moghaddam 2006). While this way of thought could point to utilitarianism and using any means to achieve their stated ends, but could also relate to deontology and the following of their religious beliefs and tenets.

Utilitarianism and consequentialism both have weakness worth considering that have relevance to terrorism and to ethical decision-making for homeland security. First, if only ends are considered, any means used are justified, and the “rightness” or “wrongness” of the act itself is not considered. In both theory and real life, many people are uneasy with a moral system that would permit the harm or sacrifice of an innocent person “for the greater good” (Zack 2009). Homeland security practitioners should carefully consider these issues when making decisions in the public’s interest.

Another weakness of utilitarianism is that the rights and welfare of those not in the “greatest number” is not considered, and could therefore be violated in the most egregious ways imaginable. In fact, the “greatest number” does not in fact have to even exist. If a terrorist in the minority decides it is in the best interest of the majority (or everyone) to see things his way, than he will take action for his perception of the greater good for the rest of the greatest number; it is the ends of providing the “good” for the majority that matters. Minority rights are a real issue with utilitarianism, and are also an issue in terrorism. In accordance with consequentialism, it might be considered morally permissible to commit murder so that others might live or otherwise benefit. However, “what is morally permissible may be far from morally praiseworthy,” and not all will agree that murder is permissible in such situations. The conflict between actions in extreme cases and later reflection in normal times highlights the ways in which normal life supports a view that some specific kinds of action, such as murder, are always wrong (Zack 2009). This undercuts the premise of utilitarianism, that “any means necessary” is acceptable, and only ends matter. This is also why these issues should be discussed early and in advance of a crisis, and why an ethical decision-making program would benefit the homeland security enterprise.

Terrorists may be understood as rational actors making decisions under some ethical framework to further a cause for their perception of a greater good. McCauley (2010) states, “terrorism is not to be understood as pathology, and that terrorists emerge

out of a normal psychology of emotional commitment to cause and comrades.” Drake also notes, “terrorists acting rationally will choose to attack those which confer the greatest benefits upon their cause.” For example, Dr. Zawahiri calls for jihadists to “cause the greatest damage and inflict the maximum casualties on the opponent” in order to advance their cause (Mansfield 2006). Moghaddam reports, “From the terrorists’ point of view, terrorism is a rational problem solving strategy... They are not suicidal, and they do not see their lives as wasted when they blow themselves up as part of their larger military-political strategy (2006).

In the most general terms, McCauley (2010) states that terrorism is a “psychology of attachment to the good rather than a psychology of hatred for evil.” Dr. Zawahiri states, “The only solution is to confront the tyranny and enjoin good and forbid evil and perform Jihad in the Path of Allah” (Mansfield 2006). Of course, “good” and “evil” are what the terrorist defines for himself, what the group defines for him, and what they define for the rest of their society. “A morality supportive of terrorism ... sees the ends justifying the means, categorizes the world into ‘us’ versus ‘them,’ and condones all means by which ‘the enemy’ could be destroyed or weakened toward defeat” (Moghaddam 2006). The “greater good” terrorists aspire to varies greatly, but usually involves coercing the rest of society to comply with their particular ideology. An ethical program for homeland security would help make explicit the “good” that we are fighting for, and identify behaviors that we consider “evil.”

Terrorists frequently consider the needs of their group before their own, and are willing to take drastic measures to advance the group’s welfare and agenda. McCauley (2010) quotes Kinder recounting evidence that “political action, including protest and confrontation, is motivated more by identification with group interest than by self-interest.” Schwartz, Dunkel and Waterman (2010) continue the thought: “terrorists often attribute their actions to ‘selfless goals.’ That is, terrorists often engage in violence as a way of promoting the agenda or goals of the group to which they belong.” Individuals seek to protect and advance the goals of their groups to a greater extent than they seek to advance and protect their own personal goals. Terrorism, however, takes this to its extreme. Schwartz has characterized terrorism as a ‘maximally collectivist position’

(2010). Group identity can be a very positive attribute, such as in team building in the military and law enforcement, but can also be a destructive force if means and ends are not considered and evaluated.

Tucker (2010) notes, “individuals faced with grievances or problems choose terrorism deliberately as a means to achieve their political ends (redress grievances, solve the problems) and they will choose the least costly means to an end. It is the end, (political control, imposition of sharia, no more experimenting on animals) that is important, not the means.” Schwartz (2010) notes that one characteristic of cultural identity is “a belief in the moral or cultural superiority of the in-group despite ongoing persecution, justifying whatever efforts are taken to redress the perceived wrong.” The “ends justifies the means” rationales for terrorism are also consistent with utilitarian thinking. “‘Ends justify the means’ logic is used by terrorists, including suicide terrorists. Terrorists are trained to see their goal as supreme, as worth whatever sacrifice is necessary, including the killing of others and the ending of their own lives. Whatever it takes, the ends justify the means” (Moghaddam 2006).

Utilitarianism is not the only ethical system that has weakness relevant to ethical decision-making for homeland security. Deontology, or rules-based ethics, for example, is another ethical system that also has weakness. If one is to follow rules, orders, or principles blindly without evaluating context or outcomes, bad and unintended results can occur. This can apply to religious doctrine, military orders, or departmental policies.

Without training and education in ethics and ethical decision-making, pressures to perform the job can be overwhelming and a desire to do a good job can get muddled in murky ethical reasoning, resulting in unethical or bad behavior in spite of having the best intentions. A program in ethical decision making for homeland security personnel that incorporates several different schools of ethical thought and their weaknesses may help to identify and prevent problems in ethical thinking leading to unethical behavior.

So terrorists, as an example of utilitarian thought, have many lessons to teach about ethical decision-making for homeland security. These groups take several elements that could also apply to many in the homeland security field, and turn them into

something horrible and negative. These elements include the perception of serving a greater good, a great concern for outcomes, a concern only for the majority with little thought to the minority or individual liberties, commitment to cause and comrades, and ultimately an “ends justify the means” mentality. This discussion is intended not only to show possible weaknesses with utilitarianism, but also how ethical systems can lead to bad results, and how using only one thought process to justify actions can lead to unethical actions.

3. Good Ethical Decision-Making: The Discussion on Torture

The national discussion and debate on torture is a good example of how ethical principles and values have been incorporated into the evaluation and decision-making process. This is not to say that any specific position on torture is correct or not, this is a very complex and emotional subject, but rather an attempt to show how different ethical theories are applied to a case. This is, in fact, an area in which reasonable people can and do disagree, and demonstrates how different values and ethical systems affect decisions and positions. Part of this discussion has centered on a proposed “torture warrant” that could be obtained to interrogate terrorists in the case of a “ticking time bomb” scenario.

Some people and groups, such as Amnesty International, take a strong position against torture in any form for any reason. They represent values ethics thinking, as they value the qualities in people that respect other’s rights and treat others humanely (Amnesty International 2002). These groups also consider deontology, as they are for strict rules prohibiting torture. Those in favor of the torture warrants take a more utilitarian approach, but also with some deontological influence (Dershowitz 2002).

The utilitarian influence considers torture a useful means to a worthwhile end, and therefore justified. The warrant part of the debate, however, qualifies the utilitarian approach somewhat and suggests rules and procedures to be followed in order use these particular means. In order to obtain a warrant for torture, the means and ends would need to be justified and in proportion, and laws and procedures would need to be followed. This qualifies the “any means necessary” aspect of utilitarianism, and adds elements of rules-based ethics, or deontology. The debate on torture centers on three general

categories: public opinion (community values), the law and moral codes (deontology), and efficacy/reality (utility).

a. Background

The war on terrorism has given rise to debate over what constitutes torture, as opposed to harsh or even degrading treatment, and whether or not this is acceptable in the interrogation of prisoners (Lowenthal 2009). Several moral and ethical questions arise from the discussion about the appropriateness of torture: If there was reason to believe that a detainee had knowledge of an imminent terrorist attack, what limits should be imposed (if any) to obtain the information? Does the possibility of preventing the attack and saving many lives make a harsher interrogation permissible? How much transparency is desired into how terrorist suspects are treated? What effect does harsh treatment or torture have on the U.S. and the ethical purposes for which it says it is fighting terrorism? (Lowenthal 2009).

It has been suggested that, under certain circumstances, a “torture warrant” could be applied for by interrogators and granted by a federal judge in order to gain information from a prisoner detailing why, when and how torture is to be used in gaining critical information. The classic scenario, recently articulated by Alan Dershowitz (2002), is a “ticking time bomb,” in which a prisoner is known to have information about a hidden bomb that is set to go off in the near future, killing thousands of innocent people. An application for a torture warrant would have to be based on the absolute need to obtain immediate information in order to save lives, coupled with probable cause that the suspect had such information and is unwilling to reveal it (Dershowitz 2002). The warrant would limit the torture to “nonlethal means, such as sterile needles, being inserted beneath the nails to cause excruciating pain without endangering life” (Dershowitz 2002).

Interrogation of enemy prisoners is an important method of gaining information that can be developed into intelligence for use by policy makers. General Michael Hayden stated in 2007 that more than 70 percent of the intelligence used in the latest National Intelligence Estimate came from interrogated terrorists (Lowenthal 2009).

How this information is obtained and how prisoners are interrogated, however, is an important policy concern with implications for both our national security and national character.

Since 9/11, the ticking bomb argument has taken on new importance because Harvard law professor Alan Dershowitz has widely publicized it, because our leaders have repeatedly cited immanent nuclear, chemical, or biological threats as reasons for modifying constitutional and international rules (Scarry 2004), and because sources in the FBI have suggested that torture will be applied against prisoners or detainees who refuse to tell what they know about terrorists (Amnesty International 2002).

The case for legal torture must be addressed, though the arguments (both pro and con) fail to provide a complete understanding of the act of torture itself (Scarry 2004). The discussion, both pro and con, centers on the topics of values (virtue ethics), rules (deontology), and utility.

b. Values, Public Opinion and Community Standards

Both sides of the “torture warrant” issue cite public opinion in the American democracy as a reason for discussing torture as public policy. Dershowitz (2002) states “the vast majority of Americans would expect officers to engage in that time-tested technique for loosening tongues.” Amnesty International (2002) reports that in October 2001, 45 percent of Americans approved of torture being applied against prisoners or detainees who refuse to tell what they know about terrorists; and that today, because Dershowitz and others (Jonathan Alter in Newsweek, Bruce Hoffman in The Atlantic) have given the idea publicity and credibility, the number may be higher.

A 2004 study at the Program on International Policy Attitudes at the University of Maryland found that 66 percent of Americans said that the U.S. should abide by the international law that “governments should never use physical torture,” while 29 percent found that standard “too restrictive” (World Public Opinion 2004). Even if the U.S. believes that a detainee is withholding information that could prove critical to stopping a terrorist attack on the U.S., majorities rejected most forms of coercion (World Public Opinion 2004).

Globally, the act of torture is “in itself both universally condemned and inherently abhorrent” (Amnesty International 2002). The numbers in these surveys and statements appear to contradict, and it is difficult to determine what the American public actually thinks about torture. On one hand it appears that they want the government to do whatever it takes to protect them from terrorism; but it also appears that when torture is specifically mentioned people are less likely to endorse it. This discussion is interesting and relevant not because of what the public (whatever that means) actually thinks, but because both sides of the discussion try to place themselves on the side of community values and standards.

c. Utility, Efficacy, and Reality

Proponents of the torture warrant propose that torture is, and will be the reality and should be regulated. Alan Dershowitz (2002) states, “The real question is not whether torture would be used—it would—but whether it would be used outside of the law or within the law.” Every democracy, including our own, has employed torture outside of the law (Dershowitz 2002).

No democracy, other than Israel, has ever employed torture within the law. Israel never allowed the information elicited by “moderate physical pressure” to be used in courts of law as confessions, but it did use the information to prevent several terrorist attacks (Dershowitz 2002). The situation in the United States currently is quite different than the one in Israel, however. The scope and scale of the threat Israel faces from the Palestinians is very different than the one the U.S. faces against Al Qaeda and other terrorist organizations. The level of infiltration of the Palestinians into Israel and the distance with which the threat occurs makes the “ticking time bomb” scenario a real possibility there. This has never been the case in the U.S. There have been suggestions that this “might” be the case, only to find out that it is not. This scenario is more of a thought exercise in the U.S. at this point, rather than a reality as it is in Israel.

Former President William Clinton, in an interview on National Public Radio, stated:

If they [interrogators] really believe the time comes when the only way they can get a reliable piece of information is to beat it out of someone or put a drug in their body to talk it out of ‘em, then they can present it to the Foreign Intelligence Court, or some other court, just under the same circumstances we do with wiretaps. (Dershowitz 2006)

The torture-warrant policy has thus had support at the highest levels of government.

Opponents of the policy do not believe that “the ticking bomb” scenario is realistic or should serve as the basis of public policy. Just because something may have to be done someday that is wrong does not mean that the act has ceased to be “wrong” and “punishable” (Scarry 2004). Though the ticking bomb scenario has frequently been used to justify torture, there is not even one verifiable case from real life that mirrors its conditions. The policy assumes that interrogators and a judge, acting under the pressure of a ticking bomb, will be able to discriminate between acceptable and unacceptable cases (Scarry 2004). The torture warrant, and its ticking time bomb defense, may be a “solution” to a problem that really does not exist in the U.S. today. To write new law and policy legitimizing and excusing unethical actions based on this scenario would be premature, and could serve as a precedent to formalize other unethical acts in the name of utility or other imagined scenarios.

Amnesty International (2002) also highlights several issues with the torture warrant policy: Torture as a policy is questionable because it is so difficult to tell ahead of time who is a terrorist and who is not, who has the information and who does not, who will give the information accurately and who will deceive, who will respond to torture and who will endure it as a religious discipline. The fact is that many people suspected of being terrorists turn out not to be; that, historically, many of those subjected to torture are genuinely ignorant of the details the authorities seek; that the information protracted with torture is notoriously unreliable; and that torture almost always takes a long time to produce results. The ticking bomb scenario is a “fantasy of ‘moral’ torture,” too easily cited to justify any torture at all (Amnesty International 2002).

Bobbit (2009) suggests an approach based on utility, but also qualified with an acknowledgement of law and personal values. He recommends an absolute ban

on torture and coercive interrogation of any kind for political or evidentiary purposes, and for the purpose of collecting tactical information. He suggests that this ban will be violated in the “ticking bomb” circumstances, and that the prosecutions that must follow will allow juries to consider the mitigating question of whether a reasonable person, motivated by a sincere desire to protect others, would have violated the law. He recommends leniency in hindsight through the judicial system if the interrogation was necessary. An established ethical code or ethical system for homeland security personnel, such as the DRIVE method, would help practitioners articulate and justify, based on available information, why their actions became “necessary” and were not simply emotional reactions to a bad situation.

Bobbitt also suggests that “there cannot be a ban on the collection of strategic information-information from terrorist leaders and senior managers-by whatever means are absolutely necessary short of inflicting severe pain when that information is likely to preclude attacks, when it is un-confirmable by interrogators, and when a nongovernmental jury has decided the government has met its burden of proof in establishing these matters” (2009). Bobbitt is suggesting that the ends of strategic information from high-level terrorist leaders do justify some controversial means, if it has been properly evaluated by the legal system.

This discussion is relevant to ethical decision-making for homeland security because the utility and ends of the torture warrant as a means to gain information are used by both sides of the debate to strengthen their positions. Proponents suggest that torture is being used and will continue to be practiced as an effective means of getting information. Opponents do not feel these particular means are ever justified, no matter what ends are to be achieved.

d. Rules, Legal, and Moral Issues

Torture violates the United Nations Convention Against Torture (ratified by the U.S. in 1994), and the 8th and 14th Amendments of the U.S. Constitution. Under international law, torturers are considered “enemies of all humanity,” and all countries have jurisdiction to prosecute them regardless of where the torture took place. No country

has ever legalized torture except, arguably, Israel, until the Israeli Supreme Court struck down the provision for the use of “moderate physical pressure;” and the Israeli government maintained that such pressure was not the equivalent of torture (Amnesty International 2002). Almost three-fourths of the world’s countries practice torture, but not to find ticking bombs; it is used “to punish political opponents, to intimidate their allies, or to cow a citizenry” (Amnesty International 2002).

As former President Clinton stated, “If you go around passing laws that legitimize a violation of the Geneva Convention and institutionalize what happened at Abu Ghraib or Guantanamo, we’re gonna (sic) be in real trouble” (Dershowitz 2006). To institutionalize and sanction criminal acts because they are common or appear to provide a shortcut to admirable ends is “an invitation to chaos” (Amnesty International 2002). An accurate understanding of torture cannot be arrived at through the ticking bomb argument, which “opportunistically provides a flexible legal shield whose outcome is a systematic defense of torture” (Scarry 2004). Institutionalizing and utilizing torture or other unethical acts as the rule of law could easily lead to them becoming the norm, rather than the exception.

Becoming the first country in the world to legalize torture would not ultimately make the U.S. safer, the best rationale for its use. There may be further consequences when the incident is over, such as retaliatory strikes, increased terrorism, or torture used against our own personnel. Torture is a “sure-fire way to manufacture an embittered opponent of the United States where there was none before” (Amnesty International 2002). Officially authorized torture would diminish the credibility of a struggle against terrorism that is being fought in the name of defending American values and the rule of law.

As the 9/11 Commission rightly concluded, “The U.S. government must define what the message is, what it stands for. We should offer an example of moral leadership in the world, committed to treat people humanely, abide by the rule of law, and be generous and caring to our neighbors” (9/11 Commission 2004). This includes condemning the use of torture under any circumstances. The best way to preserve the future from our enemies is to “reaffirm each day the blanket prohibition on torture, and to

work with newspapers, human rights groups, and investigative bodies to document and hold those who torture accountable for their acts” (Scarry 2004).

This discussion is relevant to ethical decision-making for homeland security because it highlights some of the ethical issues and thought processes that are required in these difficult and controversial subjects. This is a good discussion not because of what conclusions are reached, but because of the careful inclusion of ethical thought and consideration in the process. Both sides of the debate include moral philosophy in their argument. Issues considered include public opinion and expectations (values), legal and moral rules (deontology), and efficacy or the reality of the situation (utilitarianism). A good ethics training program and system of ethical thought, such as the DRIVE method, could help practitioners see the value of good ethical reasoning and action, and to look for the pitfalls of bad ethical reasoning, and to better understand the importance of long-term success over short-term gains.

C. RELEVANT ETHICS PROGRAMS

1. The Value of Ethics Training

A uniform process of ethical decision-making, with accompanying training, would emphasize the importance of good ethical decision-making for homeland security practitioners and provide them a mechanism to evaluate ethical problems. In the article *Corporate Ethical Codes: Effective Instruments for Influencing Behavior*, Stevens (2008) reports that the “corpus of ethical code research has yielded sufficient data that shows codes are effective. Researchers should no longer debate the general question of code effectiveness.” This strongly suggests that a code of ethics for homeland security could be effective at helping homeland security practitioners make more ethical decisions.

In her research on the effectiveness of corporate codes, Stevens reviewed several studies of corporate ethical codes published between 2000 and 2008 (Stevens 2008). She concludes that codes can be effective instruments for shaping ethical behavior and guiding employee decision making, but that culture, support from leadership, and effective communications are also part of a code’s success (2008). Stevens acknowledges

that ethical code research has “surrendered mixed results,” (2008), but she focuses on the conditions or parameters in which codes have been most effective.

Stevens (2008) states that ethical codes differ from mission statements in that they articulate the value system and answer the question, “within what ethical standards and values should the mission be pursued?” Codes are instruments to enhance social responsibility and clarify the norms and values the organization seeks to uphold (Stevens 2008). The DRIVE device and an associated training program would help identify what values and ethical standards should be pursued in the homeland security mission. The DRIVE method is founded on common values from within the homeland security enterprise, and on established classical ethical thought. By combining classic ethical thought and values relevant to the profession, practitioners can help answer the question “within what ethical standards and values should the mission be pursued?” (Stevens 2008). If an ethical decision-making program, such as the DRIVE method, is communicated clearly, supported by leadership, and becomes part of the culture, it can be an effective instrument for ethical decision-making as Stevens suggests (2008).

Adams, Tashchian and Shore (2001) studied the effects of codes of ethics on perceptions of ethical behavior. They determined that “the existence of a corporate code of ethics has a significant influence on the perceptions employees have about ethics in their organization” (Adams 2001). Over time, 465 companies with codes of ethics and 301 companies without codes were studied. Companies with codes of ethics were rated as more ethical, and employees felt more encouraged and supported for ethical behavior than respondents from companies without codes (2001). Adams found that several key aspects of the organizational climate, such as supportiveness for ethical behavior, freedom to act ethically, and satisfaction with the outcome of ethical problems, were positively impacted by the presence of an ethics code. The simple presence of a code of ethics appears to have a positive impact on perceptions of ethical behavior in organizations, even when respondents cannot recall specific content of the code (Adams 2001). To put it another way, the absence of a code of ethics for homeland security may then be negatively impacting perceptions of ethical behavior in the effort.

Adams also suggests that it is possible that codes of ethics in public institutions could increase public confidence in their functioning (Adams 2001). This is in addition to the employees' perceptions of ethical behavior. It is likely, then, that an established code of ethics specific to the homeland security enterprise will similarly benefit the enterprise and increase public confidence in the effort.

Paul Robinson studied ethics training and development in the military (2007). He suggests that through ethical training programs, "one can hope to tackle ethical issues before, not after, the next [ethical] disaster" (Robinson 2007). Robinson suggests that ethics training needs to be integrated into military training from a very early stage as a fundamental part of the process of developing professional soldiers, and that ethics needs to be integrated into military exercises and pre-deployment training for operations so that it becomes a part of regular military life (Robinson 2007). While specific content and who is ultimately responsible for providing ethics training remains debatable, Robinson concludes, "some form of formal training appears to be desirable" (Robinson 2007).

Robinson's research focused specifically on ethics training and the military, and not necessarily the wider homeland security effort. His conclusions that formal ethics training should be integrated into training early and incorporated into operations regularly seem applicable to the wider homeland security picture, but are an opportunity for further research. Many of the qualities he presents relevant to the military have applicability to the greater homeland security effort. Lieutenant General Peter Chiarelli, then commander of the Multinational Corps in Iraq, said that ethics training for the military should focus on "professional military values and the importance of disciplined, professional conduct in combat" (Robinson 2007). Ethics training for homeland security should necessarily focus on professional values related to homeland security and the importance of disciplined, professional conduct in providing for the security of the nation. The components of the DRIVE method provide both the foundation of professional values within the homeland security community, and support for the importance of disciplined, professional conduct.

Robinson (2007) notes that "the armed forces of the world are under increasing public scrutiny, and if their members behave in a fashion which the public deems morally

reprehensible it may destroy public support for their mission.” Although homeland security is a newer and possibly more diverse profession than the military, homeland security practitioners are also under increasing public scrutiny and morally reprehensible behavior could have a similar detrimental effect of public support for the mission. As Robinson notes, “We live in the era of the ‘strategic corporal.’ Immoral behavior by even the lowest ranking soldier can have a strategic effect, as witnessed by the impact of the images of Private Lynndie England, a ‘strategic private,’ at Abu Ghraib prison in Iraq” (2007). Morally reprehensible behavior by a “strategic private” in the homeland security effort could have a similar strategic negative effect on the larger enterprise.

An established code of ethics with accompanying training and leadership support may therefore help ethical perception and ethical decision-making in the homeland security effort. After synthesizing the existing research from ethics code scholars, Stevens (2008) suggests the following five-step plan to use codes of ethics as strategic organizational documents:

1. Engage in a collaborative process to create the code and incorporate revisions.
2. Discuss the topics in the code frequently with everyone, and debate the organization’s trouble spots.
3. Use the code to resolve ethical issues.
4. Communicate ethical decisions to all members of the organization by explaining the rationale and how the code was used to arrive at the decision.
5. Reward people who behave consistently with the code.

The DRIVE device and an associated training program would give organizations and managers a starting place for an ethics code, and an opportunity to incorporate revisions as necessary. It would give practitioners a format to talk about ethics in the workplace, and a system to resolve ethical issues. DRIVE would provide a common foundation to start ethical discussions and communications, providing an established ethical framework to work from. With the institution of the DRIVE device, the leaders need to be both cognitive of and vocal about the reality of iterating on the process. The DRIVE device in essence becomes a starting point—albeit a very good one—for beginning the process of articulating and instilling the appropriate ethical code in the homeland security project.

A body of research is now in place demonstrating that if codes are imbedded in organizational cultures and communicated effectively they can shape ethical behavior and guide employees in ethical decision-making (Stevens 2008). The DRIVE system provides an opportunity to imbed ethical training into the organizational culture of homeland security, and assist homeland security personnel with ethical decision-making.

A successful ethics program could contain several important components. Bernier (1996) recommends four key components for an ethics program. She also states that these are the four key components of the Canadian Defense Ethics Program. They include:

- Ethics Awareness
- Ethics Education Development and Enhancement of Core Values
- Ethics Advice in the Workplace (Bernier 1996)

The Federal Emergency Management Agency Higher Education Project course at the Emergency Management Institute suggests twelve key components necessary to develop, implement, and manage an industry wide comprehensive ethics program (Emergency Management Institute 2003). These components include:

1. Vision statement
2. Values statement
3. Code of ethics
4. Designated Ethics official
5. Ethics task force or committee
6. Ethics communication strategy
7. Ethics help line
8. Comprehensive system to monitor and track ethics data
9. Periodic evaluation of ethics efforts and data
10. Ethics training
11. Ethical behavior-rewards and sanctions
12. Focus on ethical leadership

The twelve components recommended by the EMI support the four basic components of an ethics program recommended by Bernier, although in more specificity and detail (Emergency Management Institute 2003). The several components of the EMI program can be combined with Bernier's recommendations and the structure of the Canadian Defense Ethics program to build a cohesive ethics program for homeland security.

Bernier's Ethics Awareness category incorporates the industry's vision statement, values statement, and code of ethics components from the EMI (2003). These simple components can help personnel remember and be aware that ethics are important in the work they do. These basic components can be posted or printed as general reminders and awareness of the importance of ethics in homeland security. Ethics ultimately rests with the individual, and ethics must be reflected in every day behavior and actions (Bernier 1996). Ethics Awareness is therefore a major component of a well-structured ethics program. Information and awareness raising tools assist individual managers in communicating shared values and fostering ethical decision-making (Bernier 1996).

The Ethics Education component (Bernier 1996) incorporates ethics training, an ethics communication strategy, a comprehensive system to monitor and track ethics data, and periodic evaluation of ethics efforts and data (Emergency Management Institute 2003). Ethics data should be collected, evaluated, and incorporated into training and education programs to guide further instruction and assess effectiveness of the program. Specific courses and their content are opportunities for future research. The complete training package should be flexible and adaptable to virtually any target audience and the time available. It should combine discussions, slides, videos and case studies to facilitate the learning and the practice of the basic components of the ethical decision-making process. Senior leadership should be involved to demonstrate the need for management to be seen and perceived as committed to the practice of strong ethical principles and values (Bernier 1996).

The Development and Enhancement of Core Values component (Bernier 1996) includes the focus on ethical leadership, and rewards for ethical behavior and sanctions for unethical behavior from the Emergency Management Institute (2003). This supports Steven's (2008) research that ethical behavior should be recognized and rewarded. Bernier (1996) suggests that core values should be drafted around the concept of a value system, values ordered in terms of precedence, as that which is the most influential in ethical decision making situations. That is the basic structure of the DRIVE system.

Bernier's Advice for the Workplace component (2006) incorporates resources suggested by the EMI, such as a designated ethics official, an ethics task force or

committee, and an ethics help line (Emergency Management Institute 2003). These components would give personnel an actual person to talk to about real ethical dilemmas, rather than simply having to refer to a chart on a wall or a handout from a class. Ethics Advice in the Workplace responds to the need for an internal information and guidance mechanism that employees at all levels can turn to when they seek additional knowledge and understanding for making decisions, or more focused advice in the face of ethical dilemmas and in doing the right thing (Bernier 1996).

The previous section has shown that codes of ethics and ethics training can improve the ethical climate in organizations and can improve ethical decision-making; and discussed components that an effective ethics program should include. These components are also incorporated into the DRIVE method. The following sections introduce examples of ethical programs that exist in homeland security related fields.

2. The Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program

Good ethics training for homeland security related industries do exist (Defense Ethics Programme 2011; Wildland Fire Leadership Development Group 2011), and could serve as models or templates for an ethical decision making program for the U.S. homeland security enterprise (Appendix C, D, and E). These programs focus both on individual leaders and overall organizational climate, and have formal and informal training components, supporting literature and documentation, and offices and programs for support.

The Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program are two ethics programs that contain many of the components listed above (Bernier 2006; EMI 2003), and would serve as good models for an ethics program for homeland security.

D. THE CANADIAN DEFENSE ETHICS PROGRAM

The Canadian Defense Ethics Program (DEP) (or the Defence Ethics Programme in Canada), is a comprehensive values-based ethics program put in place to meet the needs of the Department of National Defence (DND) and the Canadian Forces (CF), at

both the individual and the organizational levels (Defense Ethics Program 2011). The focus of the Defense Ethics Program is to foster the practice of ethics in the workplace and in operations such that members of the Canadian Forces and employees of the Department of National Defense will consistently perform their duties to the highest ethical standards. The mission is to guide Department of National Defense and Canadian Forces personnel in choosing conduct that is consistently ethical (Defense Ethics Program 2011).

The function and purpose of the Defense Ethics Program is multi-dimensional. First, it provides an ethical framework for the Canadian Forces and the Department of National Defense to use as a guide while carrying out their responsibilities, and puts forward criteria by which the organization may be assessed. Second, it promotes individual awareness of the importance of what is ethical. Third, it commits itself to the improvement of individual decision-making abilities concerning the ethics of any issue that affects the defense of the nation. Finally, it integrates into a programmed approach the many processes that are needed to implement ethics in a complex organization (Beauchamp 2002).

1. Overview and Foundation

The Defense Integrity Framework identifies seven ethical processes that must be fully integrated within an ethics program to make it comprehensive and effective:

- Leadership
- Expectations
- Dialogue
- Ethical risks
- Training
- Improvement
- Decision Making (Defense Ethics Program 2011).

Figure 1 highlights the seven ethical processes contained within the overall framework. The diagram helps to illustrate the comprehensiveness of the program, and also the relationship of the organization to the individual and the ethics program for ethical decision making.



Figure 1. Canadian Defense Integrity Framework (From Defense Ethics Program 2011)

The Defense Ethics Program is to be used as a tool or a guide, while recognizing that “there is no single and universally accepted rule, or set of rules, that is guaranteed to produce *the* ethical solution for the major ethical issues that we encounter in the workplace” (Beauchamp 2002). The program is to be used as a general check on whether a particular decision, option, or course of action is ethically acceptable by determining if it violates any of the general principles or ethical obligations in the Statement of Defense Ethics (Beauchamp 2002). By consciously asking and answering questions about the ethics of a particular decision, the action will have had the benefit of some form of ethical “screening,” and been determined to be ethical at some level and through some established process.

2. Canadian Defense Ethics Program Ethical Principles and Obligations

The Canadian Defense Ethics Program contains both ethical principles and obligations to be considered when making decisions. These principles and obligations are outlined in the *Statement of Defense Ethics*, and clearly state the values and goals that are important to the department that members should consider during ethical dilemmas. Members of the Department of National Defense must first ensure that decisions do not violate the three Defense Ethics Program's hierarchical ethical principles. Members must also consider the six ethical obligations as guides when making ethical decisions. If the obligations come into conflict in a competing obligations dilemma, then the three hierarchical ethical principles are to be used as aids for prioritizing the competing obligations (Woodgate 2004). The DEP also outlines general decision-making steps to follow when confronted with ethical dilemmas. The steps that should be followed when confronting any general dilemma are: perception, evaluation, decision, and implementation (Woodgate 2004).

The three general principles contained within the Statement of Defense Ethics are: 1) respect the dignity of all persons; 2) serve Canada before self; and 3) obey and support lawful authority (Defense Ethics Program 2011). These three ethical principles refer to universal ethical obligations owed, in order of priority, to humanity, to society, and to lawful authority. Personnel should appeal to these ethical principles, in their order of precedence, whenever they are involved in decision-making concerning the right thing to do. All actions should pass the test of these three hierarchical-ethical principles.

The Statement of Defense Ethics also contains six core defense ethical obligations: Integrity, Loyalty, Courage, Honesty, Fairness and Responsibility. There is no hierarchy established among these six ethical obligations. They all have equal weight and each must be respected. Difficulties encountered in applying these obligations should be resolved by appealing to the three ethical principles (Defense Ethics Program 2011). These obligations embody fundamental values that run through the military as a profession, the public service, and democratic society around which other related ethical obligations naturally cluster (Beauchamp 2002).

3. Decision-Making Tools

Decision-making tools in the Canadian Defense Ethics Program include the Leader's Ethics Self-Awareness Tool and the Canadian Defense Ethics Pocket Card. These tools help serve as a reminder of the program itself, and of processes recommended to address ethical dilemmas.

The Leader's Ethics Self-Awareness Tool (LESAT) is a self-assessment tool for the personal use of individual leaders. It is a series of questions to give a sense of how ethics are perceived in individual leadership and in a unit. The questions help assess ethics at the individual level, internal leadership level, individual leader level, and external leadership levels. The objective is not to express how things should be in a unit, but rather how they are perceived to be. The answers are meant to assist in increasing awareness of how ethics are practiced in individual environments, to focus attention on ethical issues at all levels, and to provide a basis for promoting ethics in individual units and to guide training and opportunities for improvement (Defense Ethics Program 2011). The Leader's Self Awareness Tool is to be used individually, as needed, in order to stimulate reflection on ethics and to provide guidance for discussion and intervention.

The Canadian Defense Ethics Pocket Card was developed by the Defense Ethics Program as a tool to assist Canadian Forces members and Department of National Defense employees in making ethical decisions. The card is contained in Appendix E. It is a laminated, pocket-sized card that leaders can carry to remind them about the basics of the program and to think about ethics in their leadership. It contains the following information: Ethical Principles and Obligations, How Do You Decide What to Do? How to Deal With an Ethical Dilemma? How Can We All Improve Ethical Behavior? and How Do Leaders Foster an Ethical Environment? The card can be carried by leaders in their uniforms at all times, and can serve as a reminder of ethical principles and processes and as a reference and guide when dilemmas arise.

4. Potential Indicators of Impact and Effect

Part of the Defense Ethics Program includes periodic surveys about ethics given to both military and civilian personnel in the Canadian Forces and the Department of

National Defense. Although it is very difficult to definitively show that ethics have improved because of this program, it has been demonstrated through these surveys that both military and civilian personnel have perceived an improvement in their organizational ethical climate since the implementation of the Defense Ethics Program. Personnel also expressed greater ethical expectations for their organizations in 2003 than they did in 1999 (Defense Ethics Survey 2003).

The surveys of the Canadian Defense Ethics Program showed that the program did in fact impact and improve the perception of the organizational climate in the Canadian Forces and Department of National Defense. Results suggest that the Defense Ethics Program is working in establishing both behaviors and expectations about behavior with respect to courage, integrity, loyalty, honesty, fairness, and accountability (DEP 2000). The results from this study strongly suggest that the Defense Ethics Program has made a good start at instilling positive values and characteristics in Department of National Defense/Canadian Forces personnel. The best evidence for this is the high expectations that personnel have with respect to the levels that these values should have throughout Department of National Defense /Canadian Forces (DEP 2000).

The following graph shows improvement in five of six indicators measured for the ethical climate in the Canadian Forces after implementation of the Defense Ethics Program between 2003 and 2007.

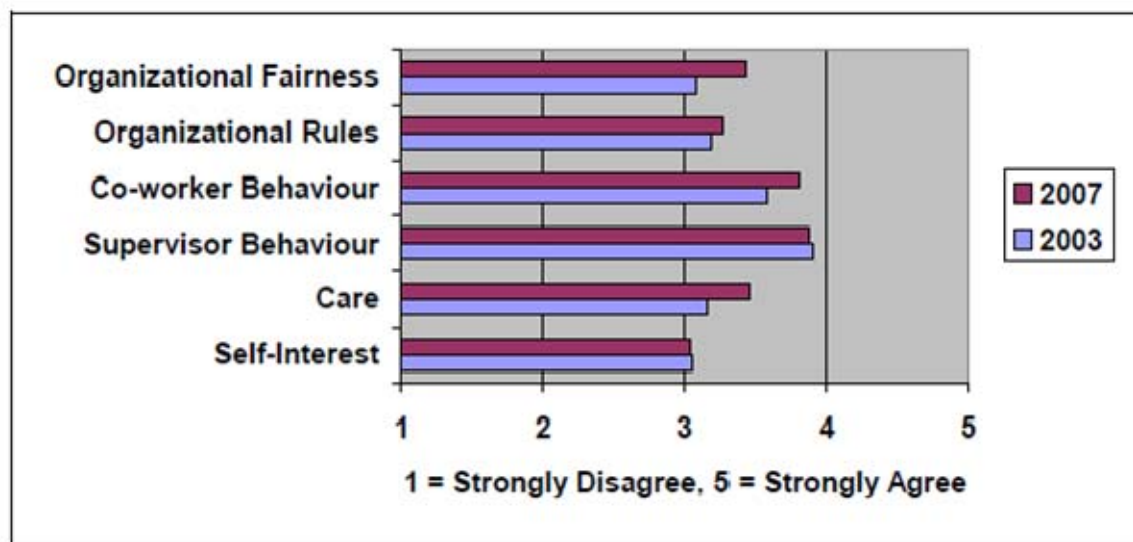


Figure 2. Ethical Climate Scales by Survey Year, Canadian Forces Respondents (From Defense Ethics Survey 2007)

As noted in Figure 2, the decrease in self-interest is a favorable indication. The significant negative change noted in this graph is the slight decrease in perception of supervisor behavior. The 2007 Defense Ethics Survey also concluded “we have observed a generally positive trend in how members/employees have reported the ethical climate of the organization over the various iterations of the survey.” It is difficult to say that ethics have in fact improved, and if so that they have improved because of this program. Survey results do indicate, however, that perceptions of the ethical climate have improved since the implementation of the ethics program (Defense Ethics Survey 2007).

Survey results give focus and direction for a program dealing with improving the ethical climate of the workplace. The findings of the 2003 Defense Ethics Survey are encouraging since many of the factors identified as critical in the ethical decision-making of Canadian Forces and Department of National Defense personnel are factors over which the organizations can have an influence (Defense Ethics Survey 2003). These factors include Organizational Fairness, Organizational Rules, Supervisor Behavior, and Care (Defense Ethics Survey 2007). The challenge remains to close the gap between what members perceive to be the current state and what they believe should be the case. It is important for leaders and managers to ensure that the issues raised by the survey are addressed, and that concrete courses of action are developed to deal with them.

Woodgate (2004) analyzed the Canadian Defense Ethics Program and identified some positive attributes to the program, as well as some deficiencies to be addressed. He concluded that adopting a values-based ethics program for the Department of National Defense and the Canadian Forces was an “intelligent and innovative approach to the unique challenges facing Canadian defense” (2004). He also concluded that the program “is creating a positive ethics climate within the Department of National Defense and the Canadian Forces,” and that “It has helped members of the Canadian defense establishment deal with both the ethical challenges stemming from the post-cold war

operating environment and the public demand for better government accountability” (Woodgate 2004).

Woodgate also identified weakness in the program that could be potential areas for future research. One area of concern was establishing an ethics program for both civilian and military personnel of the Department of National Defense. The professional differences that exist between federal civil servants and the military made the adoption of an umbrella ethics program problematic (Woodgate 2004). This weakness has potential to be problematic for an enterprise-wide ethical decision-making program for U.S. homeland security as well. The homeland security effort contains uniformed and sworn personnel, as well as civilian and non-governmental resources. It could prove challenging to design an umbrella program applicable to all. This is an area for potential future research.

The evidence from Woodgate’s research also indicates that the Defense Ethics Program’s ethical decision-making guidance is another area of the program that can be improved upon (Woodgate 2004). He believes that the Defense Ethics Program ethical decision-making steps and pocket card are too general to be applied effectively without considering other department source documents (2004). This indicates that the pocket cards and tools may serve as reminders of the steps of ethical decision-making and of the values of an organization, but education and foundational knowledge is necessary to complement the tools designed for field use.

Thomson (2006) also surveyed ethical decision-making in the Canadian Forces, and arrived at a similar conclusion. His results suggest that moral and ethical decision-making cannot be understood as “simply a unidirectional, rational process” (2006). It is a broad and complex process involving intuition, emotion and self-identity. Ethical decision making must be viewed as a process that expands beyond the moment of choice and understood and interpreted through the multiple lenses of the individual, society and its normative institutions (Thomson 2006). This again indicates that ethical decision-making likely cannot be reduced to a simple statement or phrase, but that additional education and reflection is beneficial.

Another possible concern with the Defense Ethics Program is that guidance is not focused on making military operational decisions, but rather is designed to facilitate the full spectrum of ethical decisions facing all members of the Canadian defense team, both civilian and military (Woodgate 2004). This is, however, consistent with the intent for the Defense Ethics Program to be an umbrella program, rather than a specific professional military ethics program (Woodgate 2004). There is still opportunity for the military or other groups to develop ethical decision-making programs more specific to their disciplines in addition to the umbrella program. This would also be true for an overarching ethics program in homeland security for the U.S. Individual disciplines within the effort do and could still have more specific programs for their personnel.

Woodgate also found problems applying the program to military operational situations. He found that the program guidance “proved to be easy to apply to the nonoperational case study used in the research, but proved to be quite complicated when applied to the two operational case studies” (2004). The problems arose from the requirement to attempt to find nonviolent solutions, and complicated the application of program guidance in operational case studies. The results of the research indicate that the guidance to find nonviolent solutions for operational dilemmas is not practical for military applications (Woodgate 2004). These conclusions again highlight the fact that the program is not necessarily designed to be a military, operational or tactical decision-making tool, but rather more general ethical guidance. The same would hold true for an ethical decision-making model for homeland security in the U.S. Such a program would not be designed for or be very useful for tactical decision-making for the military or law enforcement. Woodgate concludes that based on the evidence from his research, the Defense Ethics Program is effective guidance for ethical decision making, but could be improved upon through the development of a model that better addresses the use of force (Woodgate 2004).

There are sufficient similarities in the ways that Canada and the U.S. operate that a similar program could be helpful to the homeland security effort with some modifications to make it more relevant to the U.S. and to homeland security. The United States and Canada are closely connected, physically, politically, and economically. The

two countries share the World's longest unfortified border, with ninety percent of Canada's population residing in the south of the country within 160 km. of the U.S. (CIA 2011). In regards to the Defense Ethics Training Program, there are no major differences between the two countries that would make such a program ineffective or inappropriate for the U.S.. The biggest challenge for the program would not be adapting it from Canadian culture to the culture in the U.S., but adapting from a military program to a more general homeland security one. While some specifics of the program may need to be modified or re-emphasized (such as specific values, questions for leaders, principles, obligations) the overall concept and framework of the program could be applied to homeland security in the U.S.

Ethical decision making for homeland security in the United States is unique, because our government and organizations that provide services in the homeland security effort are based on our Constitutional principles. Ethical decisions for HLS in the U.S. must carefully weigh established rules, laws, and policies of individual agencies and groups; individual liberties and dignity in accordance with democratic principles; personal beliefs and standards; and the overall situation and the ultimate effects of a decision. Decisions and actions that may be acceptable in other parts of the world, with different laws and social norms, may be inappropriate for the HLS enterprise in the United States. Action taken in the interest of the United States and its citizens should be consistent with established standards here.

The DRIVE device is a method to keep ethical decision-making relevant and useful for homeland security personnel in the U.S. It considers values common throughout the homeland security enterprise here as established by a survey of department values statements (Appendix A and B), and also considers the specific context and potential outcomes of a decision.

E. THE WILDLAND FIRE LEADERSHIP DEVELOPMENT PROGRAM

The Wildland Fire Leadership Development Program is a multi-discipline effort sponsored by the participating agencies of the National Wildfire Coordinating Group. Components of the program were developed by adapting best practices from a number of

organizations, including the U.S. Marine Corps University, the Wharton Center for Leadership and Change Management at the University of Pennsylvania, the U.S. Air Force Human Factors Research Lab, the U.S. Army Training and Doctrine Command, the NASA Astronaut Development Center, the National Fire Academy, and various commercial aviation Crew Resource Management programs (WFLDP 2011). This is relevant to a homeland-security-wide ethics program because homeland security is also a multi-discipline effort, much like the variety of participating agencies that developed this program. The contributing organizations all have roles within the homeland security enterprise. The program was developed specifically to identify applicable best practices and commonalities among them. Similarly, taking commonalities from many organizations from around the homeland security enterprise and adapting them to the greater homeland security effort developed the DRIVE method of ethical decision-making.

The structure of the program closely mirrors the components suggested by Bernier (1996) for an ethics program and the basic structure of the Canadian Defense Ethics program. The program is built on three distinct components: wildland fire values and principles, self-development, and formal training.

1. Ethics Awareness

The values of duty, respect, and integrity (and their 11 supporting principles) are the foundation of wildland fire leadership and the foundation of the program (WFLDP 2011). The core values and their supporting principles are included in Appendix E. This value set “supports principle-centered leadership actions in a high-risk work environment” according to the WFLDP (2011). While not all actions in the homeland security effort are “high risk,” some certainly are, and all could likely benefit from principle-centered leadership.

Part of the awareness component includes an introduction to and explanation of the principles, and encouragement to use these principles when making decisions in the course of one’s duties (Nelson 2012).

2. Ethics Education

Formal instruction in the Wildland Leadership Development Program includes a curriculum with six levels of leadership skills training - from the least complex (follower) to the most complex (organizational leader) levels. Courses include: Human Factors, Followership to Leadership, Fireline Leadership, Incident Leadership, Organizational Leadership, and Leadership in Action (WFLDP 2011).

These are generally two or three day courses that teach many aspects of leadership in the wildland fire environment. These courses include instruction, small group exercises, and practical exercises. While these are leadership classes designed for the wildland fire service and not strictly ethics courses; ethics and ethical decision-making are important components and are stressed at every level.

3. Development and Enhancement of Core Values

The self-development component of the Wildland Leadership Development Program includes a self-directed continuous learning section and a professional reading program. It also includes guides for experiential training techniques such as After Action Reviews and tactical decision games (WFLDP 2011). As additional support, the Leader's Toolbox includes lesson plans and resources for leaders to teach classes or for self-study on the core values and principles (WFLDP 2011).

4. Ethics Advice in the Workplace

The Leadership Committee provides guidance and steers the curriculum (WFLDP 2011). Courses are brought to individual agencies to train them on the core values and principles in their workplace. There are also the online resources to provide guidance for ethical decision-making. The program does not include personnel or resources to answer questions or provide guidance in specific circumstances, however.

The Wildland Fire Leadership Development Program is a leadership program developed for one specific area of the homeland security enterprise that has a focus on values and ethics for leadership and decision-making. Several principles and the structure

of the program could be adapted to be applicable to the wider homeland security effort for ethical decision-making, using the DRIVE device as a foundation.

5. Potential Indicators of Impact and Effect

Between 2000 and 2004, approximately 7,000 people completed the Fireline Leadership (L-380) training program, and the course provides a foundational element of the overall National Wildfire Coordinating Group (NWCG) leadership-training curriculum. Consequently, L-380 represents training of strategic importance to the NWCG and its member agencies (Guidance Group Inc. 2004).

In its report entitled “An Evaluation of the L-380 Fireline Leadership Training: A Report Prepared for the NWCG Leadership Committee Under Contract to the USDI Bureau of Land Management,” (2007) Guidance Group, Inc. studied the effectiveness and outcomes of the L-380 program. The evaluation strategy employed used self-report data as a source of feedback on the training. The evaluation method evaluated the training at the behavior level through a retrospective pretest and posttest administered to both trainees and supervisors. Previous testing showed that behavior could be effectively measured with reasonable confidence using these self-reporting instruments. Specifically, this evaluation effort solicited information from 800 people (400 training participants and 400 supervisors of training participants), using a web-based application. Ultimately, the contractor obtained 351 useable surveys (210 supervisors and 141 participants), providing the database from which the evaluation was made. The evaluation surveys measured the effectiveness of the L-380 training against 36 elements reflecting the learning targets addressed by the L-380 training. The results of the evaluation indicate that the L-380 training is producing significant improvement between the pre-training period and the post-training period on all elements measured, indicating that both participants and their supervisors have witnessed improvement in the behaviors and performance of the course participants six months to one-year beyond the training (Guidance Group Inc. 2007). The evaluation measured the extent to which people observed behavior or performance (associated with the learning targets of the training) in the workplace beyond the training environment, both before and after the training. The

learning targets represent a combination of behaviors, attitudes and skills. Since those behaviors, attitudes and skills are desirable, the participating agencies would regard increasing detection of them in the workplace as “improvement.” In addition, since these behaviors, attitudes and skills correspond to the learning targets of the training, it was assumed that the observed improvement was due, at least in part, to the training. The evaluation also gauged how far the desired performance diffused or penetrated into the workforce, or the percentage of participants noticeably engaging in the desired performance (Guidance Group Inc. 2007). The results of the evaluation indicate that the L-380 training is producing significant improvement in performance of course participants between the pre-training period and the post-training period on all learning targets measured six months to one-year beyond the training, and that both participants and their supervisors have witnessed the improvement. Continued monitoring and evaluation will indicate whether the sponsoring agencies are able to sustain and improve upon that success (Guidance Group Inc. 2007).

Several of the training’s learning targets that relate to ethics and ethical decision making were categorized in the evaluation as those for which the evaluation indicates both a dramatic rate of improvement and deep diffusion into the workplace (Guidance Group Inc. 2007). Relevant learning targets (number and description) falling into this category include:

- Recognizing values and character associated with good leadership (Guidance Group Inc. 2007). (Recognizing the relationship between values, character, and leadership):
The data indicates that the L-380 training is clearly producing the desired effect for this particular learning target, but moderate room for continued improvement on this learning target remains (Guidance Group Inc. 2007).
- 12 –Understanding the role, duties, and responsibilities of a leader (Guidance Group Inc. 2007). (Understanding decision-making and decision-making cycles):
The data indicates that the L-380 training is clearly producing the desired effect, indicating very strong improvement in this learning target. The data indicates excellent effect from the training, along with moderate room

for continued improvement remaining (Guidance Group Inc. 2007).

- 36 – Understanding role that ethics/ethical decision-making play in leadership (Guidance Group Inc., p. 2). (I understand the role that ethics and ethical decision-making play in leadership):

The data indicates that the L-380 training is clearly producing the desired effect, indicating strong improvement in this learning target. The data indicates significant effect from the training, along with moderate room for continued improvement remaining (Guidance Group Inc. 2007).

- Understanding the relationship between values and leadership. (Guidance Group Inc. 2007). (I understand the relationship between values and leadership and the importance of values to effective leadership.)

The data indicates the L-380 training, which is clearly producing the desired effect, indicating strong improvement in this learning target. The data indicates that the L-380 training is providing a strong improvement, and that moderate room remains for continued improvement (Guidance Group Inc. 2007).

The results of the Guidance Group's evaluation indicate that the L-380 training is producing significant improvement between the pre-training period and the post-training period on all learning targets measured, including the ones specifically relating to ethics and ethical decision-making. These findings indicate that both participants and their supervisors have witnessed improvement in the behaviors and performance of the course participants six months to one-year beyond the training (Guidance Group Inc. 2007). While it may not yet be clear that the NWCG leadership-training curriculum is effectively promoting cultural change in the workforce, it is clear that behaviors are extending into participating organizations beyond the training environment. Continued monitoring and evaluation will be required to determine if the sponsoring agencies are able to sustain and improve upon that success (Guidance Group Inc. 2007).

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IV. RECOMMENDATIONS AND ANALYSIS

A new ethical decision-making program for homeland security personnel should be based on the basic components of an ethics program suggested by Bernier (2006), and found in the Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program. A program should also include many of the specific components recommended by the Emergency Management Institute (2003) for an ethics program. This program should utilize the DRIVE mnemonic device as a backbone for teaching and thinking about ethical decision-making for homeland security.

A. ETHICS AWARENESS

An important first component of an ethics program is to make people aware that ethics, in the sense of doing the right thing, is important to their work and that they are expected to act ethically when performing their duties. The ethics awareness category should include the industry's vision statement, values statement, and code of ethics (Emergency Management Institute 2003). Other tools to build awareness should include materials like the ethical principles, the leader's self assessment tool, and the leader's pocket card from the Canadian Defense Ethics Program; or the wildland fire values and principles and the leader's toolbox from the Wildland Fire Leadership Development Program. These awareness tools would include the DRIVE device, with explanation of its meaning and significance.

B. ETHICS EDUCATION

The ethics education component should include ethics training, an ethics communication strategy, a comprehensive system to monitor and track ethics data, and periodic evaluation of ethics efforts and data (Emergency Management Institute 2003). Courses should be designed around the DRIVE tool, with applicability from the individual to the small unit to the organizational level after the model of the Wildland Fire Leadership Development Program. Designing the courses with a homeland security focus incorporating the DRIVE tool is an opportunity for further research and development.

C. DEVELOPMENT AND ENHANCEMENT OF CORE VALUES

The development and enhancement of core values component should include the focus on ethical leadership, and rewards for ethical behavior and sanctions for unethical behavior (Emergency Management Institute 2003). Part of the development and enhancement of core values should also include the ethical framework from the Canadian Defense Ethics Program. The ethical framework is listed on p. 66. Key components of the framework include system wide support at all levels, including leadership, expectations, dialogue, ethical risks, training, improvement, and decision-making (Defense Ethics Program 2011).

D. ETHICS ADVICE IN THE WORKPLACE

The advice for the workplace component should include a designated ethics official, an ethics task force or committee, and an ethics help line (Emergency Management Institute 2003). This component would include many of the leadership and communications elements recommended by Stevens (2008). By having actual people to talk to and a committee to discuss ethical issues that arise in the workplace, homeland security personnel would have personal support in specific cases, and would not have to rely on general literature or ethics codes. Setting up a detailed job description and budget for an ethics official and ethics task force is beyond the scope of this paper and is an opportunity for further research.

A comprehensive ethics program for homeland security personnel built around the DRIVE device should include the components of awareness, education, enhancement of core values, and support in the workplace. These basic features are also found in the Canadian Defense Ethics Program and the Wildland Fire Leadership Development Program.

E. ANALYSIS—AN ETHICAL DECISION-MAKING PROGRAM FOR HOMELAND SECURITY

The question of what constitutes a “good” decision is not trivial (van der Heijden 1996). Circumstances change after a decision has been taken and one will never know what would have happened if the decision had been different. The quality of the decision

cannot be measured by reference to outcome, but only on the basis of how it was arrived at; or how resourceful and attentive the decision maker was before the decision was made. A decision is vigilant if:

- Reasons are rational (i.e., are explicit and intelligible, have logical coherence and are congruent with existing knowledge)
- Reasons stand up to appropriate search for relevant empirical data
- Reasons take account of future indeterminacy (contingency planning) (van der Heijden 1996).

The DRIVE decision-making tool will help homeland security personnel make vigilant decisions. Decisions made using this process will be rational because they will be explicit and have logical coherence based on existing knowledge and an existing process. They will be based on a search for relevant data through the consideration of vision and context. Decisions will also take account of future indeterminacy, considering possible ends and outcomes, and planning for such.

Ethically focused deliberation and decision making generally requires time that may not be available in crisis situations. In such instances, decision makers are particularly reliant upon clearly stated and understood values that are a component of the overall ethics program (Emergency Management Institute 2003). The DRIVE method provides those values in a format that can easily be remembered in time critical or crisis situations.

The Santa Clara University Ethics Connection suggests the following framework for ethical decision-making:

- Recognize a moral issue.
- Get the facts.
- Evaluate the alternative actions from various moral perspectives.
- Make a decision. Decision makers should be able to explain their reasoning for choosing a particular decision.
- Act, then reflect on the decision, later. Monitor the impact of the decision on stakeholders. Learn from the decision and its impact (Markkula Center for Applied Ethics 2010).

The DRIVE method supports this basic framework suggested by the Markkula Center at Santa Clara University and recommended by the Emergency Management Institute (2003), but in a simpler, easier to remember and use format. Once the moral issue has been recognized, through a conflict in stated values, the Vision component of the DRIVE method includes getting all the facts, gathering information, considering all points of view and the impact on others. The DRIVE method also helps evaluate alternative actions from various moral perspectives, considering elements from virtue ethics, deontology, and utilitarianism as discussed earlier. The DRIVE method also provides a way for decision-makers to remember and explain their thought process, and to review it later for possible effects and future learning.

The DRIVE method is also vigilant (van der Heijden 1996) because it uses thought processes and strengths from the three major schools of ethics. Jochemsen and Glas have connected the three different ethical perspectives on human actions and shown how they are complementary, rather than exclusive (van Burken 2006). Firstly, the actor-perspective is about the person who is responsible for a certain action, which relates to Virtue Ethics. The second is the situation-perspective of ethics, or utilitarianism (van Burken 2006). As utilitarianism seeks to do the “greatest good for the greatest number,” it is only the situation or the outcome that is considered, not specific acts or individuals. The last perspective considers the act itself, which relates to the Categorical Imperative and deontology. In deontology, or rules-based ethics, only the rightness or wrongness of an action is considered, regardless of the circumstances. Jochemsen and Glas argue that ethical decision-making does not have to make a choice between the three separate ethical mainstreams- the three ethical perspectives are connected and complete each other (van Burken 2006). The perspectives complete and complement each other because all decisions contain all three components: an actor, and act, and the context. By focusing on only one of these components, other important issues may be overlooked. This leaves opportunity for incomplete analysis and possible unethical action. The DRIVE tool includes consideration of all three components, and therefore possibly a more complete ethical analysis. Ethics cannot be fully distracted from the act, actor or the situation, but is intertwined with the act, actor and situation (van Burken 2006). Responsibility,

prudence, or integrity can be seen as the integrative components that connect the three ethical streams (van Burken 2006). The components of duty, respect, integrity, vision, and expected outcomes help to tie in the perspectives of the actor, the act, and the situation in order to connect and consider the three separate ethical mainstreams.

The Canadian Defense Ethics Program has found that a key component of ethical behavior in an organization is the ethical approach to decision-making that personnel employ when confronted with an ethical dilemma (Defense Ethics Survey 2007). They identify six approaches to ethics for ethical decision-making: rules based, care based, consequence based, virtue based, self-interest based, and a multiple approach.

These approaches approximate some of the classical ethical schools. They are not exact and do not include all of the complex thought and rationale behind these large philosophical schools, but do contain some of the basic ideas. The rules-based approach includes components of deontology, with its emphasis on acts and rules and the emphasis on compliance to a particular code or imperative. Care- and virtue-based approaches contain elements of virtue ethics, and classical philosophy stressing the importance of being a good or virtuous person. The consequence-based approach is straightforward utilitarianism or consequentialist thought, considering only outcomes and leading to “ends justify the means” decision-making. The self-interest based approach does not fall neatly into any of the three major established ethical categories discussed here, but it does represent realistic thought and decision-making.

Through repeated surveys it was determined that individuals may have some affinity toward specific approaches to ethical decision-making, but they largely favor a mixed approach (Defense Ethics Survey 2007). A multiple-based approach acknowledges that it is not one, but rather a combination of the principles that is best to determine what is right and wrong. The DRIVE method is a multiple or mixed approach, using processes from several philosophical schools.

Adams and Balfour (2007) observe that a “good” leader within a technical rational system need not necessarily be ethical; in fact, the ethical leader “can quickly fall from favor and become feared and even reviled as unreliable, a non-team player who

undermines the organization by not working within the system.” This is based on perceptions of leadership in some organizations where only results matter and the long-term effects of questionable behavior are not considered. Ethics is too often treated as an afterthought, cited only in the worst, most visible cases and then “put aside as impediments to efficiency and effectiveness until the next abuse is uncovered.” Leaders and professionals in public life need to realize that their systems and actions can contribute to the worst kinds of human behavior, and that our ethical standards and professional training do not adequately address the potential for administrative evil (Adams and Balfour 2007). An established ethical decision-making program, using DRIVE as a foundation, would help put the focus on ethical behavior and give homeland security personnel a way to evaluate situations and their actions to see if they pass a simple ethics check. As Stevens (2008) noted, the presence of an ethics code does help the ethical climate of an organization, and may help make ethics more than an afterthought, but a part of the organizational culture.

Ethical issues are rarely black and white; rather, they usually follow a pathway of smaller, ambiguous choices until a series of commitments and habit drive out ethics in favor of comfort, habit, or expedience (Adams and Balfour 2007). Only a conceptual framework for ethics that goes beyond the narrow vision of technical rationality and recognizes the interactive, relational foundation of ethics and its public context can help us better understand and perhaps improve our responses to the moral paradoxes of ethical leadership in modern organizations (Adams and Balfour 2007).

The DRIVE method of ethical decision-making is designed to draw out the complex context of ethical dilemmas and help sort out the confusing and sometimes apparently conflicting components of the ethical decision in a way that homeland security personnel can remember and use. It is designed to “go beyond the narrow vision of technical rationality,” (Adams and Balfour 2007) especially when placed in a larger program of ethical training, to help homeland security personnel “do the right thing” in the important but nuanced and complex environment of securing our homeland.

V. CONCLUSION

This research has sought to begin the effort of uncovering three primary questions. The findings, conclusions and recommendations serve as a starting place to which more research must contribute as we build the homeland security Enterprise. These questions include:

- What is a functional framework for ethical decision-making that homeland security personnel, broadly defined, could use to make decisions in the public's interest that is useful, defensible, and replicable?
- How are ethics for homeland security different than ethics for other disciplines?
- What makes ethical decision making for homeland security unique or different in the United States?

The research concluded that ethics, in the sense of doing the right thing or making difficult decisions in the case of a moral dilemma, are important in doing the work of homeland security in America, and that a process or system of evaluation is useful in making ethical decisions (Palin 2010; Rohr 1988; Dobel 1999; Bobbitt 2009). It is strongly recommended and expected that homeland security personnel have a duty and obligation to conduct themselves in an ethical manner and to make good ethical decisions while performing their duties securing our nation's homeland; it is more difficult to define exactly what ethical behavior is, and how these decisions should be made.

Homeland security is a complex and diverse endeavor, and applying one set of ethical standards to the entire effort is challenging. Individual disciplines within the effort, such as law enforcement, the fire service, medicine, public health, the military, the private sector, and others, all have their respective sets of ethics and standards for their professions. What makes homeland security unique is that these individual standards must be considered, but in the overarching context of homeland security as well. By applying individual considerations to the greater HLS enterprise, ethical decisions may be made that will satisfy both requirements. The DRIVE mnemonic device is specific enough to account for and be relevant to individual cases and situations, yet broad enough to be applied by anyone in the HLS effort.

Ethical decision making for homeland security in the United States is unique, because our government and organizations that provide services in the homeland security enterprise are based on Constitutional principles and on the rule of law. Ethical decisions for HLS in the U.S. must carefully weigh established rules, laws, and policies of individual agencies and groups; individual liberties and dignity in accordance with democratic principles; personal beliefs and standards; and the overall situation and the ultimate effects of a decision. Decisions and actions that may be acceptable in other parts of the world, with different laws and social norms, may be inappropriate for the HLS enterprise in the United States. Values and decision-making tools for homeland security practitioners should be taken from and representative of values found in HLS organizations in the U.S. Action taken in the interest of the United States and its citizens should be consistent with established standards and practices here.

A formal program of training, education, and support in the field of ethics would greatly benefit those within the homeland security enterprise and those we serve (EMI 2003; Stevens 2008; Adams 2001; Bernier 1996; Robinson 2007). Good models for this program should include the Canadian Defense Ethics program or the National Wildfire Coordinating Group's Wildland Fire Leadership Development Program (Defense Ethics Programme 2011; Wildland Fire Leadership Development Group 2011). While both programs have excellent organization and components, an ethical decision-making system and program should be developed specifically for the emerging profession of homeland security in the United States, using common values and processes specific to the field.

The research recommends that the mnemonic device DRIVE, representing Duty, Respect, Integrity, Vision, and Expected Outcomes or Ends, is a functional framework for ethical decision-making that should be used by homeland security personnel to make decisions in the public's interest that are defensible and replicable. This framework has been developed through research of values common in the homeland security enterprise, combined with established ethical thought and decision-making processes. The framework is easy to remember, may encourage HLS providers to consider the ethical implications of their actions and decisions, and contains many components from the

major ethical schools of thought. While decisions made through this process may not be replicable in the sense that it will provide the same results for every person in every circumstance; it is replicable to the extent that an individual will be able to replicate the ethical thought development and decision-making process in the interest of after-action reviews, learning, and teaching how to handle challenging ethical situations. By evaluating alternative courses of action with the DRIVE process, individuals may have a concrete way to justify and explain difficult, controversial, or unorthodox decisions and defend them from a solid ethical foundation. The mnemonic device DRIVE and an associated phrase such as “Ethics DRIVE good decisions” could be a good way to teach, remember and use the values of duty, respect, and integrity, and the decision-making factors of vision and expected outcomes. These components represent larger ethical and philosophical ideas that should be considered when making an ethical decision in the public’s interest by homeland security practitioners.

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APPENDIX A. VALUES- RAW DATA

- DHS: Integrity, Vigilance, Respect, Duty, Respect, Innovation, Vigilance
- FBI: Fidelity, Bravery, and Integrity
- CIA: Service, Integrity, Excellence
- U.S. ARMY: Loyalty, Duty, Respect, Selfless Service, Honor, Integrity, and Personal Courage
- U.S. Navy: Honor, Courage, Commitment
- U.S. Air Force: Integrity, Service, Excellence
- USMC: Honor, Courage, Commitment
- National Wildfire Coordination Group: Duty, Respect, Integrity
- Anaheim, CA Police Department: Service, Impartiality, Integrity, Professionalism, Pride
- Los Angeles Police Department:
 - Service to Our Communities
 - Reverence for the Law
 - Commitment to Leadership
 - Integrity in All We Say and Do
 - Respect for People
 - Quality Through Continuous Improvement
- Santa Monica, CA Police Department: Honesty, Integrity, Trust, Caring, Respect, Loyalty, Service Orientation
- New York Police Department: Protect the lives and property of our fellow citizens and impartially enforce the law. Fight crime both by preventing it and by aggressively pursuing violators of the law. Maintain a higher standard of integrity than is generally expected of others because so much is expected of us. Value human life, respect the dignity of each individual and render our services with courtesy and civility.
- Miami, FL Police Department: In Our Individual Conduct and In Our Personal Relationships, We Value:
 - Integrity and ethical behavior at all times.
 - Respect for the rules of law and the dignity of all human beings.
 - Acceptance of full responsibility and accountability for our actions.
 - Empathy and compassion for others.

- Direct communications that permit and encourage healthy disagreement.
- Resolving differences in a mutually supportive and positive way.
- In Our Professional Responsibilities, We Value:
 - Individual and team effectiveness in solving crime and crime related problems.
 - Exceptional response to community needs.
 - Equal protection and service to all, regardless of economic status.
 - Continuous commitment to personal and professional growth.
 - Innovation, creativity, and reasoned risk-taking.
 - A methodical approach to problem solving.
 - Responsible and creative management of our resources.
 - Excellence and continuous improvement in all we do.
- Chicago Police Department:
 - Professionalism, Obligation, Leadership, Integrity, Courage, Excellence
 - Department of Alcohol, Tobacco and Firearms: We value our people and those we serve. We value professionalism, integrity, diversity, commitment, innovation, and excellence. We value partnerships that promote the safety of our communities.
- U.S. Coast Guard: Honor, Respect, Devotion to Duty
- U.S. State Department: Loyalty, Character, Service, Accountability, Community, Diversity
- Customs and Border Patrol: Vigilance, Service to Country, Integrity
- Transportation Security Administration: Integrity, Innovation, Team Spirit (respect)
- Center for Disease Control: Accountability, Respect, Integrity
- California Department of Public Health: Collaboration, Competence, Integrity, Equity, Respect, Responsibility, Trust, Vision
- U.S. Public Health Service: Leadership, Service, Integrity, Excellence
- Federal Emergency Management Agency: Compassion, Fairness, Integrity, Respect

- Los Angeles City Fire Department: To Residents: We owe the residents of Los Angeles the highest quality of service possible, characterized by responsiveness, integrity and professionalism. We will continually strive for quality improvement.
- To Fire Department: We owe the Los Angeles Fire Department our full commitment and dedication. We will always look beyond the traditional scope of our individual positions to promote teamwork and organizational effectiveness.
- To Each Other: We owe each other a working environment characterized by trust and respect for the individual, fostering open and honest communication at all levels.
- To Ourselves: We owe ourselves personal and professional growth. We will seek new knowledge and greater challenges, and strive to remain at the leading edge of our profession.
- FDNY: Service, Bravery, Safety, Honor, Dedication, Preparedness
- Los Angeles County Fire Department: Integrity, Teamwork, Caring, Courage, Commitment, Community
- Abilene, TX Fire Department: SPIRIT (service, partnership, integrity, respect, innovation, trust)
- Moreno Valley, CA Fire Department: Safety - Leadership - Integrity - Competence - Customer Service
- Bremerton, WA Fire Department: Professionalism, Respect, Integrity, Dedication, Excellence
- El Dorado Hills, CA Fire Department: Integrity, Service, Excellence
- Kent, WA Fire Department: Be Safe, Do Your Best, Serve With Integrity, Take Care of Each Other
- Hazardville, CT Fire Department: Excellence, Safety, Valor, Integrity, Dedication
- Bayou Cane Fire Protection District - Houma, Louisiana
- To our residents: We owe the residents of the Bayou Cane Fire Protection District the highest quality of service possible, characterized by responsiveness, integrity and professionalism. We are committed to continually strive for quality improvement.
- To the Fire Department: We owe the Bayou Cane Fire Protection District our full commitment and dedication. We will always look beyond the traditional scope of our individual positions to promote teamwork and organizational effectiveness.

- To Each Other: We owe each other a pleasant working environment characterized by trust and respect for each other, with open and honest communication at all levels.
- To Ourselves: We owe ourselves personal and professional growth. We will seek new knowledge and greater challenges, and strive to remain at the leading edge of our profession.
- Statesville, NC Fire Department: Professionalism, Integrity, Compassion, Service, Honesty, Stewardship, and Courteousness
- Milwaukee, WI Fire Department: Courage, Integrity, Honor
- Pennsylvania State Police: Honor, Service, Integrity, Respect, Trust, Courage, Duty
- King County, WA Sheriff's Office: Leadership, Integrity, Service, Teamwork
- New Mexico State Police: Respect, Excellence, Service, Pride, Ethics, Courtesy, Teamwork
- Maryland Natural Resources Police: Integrity, Courtesy, Dedication, Professionalism
- Delaware State Police: Honor, Integrity, Courage, Loyalty, Attitude, Discipline and Service
- Kure Beach, NC Police Department:
 - **Professionalism** (accountability, community/professional relations, service, integrity),
 - **Respect** (confidentiality, trust, compassion),
 - **Effectiveness** (safety, fitness-for-duty, knowledge),
 - **Pride** (appearance, quality of life, self-discipline, ownership)
- Plano, IL Police Department: Service, Excellence, Integrity, Compassion, Pride
- Maine State Police: Integrity, Fairness, Compassion, Excellence
- Cincinnati, OH Police Department: Integrity, Professionalism, Diversity, Accountability, Vigilance
- Charleston, RI Police Department: Honesty, Integrity, Trust, Caring, Respect, Loyalty, Service
- Emergency Medical Services values: Integrity, Compassion, Accountability, Respect, Empathy (ICARE)
- Raytown, MO Emergency Medical Services: Commitment to Service, Respect, Integrity, Accountability, Fair Treatment, Teamwork

- Priority One Emergency Medical Services: Respect, Integrity, Accountability, Teamwork, Fair Treatment
- Los Angeles Sheriff's Department, California: "As a **leader** in the Los Angeles County Sheriff's Department, I commit myself to **honorably** perform my duties with **respect** for the dignity of all people, **integrity** to do right and fight wrongs, **wisdom** to apply **common sense** and **fairness** in all I do and **courage** to stand against racism, sexism, anti-Semitism, homophobia and bigotry in all its forms."
- Department Of Defense: Duty, Integrity, Ethics, Honor, Courage, and Loyalty. Our core values are leadership, professionalism, and technical know-how.

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APPENDIX B. VALUES INFORMATION SUMMARIZED

Fifty agencies total:

Federal agencies	9
Military	5
Law Enforcement	17
Fire Departments	13
Public Health/EMS	6

PROFESSIONAL OBLIGATIONS

- Duty x 10
- Service x 18
- Professionalism x 11
- Commitment/dedication x 8
- Leadership x 6
- Commitment/dedication x 6
- Loyalty x 5
- Effectiveness x 3
- Respect for the Law x 2
- Teamwork x 2
- Orientation
- Obligation

TREATMENT OF OTHERS

- Respect x 22
- Caring/compassion x 13
- Trust x 8
- Fairness/impartiality x 8
- Communication/responsiveness x 6
- Teamwork x 6
- Courtesy/civility x 5
- Community x 4
- Diversity x 3
- Honesty x 3
- Respect for the dignity of all human beings x 3; service x 3
- Acceptance of full responsibility and accountability for our actions
- Exceptional response to community needs.
- We value our people and those we serve.
- Take Care of Each Other
- Stewardship

PERSONAL INTEGRITY

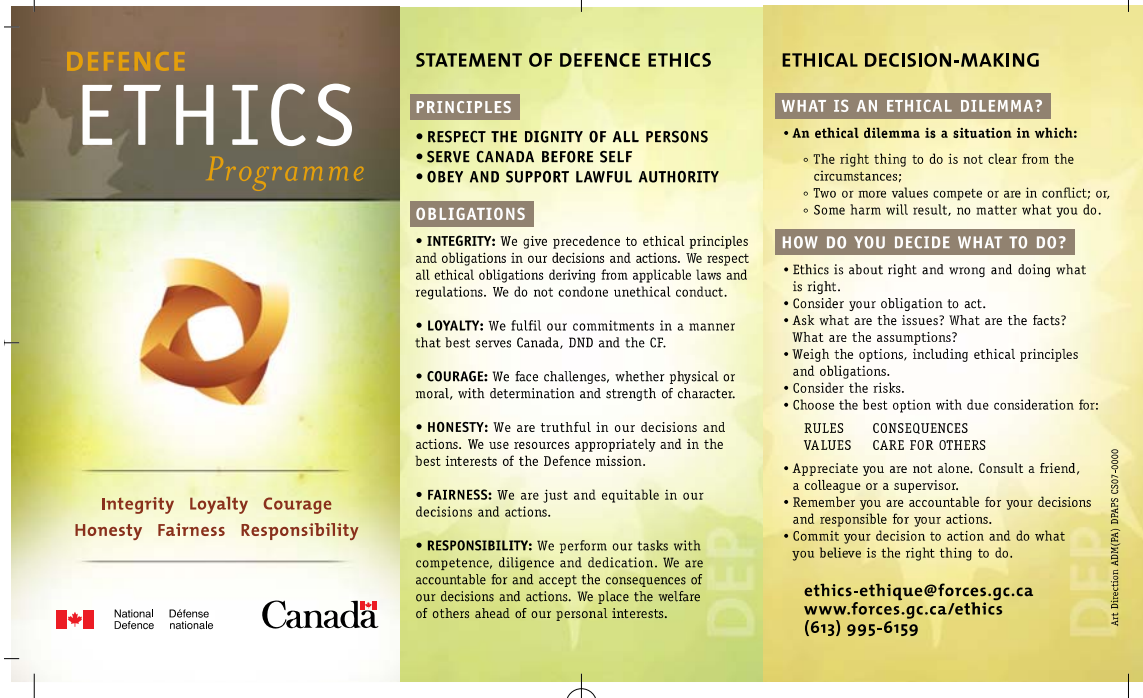
- Integrity x 40
- Honor x 9
- Accountability x 7
- Ethics/ethical behavior x 3
- Character x 1
- Integrity in All We Say and Do
- Serve With Integrity
- Integrity to do right and fight wrongs
- Maintain a higher standard of integrity than is generally expected of others because so much is expected of us

OTHER PERSONAL TRAITS

- Courage/bravery x 13
- Excellence x 12
- Improvement/growth x 9
- Knowledge/competence x 9
- Innovation/creativity x 6
- Safety x 5
- Pride x 4
- Vigilance x 3
- Loyalty/fidelity x 2
- Reasoned risk-taking
- A methodical approach to problem solving
- Responsible and creative management of our resources
- Others: collaboration, responsibility, vision, preparedness, attitude, discipline, effectiveness, vigilance

APPENDIX C. CANADIAN DEFENSE ETHICS PROGRAM

LEADER'S POCKET CARD



The image shows a three-panel pocket card for the Canadian Defense Ethics Program. The left panel features the title 'DEFENCE ETHICS Programme' and a central graphic of a stylized orange and yellow knot. Below the graphic are the words 'Integrity Loyalty Courage' and 'Honesty Fairness Responsibility'. At the bottom left are the Canadian flag and the text 'National Defence / Défense nationale' and the 'Canada' logo. The middle panel is titled 'STATEMENT OF DEFENCE ETHICS' and contains two sections: 'PRINCIPLES' with three bullet points (Respect the Dignity of All Persons, Serve Canada Before Self, Obey and Support Lawful Authority) and 'OBLIGATIONS' with five bullet points (Integrity, Loyalty, Courage, Honesty, Fairness, Responsibility). The right panel is titled 'ETHICAL DECISION-MAKING' and contains two sections: 'WHAT IS AN ETHICAL DILEMMA?' with one bullet point and three sub-points, and 'HOW DO YOU DECIDE WHAT TO DO?' with five bullet points. At the bottom of the right panel is contact information: 'ethics-ethique@forces.gc.ca', 'www.forces.gc.ca/ethics', and '(613) 995-6159'. A vertical text on the far right edge reads 'Art. Direction: ADM(PA) DPAPS CS07-0000'.

DEFENCE ETHICS Programme

STATEMENT OF DEFENCE ETHICS

PRINCIPLES

- RESPECT THE DIGNITY OF ALL PERSONS
- SERVE CANADA BEFORE SELF
- OBEY AND SUPPORT LAWFUL AUTHORITY

OBLIGATIONS

- **INTEGRITY:** We give precedence to ethical principles and obligations in our decisions and actions. We respect all ethical obligations deriving from applicable laws and regulations. We do not condone unethical conduct.
- **LOYALTY:** We fulfil our commitments in a manner that best serves Canada, DND and the CF.
- **COURAGE:** We face challenges, whether physical or moral, with determination and strength of character.
- **HONESTY:** We are truthful in our decisions and actions. We use resources appropriately and in the best interests of the Defence mission.
- **FAIRNESS:** We are just and equitable in our decisions and actions.
- **RESPONSIBILITY:** We perform our tasks with competence, diligence and dedication. We are accountable for and accept the consequences of our decisions and actions. We place the welfare of others ahead of our personal interests.

ETHICAL DECISION-MAKING

WHAT IS AN ETHICAL DILEMMA?

- An ethical dilemma is a situation in which:
 - The right thing to do is not clear from the circumstances;
 - Two or more values compete or are in conflict; or,
 - Some harm will result, no matter what you do.

HOW DO YOU DECIDE WHAT TO DO?

- Ethics is about right and wrong and doing what is right.
- Consider your obligation to act.
- Ask what are the issues? What are the facts? What are the assumptions?
- Weigh the options, including ethical principles and obligations.
- Consider the risks.
- Choose the best option with due consideration for:

RULES	CONSEQUENCES
VALUES	CARE FOR OTHERS
- Appreciate you are not alone. Consult a friend, a colleague or a supervisor.
- Remember you are accountable for your decisions and responsible for your actions.
- Commit your decision to action and do what you believe is the right thing to do.

ethics-ethique@forces.gc.ca
www.forces.gc.ca/ethics
(613) 995-6159

Art. Direction: ADM(PA) DPAPS CS07-0000

Figure 3. Canadian Defense Ethics Program Leader's Pocket Card (From Defense Ethics Programme 2011)

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APPENDIX D. CANADIAN STATEMENT OF DEFENSE ETHICS

Figure 4 describes the Canadian Statement of Defense Ethics.

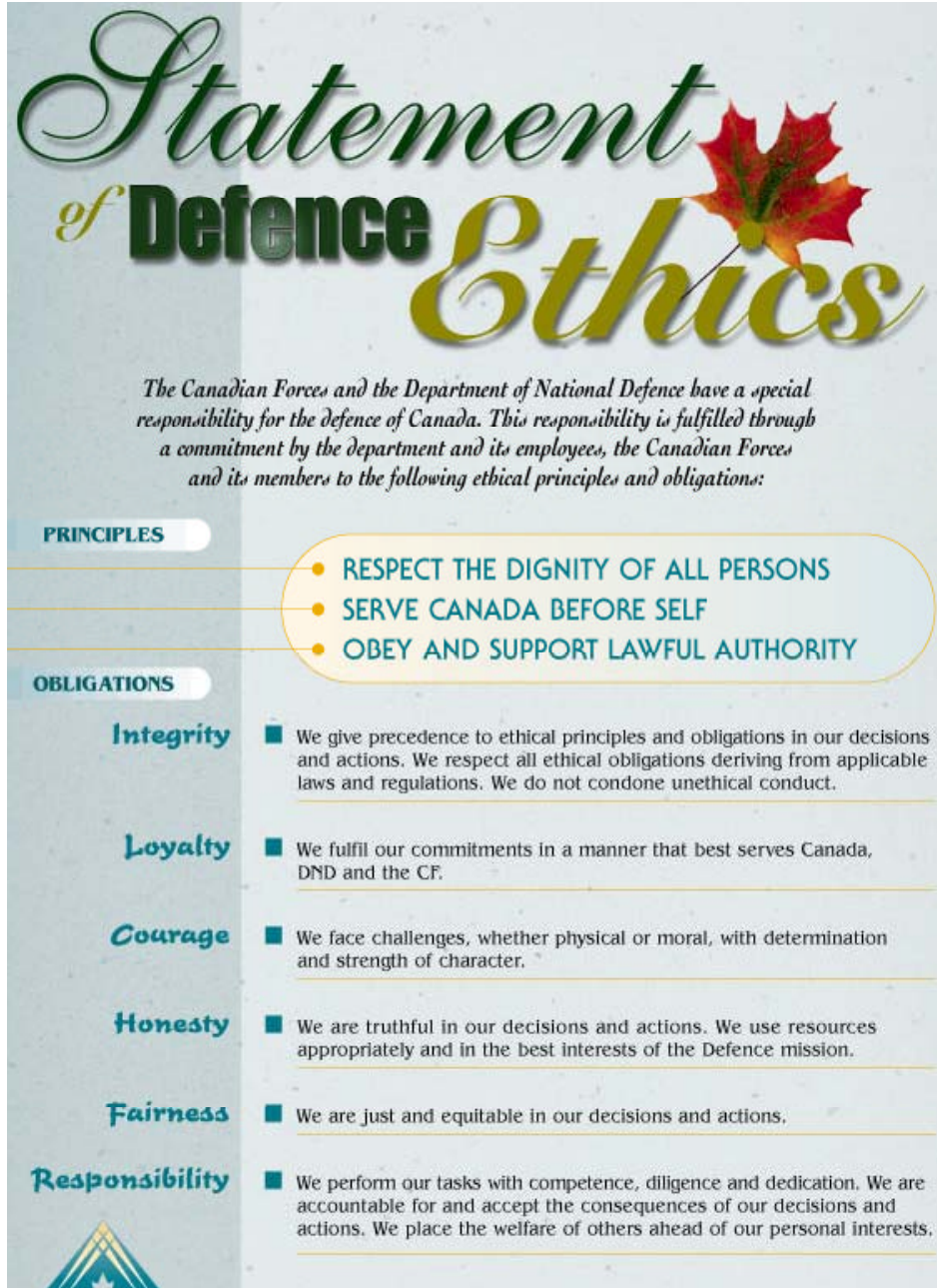


Figure 4. Canadian Statement of Defense Ethics (From Defense Ethics Programme 2011)

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APPENDIX E. WILDLAND FIRE LEADERSHIP VALUES AND PRINCIPLES

Wildland Fire Leadership Values and Principles	
Duty	<p>Be proficient in your job, both technically and as a leader. ! Take charge when in charge. ! Adhere to professional standard operating procedures. ! Develop a plan to accomplish given objectives.</p>
	<p>Make sound and timely decisions. ! Maintain situation awareness in order to anticipate needed actions. ! Develop contingencies and consider consequences. ! Improvise within the commander's intent to handle a rapidly changing environment.</p>
	<p>Ensure that tasks are understood, supervised, and accomplished. ! Issue clear instructions. ! Observe and assess actions in progress without micro-managing. ! Use positive feedback to modify duties, tasks and assignments when appropriate.</p>
	<p>Develop your subordinates for the future. ! Clearly state expectations. ! Delegate those tasks that you are not required to do personally. ! Consider individual skill levels and development needs when assigning tasks.</p>
Respect	<p>Know your subordinates and look out for their well being. ! Put the safety of your subordinates above all other objectives. ! Take care of your subordinate's needs. ! Resolve conflicts between individuals on the team.</p>
	<p>Keep your subordinates informed. ! Provide accurate and timely briefings. ! Give the reason (intent) for assignments and tasks. ! Make yourself available to answer questions at appropriate times.</p>
	<p>Build the team. ! Conduct frequent debriefings with the team to identify lessons learned. ! Recognize individual and team accomplishments and reward them appropriately. ! Apply disciplinary measures equally.</p>
	<p>Employ your subordinates in accordance with their capabilities. ! Observe human behavior as well as fire behavior. ! Provide early warning to subordinates of tasks they will be responsible for. ! Consider team experience, fatigue and physical limitations when accepting assignments.</p>
Integrity	<p>Know yourself and seek improvement. ! Know the strengths/weaknesses in your character and skill level. ! Ask questions of peers and superiors. ! Actively listen to feedback from subordinates.</p>
	<p>Seek responsibility and accept responsibility for your actions. ! Accept full responsibility for and correct poor team performance. ! Credit subordinates for good performance. ! Keep your superiors informed of your actions.</p>
	<p>Set the example. ! Share the hazards and hardships with your subordinates. ! Don't show discouragement when facing set backs. ! Choose the difficult right over the easy wrong.</p>

Figure 5. Wildland Fire Leadership Values and Principles (From Wildland Fire Leadership Development Program 2011)

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