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THESIS

**HOW CAN THE BALANCED SCORECARD DEVELOP A
LEADERSHIP DEVELOPMENT PROGRAM FOR THE
FBI?**

by

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December 2021

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**HOW CAN THE BALANCED SCORECARD DEVELOP A LEADERSHIP
DEVELOPMENT PROGRAM FOR THE FBI?**

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ABSTRACT

Superior performance with long-lasting effects is the hallmark of a thriving organization. The success or failure of any organization hinges on its leaders to make the correct decisions at the correct time. As an organization grows in size and diversity, leadership must look both horizontally and vertically to ensure that the mission is completed. The leadership of any successful organization must be able to rely on its executive level management, its subordinates, as well as those in positions of authority who are similar in nature. This research paper examines the use of Kaplan and Norton's balanced scorecard as a conceptual model to evaluate the Federal Bureau of Investigation's performance. The paper explores the balanced scorecard's identified deficits, discusses the potential reasons for the deficiencies, and makes recommendations on potential ways to address these shortcomings.

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LIST OF ACRONYMS AND ABBREVIATIONS

ADIC	assistant director in charge
AG	attorney general
AG Guidelines	Attorney General Guidelines for Domestic FBI Operations
ASAC	assistant special agent in charge
BSC	balanced scorecard
CHS	confidential human source
DIOG	Domestic Investigations and Operations Guide
DOJ	Department of Justice
DOT	Department of Transportation
ECQ	executive core qualifications
EEO	Equal Employment Opportunity
EM	executive management
EWS	Expeditionary Warfare School
FBI	Federal Bureau of Investigation
FBINAA	FBI National Academy Associate
FISA	Foreign Intelligence Surveillance Act of 1978
FOSP	Field Office Strategic Plan
GAO	Government Accountability Office
HQ	headquarters
IPM	intergraded program management
LA	Los Angeles
LSA	leadership skills assessment
MCU	Marine Corps University
NA	National Academy
NAT	New Agent Training
NCHRP	National Cooperative Highway Research Program
NJSP	New Jersey State Police
NPR	National Partnership for Reinventing Government
NYO	New York Office
NYO-Admin	NYO-Administrative

NYO-CI	NYO-Counter-Intelligence
NYO-CID	NYO-Criminal
NYO-CT	NYO-Counter-Terrorism
NYO-Intel	NYO-Intelligence
NYO-SO/Cyber	NYO-Special Operations/Cyber
NYPD	New York Police Department
OECD	Organization for Economic Co-operation and Development
OIG	Office of the Inspector General
OLEC	Office of Law Enforcement Coordination
OPM	Office of Personnel Management
PAR	performance appraisal reports
PI	performance information
PIG	policy guide
PIP	performance improvement plan
PME	Professional Military Education
QSSR	quarterly supervisory source report
RPO	Resource Planning Office
SAC	special agent in charge
SES	Senior Executive Service
SSA	supervisory special agent
TBS	The Basic School
TDY	temporary duty
TRP	Threat Review and Prioritization
USMC	United States Marine Corps
WFO	Washington Field Office
WFO/LA-Admin	WFO/LA Administrative
WFO/LA-CI	WFO/LA-Counterintelligence
WFO/LA-CID	WFO/LA-Criminal
WFO/LA-CT	WFO/LA-Counterterrorism
WFO/LA-Intel	WFO/LA-Intelligence

EXECUTIVE SUMMARY

The Federal Bureau of Investigation's (FBI's) excellent reputation precedes it in state, federal, and international law enforcement, and in intelligence communities. The reputation has been built on a multi-faceted foundation that relies in no small measure on its ability to spark the work ethic of its employees, exploit technology, and harness the liaison relations it has established with its counterparts. After its creation in 1908, the FBI experienced unprecedented growth in all areas of the organization. This growth included scope of duties, number of employees, and evolving threats to the Constitution that it was created to protect. The FBI consistently met all the myriad of challenges levied upon it with a high degree of investigative proficiency and integrity. Despite these accomplishments, the organization's leadership recently has sustained a series of unsatisfactory evaluations from several key sectors. Of particular note are Congress, the American people, and its stakeholders, the FBI's employees. Through the benefit of hindsight, the actions of FBI leadership in response to various emergent events have been deemed lackluster. Following the attacks of 9/11, the FBI utilized the balanced scorecard (BSC) concept to transform. Specifically, its transformation was from a solely law enforcement organization to a domestic intelligence powerhouse after the 9/11 terrorist attacks. The FBI can utilize the BSC again and take the opportunity to transform its leadership training program to provide individuals the foundation from which to make sound decisions.

This thesis examines the critiques that have been offered in the appraisal of FBI leadership in the agent ranks. It compares and contrasts the FBI special agent training program with the leadership development of several key contemporaries in the investigative and law enforcement realms. It also proposes a new leadership training curriculum to best equip those in current and future positions of leadership. The thesis employees the methodology of the BSC first proposed in 1996 by Robert Kaplan and David Norton. In their research, Kaplan and Norton advocated for the use of four perspectives (financial, customer, internal process, and organizational capacity) to determine if an organization was functioning in balance. The FBI is reviewed through the optic of these

four perspectives. A fifth perspective for stakeholders has been added to the framework. The FBI's stakeholders are its employees. Their vitality and flow play a crucial and integral part in the FBI's balance as an organization. Arguably, the stakeholders bear the first and foremost brunt of average leadership. The proposed leadership training curriculum would have an immediate impact on the stakeholders, as well as ripple effects on the other four perspectives.

This thesis only focuses on leadership within the special agent ranks. It will demonstrate that the FBI's only mandatory training curriculum for its agents, the new agent trainee program at the FBI Academy, does not provide enough support and knowledge for individuals to function as leaders. While the thesis is designed specifically for the agents, the BSC concept can be utilized to develop similar training programs for the professional support and intelligence career employees. The FBI's current training program front-loads almost all-comprehensive training for agents into the first few months of an agent's career. Once the agent trainee graduates from the FBI Academy, mandated leadership development courses are lacking, unlike in other organizations, such as the military, state police departments, and the corrections departments. Through rigorous use of the BSC, this thesis argues that the FBI should evolve to a career-long education optic for its leadership ranks and proposes a curriculum framework to build the education.

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Thank you to the Federal Bureau of Investigation for selecting me and supporting my research and writing. This thesis is dedicated to Special Agent Barry Bush who was killed in the line of duty on April 5, 2007; may we learn from his sacrifice.

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I. INTRODUCTION

A. PROBLEM STATEMENT

The balanced scorecard (BSC) is a strategic planning and management system developed by Robert Kaplan and David Norton. The BSC evaluates an organization based on four categories: learning and growth, business process, customers, and finance.¹ The Federal Bureau of Investigation (FBI), or the Bureau, previously used the BSC after the 9/11 terrorist attacks. In response to the terrorist attacks, the FBI employed the BSC as a driving force to transform the FBI from a predominately criminal investigative agency into the United States' premier domestic intelligence agency.² The FBI has another opportunity to enact institutional change. This time, the catalyst is the existence of leadership shortfalls in the organization's leaders. These leaders are the supervisory special agent (SSA), assistant special agent in charge (ASAC), and the Senior Executive Service (SES). Publicly available official reports from the Department of Justice's (DOJ's) Office of the Inspector General (OIG) and formal Congressional hearings have identified and underscored leadership deficiencies in the ranks of the FBI. FBI employees express dissatisfaction with leadership within the Bureau. They noted inadequacies and inconsistencies via internal, employee driven surveys, and specifically the 2017 FBI Field Office and Headquarters Climate Survey. The aforementioned resources are merely examples of recognition that leadership shortcomings exist in the FBI. While the climate survey raises the concern of leadership, it does not identify root causes. It also does not pinpoint the exact elements of the weaknesses. These deficiencies are troubling because the FBI is the United States' lead federal investigative law enforcement and domestic intelligence collection agency. As such, it is tasked with protecting both the Constitution and its citizens. In emergent situations, it is critical to have the best leadership possible to harness the power of the

¹ Robert S. Kaplan and David P. Norton, "The Balanced Scorecard," Office of Personnel Management, 1996, <https://www.opm.gov/policy-data-oversight/performance-management/reference-materials/more-topics/the-balanced-scorecard/>.

² Ranjay Gulati, Ryan L. Raffaelli, and Jan W. Rivkin, "Does 'What We Do' Make Us 'Who We Are'?", *Organizational Design and Identity Change at the Federal Bureau of Investigation* (working paper, Harvard Business School, 2016).

supporting workforce effectively. FBI leadership consistently receives mediocre scores when its decisions and actions in response to violent and tragic domestic incidents are examined and assessed through the lens of after-action reports and evaluations. The BSC is a powerful and proven tool that the FBI should utilize to pinpoint and assess the shortfall in the FBI's talent development process, as well as improve how the FBI promotes individuals into its leadership cadre.

By inference, the lack of an institutionalized leadership development program might be negatively affecting the FBI's relationship with its customers (the American people), creating a negative financial impact (inappropriate spending of allocated budgets), and affecting internal processes (the management of operations, personnel, and techniques). All these considerations negatively impact the FBI's ability to accomplish its various responsibilities and missions. A recent Gallup poll shows that American's trust in the FBI is at a historical low.³ *Time* magazine's analysis of data obtained from the DOJ from 2013 to 2018 indicates an 11% drop in convictions in FBI-led investigations. This drop is of paramount concern because convictions offer direct insight into the leadership role.⁴ Individuals who have been promoted into positions of leadership lead investigations. If these leaders are unable to harness the power of the FBI workforce and lawfully granted special techniques to manage, guide, and direct the efforts of special agents, support personnel, and outside agency partners in the process of investigating a crime, the subjects of criminal investigations can literally be getting away with murder. Lower conviction rates due to average leaders affect the public's perception of the FBI's ability to prosecute criminals. It also serves both to erode trust in the FBI's ability to protect and diminishes its ability to act as a deterrent to crime. The stakes are too high for the FBI. The responsibilities that the Bureau is tasked with require that leadership at all tiers operate at the highest possible levels.

³ Mohamed Younis, "FBI's Positive Job Rating Steady among Americans," Gallup, May 10, 2019, <https://news.gallup.com/poll/257489/fbi-positive-job-ratings-steady-among-americans.aspx>.

⁴ Eric Lichtblau, "The FBI Is in Crisis. It's Worse than You Think," *Time* 191, no. 18, May 3, 2018, <https://time.com/magazine/us/5264136/may-14th-2018-vol-191-no-18-u-s/>.

Open source reporting and internal employee driven survey data indicates that the FBI's leadership can be operating more efficiently and effectively. These opportunities for improvement are explored in this thesis. A possible solution will be offered to address the question of how to implement positive change for the future. Efficiency in the government sector is best defined as "is producing the required outcome with the minimal (or appropriate) amount of resources, time and cost."⁵ Therefore, efficiency in government is measured by how well the resources provided to an organization are utilized to achieve the organization's mission. For the purpose of this thesis, effectiveness "is expressed by the ratio between the result achieved and the programmed one and shows the success acquired by using the resources to accomplish the proposed objectives."⁶ Effectiveness in the context of public sector leadership is an "indicator that measures the quality of public services, the quality of the civil service and its independence from political pressures."⁷

The purpose of this thesis is to assess the FBI's current leadership development education approach and recommend a comprehensive leadership development program curriculum to improve the efficiency and effectiveness of the Bureau. This leadership development program curriculum is to be designed with the purpose of cultivating the skills necessary to improve the customer perspective, financial considerations, and internal processes for future leaders as they advance through the ranks of the organization. A leadership development program would promote desirable qualities and characteristics and set ever-higher standards for the Bureau. The present domestic law enforcement environment is difficult and is likely to get ever more complex. The FBI's participation is all but guaranteed in liaison work with state and local law enforcement entities. The need for strong federal leadership can quickly become required, especially if the FBI engages in Color of Law investigations that are likely to be initiated in response to the civil unrest in

⁵ Steve Goodrich, "Defining and Achieving Efficiency in Government," *Federal Times*, May 27, 2015, <https://www.federaltimes.com/management/2015/05/27/defining-and-achieving-efficiency-in-government/>.

⁶ Popa Florina, "Elements on the Efficiency and Effectiveness of the Public Sector," *Ovidius University Annals: Economic Sciences Series XVII*, no. 2 (2017): 313–319, <https://stec.univ-ovidius.ro/html/anale/ENG/2017-2/Section%20III/29.pdf>.

⁷ "Government Effectiveness Indicator," Millennium Challenge Corporation, accessed July 12, 2020, <https://www.mcc.gov/who-we-fund/indicator/government-effectiveness-indicator>.

2020.⁸ A leadership development education program can provide leaders foundational training in all aspects of leadership roles, responsibilities, and the organization’s capabilities to ensure effective and optimal operation of the FBI’s investigative capabilities.

B. RESEARCH QUESTION

What features of a formal leadership development program would improve the customer perspective, financial considerations, and internal operations of personnel promoted into positions of additional responsibility and authority?

C. RESEARCH DESIGN

The scope of this thesis was limited to the special agents’ leadership ranks that include the SSA, ASAC, and the SES. The research examined the FBI’s existing leadership development process to identify the core reasons for leadership inadequacies. It also examined the steps taken by other agencies to address similar leadership challenges. Finally, this paper recommends a new methodology for developing a leadership education component within the Bureau to promote human capital leadership development. Three professional categories exist within the FBI’s 34,694 employees: special agents (12,927), intelligence analysts (3,055), and professional staff (18,712).⁹ The author recognizes that the organization has been integrated into one team and that leadership positions exist in both the intelligence and professional support branches. The FBI’s responsibilities primarily remain with the sworn law enforcement officer role that the special agents are

⁸ U.S. Attorney’s Office, Southern District of Indiana, “Lawrence Man Charged with Hate Crime for Making Racially-Motivated Threats toward Black Neighbor, and with Unlawful Possession of Firearms,” Department of Justice, updated August 6, 2020, <https://www.justice.gov/usao-sdin/pr/lawrence-man-charged-hate-crime-making-racially-motivated-threats-toward-black-neighbor>; James Comey, “The FBI and the ADL: Working Together to Fight Hate,” Federal Bureau of Investigation, May 8, 2017, <https://www.fbi.gov/news/speeches/the-fbi-and-the-adl-working-together-to-fight-hate>,” Joanna R. Lampe, *Federal Police Oversight: Criminal Civil Rights Violations under 18 U.S.C. § 242*, CRS Report No. LSB10495 (Washington, DC: Congressional Research Service, 2020), <https://crsreports.congress.gov/product/pdf/LSB/LSB10495>.

⁹ Christopher Wray, *Statement before the Senate Appropriations Committee, Subcommittee on Commerce, Justice, Science, and Related Agencies Washington, D.C., FBI Budget Request for Fiscal Year 2019* (Washington, DC: Federal Bureau of Investigation, 2018), <https://www.fbi.gov/news/testimony/fbi-budget-request-for-fiscal-year-2019>.

tasked with executing. Therefore, this thesis focuses on leadership within the special agent cadre.

Specifically, this research examined current special agent leadership performance using a conceptual model, i.e., the BSC. The research has been categorized into the four perspectives of the BSC: financial, customer, internal process, and learning. The BSC was selected because of being recognized in both the private and public sector as a tool to manage performance, identify problems, and implement improvements.¹⁰

Published sources of information to support this research effort include relevant congressional oversight hearings, DOJ-OIG and FBI reports, the testimony of senior FBI executives, and Government Accountability Office (GAO) reports. The FBI climate survey, Gallup polls, and the Partnership for Public Services' Best Place to Work in the federal government are also included as part of this study. These reports and others assessed the BSC methodology in an attempt to isolate the leadership deficiency problem and provided suggestions for a comprehensive leadership education program plan to improve those deficiencies. The BSC concept is an important part of the methodology of this thesis and is described in more detail in the sections that follow.

Following the 9/11 attacks, the FBI utilized the BSC methodology to transform itself from a predominate law enforcement agency to a domestic intelligence agency.¹¹ The FBI expanded the utilization of the BSC to direct the execution of the FBI's strategic objectives.¹² The thesis uses the BSC as a conceptual model to examine the performance of special agent leaders and the development program, as well as how a dedicated leadership development program can effect a change. The methodology is composed of four perspectives of the BSC: financial, customer, internal process, and learning and growth. The BSC was selected due to being recognized in both the private and public sector

¹⁰ Kaplan and Norton, "The Balanced Scorecard."

¹¹ Gulati, Raffaelli, and Rivkin, "Does 'What We Do' Make Us 'Who We Are'?"

¹² Office of the Inspector General, Audit Division, *Federal Bureau of Investigation Annual Financial Statements Fiscal Year 2012*, Audit Report 12-16 (Washington, DC: Department of Justice, 2012), <https://oig.justice.gov/reports/2012/a1216.pdf>.

as a tool to measure performance, identify problems, and implement improvements.¹³ A more detailed explanation of the BSC and each perspective are addressed later in this paper. The paper also examines if a perspective is missing in the BSC that may possibly improve the assessment of an organization and how better understanding the expectations of constituencies not included in the BSC framework is relevant to the leadership educational development proposal at the heart of this thesis.

Robert Kaplan and David Norton presented the BSC, “Using the Balanced Scorecard as a Strategic Management System,” introduced the financial perspective, and added three additional perspectives. These additional perspectives are customer, internal process, and learning and growth to measure performance, which permit an organization a more complete understanding of its success. Each perspective allows an organization to set objectives and goals. For businesses, the financial end state was considered the most important perspective. The financial aspect would determine if a company were successful or not, and if the company was making a profit. Prior to Kaplan and Norton’s work, the traditional financial perspective was the only criterion to measure performance.

Like most government agencies, the FBI is not assessed on profit margins. The BSC was used for this reason to transform the FBI following the 9/11 attacks. The BSC ensures an organization considers the other perspectives of customer, growth and learning, financial, and internal process when developing strategic aspects and evaluating its success. If a company were only to look at the financial perspective, it could give a mistaken view of the company’s long-term well-being. The BSC is designed so not only one measure is the deciding factor in an organization’s success and links performance to the most critical measures of an organization.

The conceptual framework of the BSC aligns the organization’s vision statement and integrates the performance measures and management system into the vision.¹⁴ As such, the objectives of each individual perspective support the remaining perspectives. In other words, a decision made solely for one perspective will affect the remaining

¹³ Kaplan and Norton, “The Balanced Scorecard.”

¹⁴ Kaplan and Norton.

perspectives. For example, the BSC allows an organization to consider the impact to an organization if an organization possibly decides solely to use one perspective as a consideration of an organization's success. Later in this paper, the researcher suggests that the BSC may not capture a key perspective. A "stakeholder" category that includes FBI employees and Congress, which provides funding to the FBI, may not be captured without this stakeholder perspective.

Shradha Gawankar, Sachin S. Kamble, and Rakesh Raut's research work, "Performance Measurement Using Balance Score Card and its Application: A Review," examined the application of the BSC from 2000 to 2015 in 34 applications. The writers acknowledge that the BSC has evolved past its original design by stating, "It has now become a strategic change management and performance management process."¹⁵ The authors' conclusion is that the BSC assists an organization to address the challenges of measuring performance and implementing strategy properly.

The Hackett Group researched companies' implementation of the BSC and identified the commonalities in their successes and failures. The data suggests that world-class companies are 159% more likely to have a BSC in place than a typical company. The data also suggests that the typical company struggles in applying the BSC concept and the reality of its operations. The explanation offered for these struggles is that too many metrics that require measurement are considered. On average, companies attempt to quantify 132 measures and brief the company's senior executives on an overabundance of historical financial information. The Hackett Group's findings argue that the average measures being considered (132) are nine times greater than the number first suggested by Kaplan and Norton's research. Furthermore, the focus on historical financial data does not allow forward-looking thinking and future performance measures.¹⁶

¹⁵ Shradha Gawankar, Sachin S. Kamble, and Rakesh Raut, "Performance Measurement Using Balance Score Card and Its Applications: A Review," *Journal of Supply Chain Management Systems* 4 (January 2015): 6.

¹⁶ The Hackett Group, "Most Executives Are Unable to Take Balanced Scorecards from Concept to Reality, According to The Hackett Group," *Performance Measurement Association* 4, no. 1 (March 2005): 3.

The FBI holds a premier position in both the domestic and international law enforcement arena. The FBI's investigative tools and methodologies, access to technology and laboratory facilities, personnel capital, and funding are on par with the resources available to companies in the "world-class" category. Implementing the BSC specifically to assess and refine the FBI's leadership would necessarily narrow the metrics required to be measured and pave the way for the FBI to secure its position as a premier developer of leaders within the organization. Prior to that, it is important to understand the FBI's current leadership valuation since the FBI is constantly advised of its success and failures by a plethora of forces within the U.S. government.

II. LITERATURE REVIEW

The purpose of this literature review is to identify and evaluate research on leadership and especially to assess the state of the FBI. An extensive body of literature has been written on this topic with no shortage of opinions on FBI leadership. The congruous opinions pour in from a variety of sources, such as academic papers, government reports, writings from current and former employees, news articles, commissioned reports, and congressional oversight hearings. The consensus among these authors is that a significant problem exists in the development of FBI leadership. The approaches these authors take and the themes they explore can be divided into a number of interrelated categories.

A. FBI LEADERSHIP PROCESSES AND PROBLEMS

Most of the academic research focuses on the FBI's process for developing its leaders. Richard Schwein's thesis outlines the current promotional framework and offers 15 improvements to transform FBI leadership. These recommendations include testing, education, term limits of three to five years for leadership positions, master's degrees required for GS-15 and above, and the creation of multiple new programs for leadership development.¹⁷ Similarly, Eric Smith, who advocates for the transformation of the FBI into a domestic intelligence agency, cites the need for better education and training for the organization's leaders and supervisors.¹⁸ Nicholas Boshears' thesis recommends that the FBI offer better leadership training in an effort to improve counterterrorism operations with its law enforcement partners.¹⁹ Boshears goes further and recommends restructuring the current counterterrorism investigative framework and reorganizing responsibility to promote improvement. Most theses on the subject of FBI leadership underscore the need

¹⁷ Richard D. Schwein Jr., "Transforming Leadership in the FBI: A Recommendation for Strategic Change" (master's thesis, Naval Postgraduate School, 2007), <https://calhoun.nps.edu/handle/10945/3665>.

¹⁸ Eric B. Smith, "The Transformation of the FBI to Meet the Domestic Intelligence Needs of the United States" (master's thesis, Naval Postgraduate School, 2009), <https://calhoun.nps.edu/handle/10945/4743>.

¹⁹ Nicholas Boshears, "Recommendations for Improving FBI Joint Counterterrorism Operations" (master's thesis, Marine Corps University, 2012), <https://pdfs.semanticscholar.org/7f17/48e9d6622dea16863589515f00c4cc23e781.pdf>.

for better or enhanced training and education. While these papers only recommend training and education as the solution to a leadership development program, they never went the added step by offering what the training or proposed education program would address or how to implement an educational program.

Reviews, analyses, and critiques of FBI leadership have been detailed in books written both by the rank and file of the FBI, as well its senior executive management (EM). In his book, *A Broken Badge Healed? The F.B.I., a Special Agent, and the Cancer within Both*, Frederic Donner, a retired FBI special agent, recommends instituting a testing program as a requirement for promotion, implementing a minimum time requirement as a field agent, and pushing involuntary promotions as solutions to the FBI's leadership problems.²⁰ In his book, *Disrupt Discredit and Divide: How the New FBI Damages Democracy*, Mike German argues that the radical transformation from a predominately law enforcement agency to a domestic intelligence agency has caused a significant problem in the FBI's leadership ranks. German addresses how Congress perceives the FBI as both a protector and threat to democracy and that Congress has demanded more oversight as its solution to the FBI's leadership failures. German also suggests reforming the attorney general's (AG's) guidelines to a more rigorous standard as a way to prevent an abuse of power by the FBI.²¹ German's observation that the radical transformation in the FBI from a law enforcement agency to a domestic intelligence agency is an interesting observation. As previously stated, the FBI used the BSC as a model to enact this transformation.²²

German's conclusion was due to the rapid expansion and change in the FBI's mission priority, which created a deficiency void in leadership. Richard Powers' book, *BROKEN: The Troubled Past and Uncertain Future of the FBI*, presented a different perspective of the FBI's problems.²³ Power's argument was the FBI's challenges were

²⁰ Frederic Donner, *A Broken Badge Healed? The F.B.I., a Special Agent, and the Cancer within Both* (Bloomington, IN: Xlibris Corporation LLC, 2013).

²¹ Mike German, *Disrupt Discredit and Divide: How the New FBI Damages Democracy* (New York: Westchester Publishing, 2019).

²² Gulati, Raffaelli, and Rivkin, "Does 'What We Do' Make Us 'Who We Are'?"

²³ Richard Gid Powers, *BROKEN: The Troubled Past and Uncertain Future of the FBI* (New York: Free Press, 2004).

rooted much deeper in the FBI's history than German's perspective. Powers reviews the historical successes and failures of the organization but suggests the organization had forsaken its purpose almost from its inception. The book was published while the political debate to split the responsibilities of the FBI into two organizations was still being discussed. Power's conclusion was the FBI could return as the nation's premiere law enforcement agency, but also asked the readers to decide for themselves.

Internal leadership concerns, issues, and guidance also have been the topics of writing from former FBI senior executives. Kathleen McChesney, former Executive Assistant Director, and William Gavin, former Assistant Director-in-Charge of the New York Field Office, collaborated on the book, *Pick Up Your Own BRASS: Leadership the FBI Way*.²⁴ Through a series of "war stories" from McChesney's and Gavin's careers, the authors highlight leadership traits that the FBI should seek in its leaders, such as an ethical character that motivates others and an ability to build relationships with external partners. The authors also identify traits that should discourage individuals' promotion into leadership ranks, such as "the inability to separate their oversize egos from their leadership responsibilities."²⁵ Former FBI Director James Comey in his book, *A Higher Loyalty: Truth, Lies, and Leadership*, wrote, "We had some great leaders, some crappy leaders, and everything in between."²⁶ Comey's opinion was that leadership and its development were mostly an afterthought in the FBI and his vision was to develop leadership at all levels. Director Comey was fired in May 2017 before he could institute his vision of the "FBI would one day be the government's premier leadership factory" to develop ethical leaders.²⁷

²⁴ Kathleen McChesney and William Gavin, *Pick Up Your Own Brass: Leadership the FBI Way* (Washington, DC: Potomac Books, 2011).

²⁵ McChesney and Gavin, 6.

²⁶ James Comey, *A Higher Loyalty: Truth, Lies, and Leadership* (New York: Flatiron Books, 2018), 129.

²⁷ Comey, 129.

Former SSA Michael Saltz explores leadership traits and competencies needed in a critical incident.²⁸ Saltz's research was not specific to FBI leadership but relevant to all law enforcement agencies. Nevertheless, in the case studies presented in his thesis, the FBI was a key member of the law enforcement responses and investigations. Saltz concludes that leadership during a crisis requires a different skill set and competencies than leadership in day-to-day operations. These crisis leadership skills must be developed through training for leaders to improve their performance.

Reports from the GAO, the DOJ-OIG, and the Intelligence and Judiciary Committees draw the same conclusions; specifically, that the FBI leadership ranks has faced "challenges." These challenges range from the inability of the FBI to transform from a predominately law enforcement organization into a domestic intelligence organization to supervisors not understanding their roles in upholding compliance with the AG's guidelines for domestic FBI operations or FBI policies and procedures. The National Academy of Public Administration best summarizes these challenges by stating, "There is no approved leadership development training program."²⁹ The report further highlights the problem that the FBI does not have a strategy in place to develop successful leaders.

Researchers, Congress, and the media are quick to blame the events on 9/11 for catalyzing the FBI's leadership challenges. However, just months before the attacks, the Senate Judiciary Committee held hearings regarding the lack of American confidence in the FBI. Despite hearings, findings, and generalized beliefs, greater congressional oversight will not address the problems that continue to plague the FBI's leadership ranks.³⁰ All these reports have some common conclusions about the FBI's leadership deficiencies, either explicit or implied. All agree that a leadership problem exists in the ranks of FBI management. No consensus, however, exists on what corrective action is required to mitigate the problem.

²⁸ Michael E. Saltz, "Crisis Leadership and Complex Crises: A Search for Competencies" (master's thesis, Naval Postgraduate School, 2017), <https://www.hsaj.org/articles/14434>.

²⁹ Dick Thornburgh, *Transforming the FBI: Roadmap to an Effective Human Capital Program* (Washington, DC: National Academy of Public Administration, 2005), 42.

³⁰ *Oversight of the FBI: Hearings before the Committee on the Judiciary*, Senate, 107th Cong., 1st sess., 2001, <https://www.govinfo.gov/content/pkg/CHRG-107shrg79609/html/CHRG-107shrg79609.htm>.

B. THE IMPORTANCE OF LEADERSHIP

Regardless of the source, the majority of authors who examine the role of people in organizations agree that good leadership is important. This opinion is nearly universal and does not discriminate between business, nonprofits, or government organizations. What has changed in the last 10 years is the understanding that public and private leadership require different methodologies to make successful leaders. Leadership can be a difficult characteristic to quantify. Poor leadership is easy to criticize but good leadership is challenging to identify and implement in an organization.³¹ An almost endless list of resources espouses the importance of leadership and the dangers of toxic leaders. Jim Collins's book, *Good to Great: Why Some Companies Make the Leap . . . and Others Don't*, outlines how leadership affects an organization's and employee's performance.³² For their book, *The Leadership Challenge: How to Make Extraordinary Things Happen in Organizations*, James Kouzes and Barry Posner researched leadership traits and characteristics of successful leaders and the challenges facing them. Their book explains how these leadership traits enhance the productivity of an organization by improving the workforce performance.³³

Leadership programs are of great importance to any government organization. In "Developing Executive Leadership in the Public Sector," Jeff Turner notes that government leaders face challenges due to high turnover employee rates, changes in policy, competing goals, and mandates put upon the organization.³⁴ The article concludes that absent a program focused on leadership development, the success of every individual is dependent on independent experience and, therefore by happenstance, a good leader is created. Patrick Hughes and Samuel Morgan discuss the importance of leadership training

³¹ Don Vandergriff, *Raising the Bar Creating and Nurturing Adaptability to Deal with the Changing Face of War*, 2nd ed. (Middletown, DE: CreateSpace, 2012).

³² John Collins, *Good to Great: Why Some Companies Make the Leap . . . and Others Don't* (New York: HarperBusiness, 2001).

³³ James Kouzes and Barry Posner, *The Leadership Challenge: How to Make Extraordinary Things Happen in Organizations*, 6th ed. (Hoboken, NJ: Jossey-Bass, 2017).

³⁴ Jeff Turner, "Developing Executive Leadership in the Public Sector," *The Public Manager* 36, no. 4 (Winter 2007): 50–55.

from academy until retirement for police organizations. They discuss Miller study's on combining transformational and transactional leadership training and the positive impact of this training on the public sector. They acknowledge that most departments cannot invest the time or money into leadership development but that the FBI trains local, state, and federal agencies at the Leadership Development Institute.³⁵

Rivka Grundstein-Amado argues for a bilateral transformational leadership approach comprising two essential approaches, the understanding of the public service's mission and the fostering of ethical leadership within the organization's framework.³⁶ Grundstein-Amado espouses two leadership philosophies, transactional and transformational. Transactional leadership promotes compliance of followers through punishment and reward. Transformational leadership, on the other hand, is a collective endeavor encouraging inspiration and a shared vision among leaders and followers of a team.³⁷ The author introduces bilateral transformational leadership where leaders inspire followers to be compliant and more productive. The review of current research about an educational leadership development program would be constructed as a bilateral transformational program. The educational development would focus on the FBI's internal processes to ensure compliance.

In recent years, researchers have moved away from transactional, transformational, and bilateral transformational leadership. According to Davide Orazi, Alex Turrini, and Giovanni Valotti, "researchers and practitioners have more recently shifted their attention

³⁵ Patrick Hughes and Samuel Morgan, "Academy Training to Retirement: Permeating Leadership in Police Organizations," *Journal of Current Issues in Crime, Law and Law Enforcement* 2, no. 4 (2010): 327–333, https://www.researchgate.net/publication/289352618_Academy_training_to_retirement_Permeating_leadership_in_police_organizations.

³⁶ Rivk Grundstein-Amado, "Bilateral Transformational Leadership: An Approach for Fostering Ethical Conduct in Public Services Organizations," *Administration & Society* 31, no. 2 (May 1999): 247–260, <https://journals.sagepub.com/doi/10.1177/00953999922019111>.

³⁷ Grundstein-Amado, 247–260.

toward ‘integrated’ leadership.”³⁸ Integrated leadership is a combination of transformational and transactional leadership styles that increases followers’ motivation, provides clear desired outcomes, and recognizes and rewards high performance and accomplishments. Orazi, Turini, and Valotti conclude that “Integrity oriented leadership style is particularly effective in increasing employees’ work effort in highly bureaucratic settings such as federal or national offices.”³⁹ Integrated leadership allows organizations that have to comply with rules, policy, or laws the ability to improve employee performance.

Most agree that leadership is a pivotal component to any organization’s success, and training is the mechanism to improve leadership skills. One issue all researchers contend with is that leadership is difficult to measure. Little research has been conducted on the most important question of “Do leadership training and development in the public sector improve leader and organizational performance?”⁴⁰ Brett Seidle, Sergio Fernandez, and James Perry analyzed the four popular training methods: a combination of coaching, classroom instruction, 360-degree feedback, and experience. This development process had a decisive effect on the improved capability of leaders. Their analysis revealed a 5.5% increase in an organization’s productivity when that organization invested in leadership training.⁴¹ They conclude that resources spent on a well-designed leadership development program can have a meaningful impact on public-sector agencies. A proposed leadership development educational program will incorporate Orazi, Turrini, and Valotti’s integrated leadership with coaching, classroom instruction, 360-degree feedback, and experience as the training methods.

³⁸ Davide Christian Orazi, Alex Turrini, and Giovanni Valotti, “Public Sector Leadership: New Perspectives for Research and Practice,” *International Review of Administrative Sciences* 79, no. 3 (2013): 486–504, https://www.researchgate.net/publication/258182955_Public_sector_leadership_New_perspectives_for_research_and_practice.

³⁹ Orazi, Turrini, and Valotti, 495.

⁴⁰ Brett Seidle, Sergio Fernandez, and James Perry, “Do Leadership Training and Development Make a Difference in the Public Sector? A Panel Study,” *Public Administration Review* 76, no. 4 (2016): 604, <https://onlinelibrary.wiley.com/doi/10.1111/puar.1253>.

⁴¹ Seidle, Fernandez, and Perry, 603–613.

C. MEASUREMENT FOCUS: EFFECTIVENESS AND EFFICIENCY

Writings regarding ways to improve government effectiveness and efficiency are definitely not lacking. Tad DeHaven's opinion in *Government Efficiency* is an extreme position. DeHaven writes that it takes a political toll when government agencies become more efficient. Moreover, the cost of government is set by the government regardless of the value citizens place on the service.⁴² Steve Goodrich, CEO of the Center for Organizational Excellence, and vice chair of the Government Transformation Initiative, wrote, "5 Things Leaders Can Do Right Now to Make Government More Efficient." Goodrich offers, "inefficiencies among federal organizations border on the absurd. He also provides the five actions leaders can implement to improve an organization as: (1) prioritize management and operations, (2) incentivize agency leaders, (3) hold executives and managers accountable, (4) assess programs, and (5) do things right."⁴³

Teresa Curristine, Zsuzanna Lonti, and Isabelle Joumard examined key factors to improving efficiency in the public sector. The authors conducted research seeking to enhance public sector efficiency in Organization for Economic Co-operation and Development (OECD) countries. They acknowledge the lack of a blueprint for improving public sector efficiency but conclude that many of the OECD countries utilize performance information (PI). With PI, budgetary decisions are no longer made based on how much money an organization receives but instead focuses on what an organization can achieve with the received monies. PI also takes into consideration the ever-present challenge of collecting quality information and the hurdles to measuring an organization's activity schedule and rate.⁴⁴ With this financial view, PI provides focus with an emphasis on evaluating the most comprehensive, accurate information available with the end goal of achieving positive results.

⁴² Tad DeHaven, "Government Efficiency," *CATO Institute* (blog), September 3, 2010, <https://www.cato.org/blog/government-efficiency>.

⁴³ Steve Goodrich, "5 Things Leaders Can Do Right Now to Make Government More Efficient," *Government Executive*, May 2, 2014, <https://www.govexec.com/management/2014/05/5-things-leaders-can-do-right-now-fix-government-inefficiency/83593/>.

⁴⁴ Teresa Curristine, Zsuzanna Lonti, and Isabelle Joumard, "Improving Public Sector Efficiency: Challenges and Opportunities," *OECD Journal on Budgeting* 7, no. 1 (2007): 1–40, <https://www.oecd.org/gov/budgeting/43412680.pdf>.

Efficiency and effectiveness have also been addressed in the law enforcement sector of government. Julia West's analysis of the report, *Risk Management in Law Enforcement: Discussions on Identifying and Mitigating Risk for Officers, Departments, and the Public*, wrote that law enforcement could improve efficiency and improve community relations by reducing risk.⁴⁵ West states that the public's trust in law enforcement and the failure to mitigate officer misconduct may lead to deteriorating community and police relations.

D. THE USE OF THE BALANCED SCORECARD

In 1997, the Swedish National Police Board, the governing body over Swedish law enforcement, conducted a review to assess the performance of the agency and a program of performance measurements. Salvador Carmona and Anders Grönlund's, "Measures vs Actions: The Balanced Scorecard in Swedish Law Enforcement," examines the effectiveness and efficiency of law enforcement.⁴⁶ The study included the use of the BSC to measure the performance in policing and develop a performance framework. Some of the data used were quantitative indicators of success, such as violent crime, drug crime, and road traffic data, as well as citizen and employee perspectives. Carmona and Grönlund's research identified concerns regarding the BSC's ability to develop performance indicators in police work. Carmona and Grönlund state, "(O)ur results indicate that the implementation of the balanced scorecard at Swedish Law Enforcement experienced problems with measurement of performance metrics and aggregation data."⁴⁷

Carmona and Grönlund conclude that police performance measured through a traffic light system of red, yellow, and green, while widely accepted to measure

⁴⁵ Collen Copple and James Copple, *Risk Management in Law Enforcement: Discussions on Identifying and Mitigating Risk for Officers, Departments, and the Public* (Washington, DC: Office of Community Oriented Policing Services, 2018); Julia West, "Reducing Risks in Law Enforcement: How to Increase Efficiency and Improve Community Relations?," Homeland Security Digital Library, October 29, 2018, <https://www.hSDL.org/c/reducing-risks-in-law-enforcement-how-to-increase-efficiency-and-improve-community-relations/>.

⁴⁶ Salvador Carmona and Anders Grönlund, "Measures vs Actions: The Balanced Scorecard in Swedish Law Enforcement," *International Journal of Operations & Production Management* 23, no. 12 (2003): 1475–1496, doi:10.1108/01443570310506722.

⁴⁷ Carmona and Grönlund, 1491.

performance, is not able to capture the diverse variety of policing. The implication of the BSC did provide insight into the stakeholder's perspective and brought awareness to meet the expectations of those constituents.

Thomas Albright, Chad Gerber, and Paul Juras's article, "How Naval Aviation Uses the Balanced Scorecard," shows the challenges leaders have matching organizational strategy to operational performance and how the BSC brings the two together.⁴⁸ They state an organization must invest in the learning perspective to improve the internal process. While Naval Aviation uses the standard stoplight chart of green, yellow, and red for mission capability, other factors, such as personnel, equipment, and training, are factors in this performance matrix. Ultimately, the Navy's aviation commander is primarily concerned about the war-fighting capability and equipment to accomplish the mission. Albright, Gerber, and Juras drew three conclusions from the use of the BSC. One is the value of inspections when they state, "Inspections can be value-added, and, in our scenario, inspection results are considered learning and growth activities because of the significant teaching and mentoring that occur as part of the inspection process."⁴⁹ Second, when using the BSC for not-for-profit organizational, financial, and customer perspectives, they may need to be redefined. Lastly, an internal process is determined by an organization's deliverables. The learning and growth perspective is how an organization improves the internal process.

In 2004, the Committee to Review Research on Police Policy and Practices published the *Fairness and Effectiveness in Policing: The Evidence* report.⁵⁰ This comprehensive two-year study focused on the fairness and effectiveness of police activities over three decades of studies and collected data. The purpose of the study was to determine the effectiveness of four police methods in the United States as it related to police activities in crime reduction, disorder, and fear of crime. Despite the extensiveness of the study, the

⁴⁸ Thomas Albright, Gerber Chad, and Paul Juras, "How Naval Aviation Uses the Balanced Scorecard," *Strategic Finance*, October 2014.

⁴⁹ Albright, Chad, and Juras, 28.

⁵⁰ Wasly Skogan and Kathleen Fryall, eds., *Fairness and Effectiveness in Policing: The Evidence* (Washington, DC: The National Academics Press, 2004), <https://www.nap.edu/read/10419/chapter/1>.

committee recognized, “It is important to note that there is much about police practice and its effectiveness that is still unknown.”⁵¹ The committee concluded that the body of its research showed problem-oriented policing and the targeting of specific criminal activity policing was an effective approach. The committee further noted that uniformed standard practice and community policing generally were not effective police approaches.

Sharon Caudle’s article, “Balanced Scorecard: A Strategic Tool in Implementing Homeland Security Strategies,” shows how the BSC can be used as a strategy development tool for a single organization, as well as the homeland security enterprise as a whole.⁵² Caudle’s article reviews the use of the BSC and its use for a public organization in homeland security. Ranjay Gulati, Ryan Raffaelli, and Jan Rivkin’s working paper of “Does ‘What We Do’ Makes Us ‘Who We Are’?, Organizational Design and Identity Change at the Federal Bureau of Investigation,” examines how the FBI implemented the BSC to transform the agency post-9/11.⁵³ This paper researched how the FBI utilized Kaplan and Norton’s BSC to transform the design of the agency following the 9/11 attacks. The FBI management used the BSC to alter the “design and identity of the FBI from those of a law enforcement agency to those of a national security organization.”⁵⁴

E. LEADERSHIP DEVELOPMENT PROGRAMS

Leadership development for both the public and private sectors attracts a lot of attention. The topic produces vast amounts of literature complete with authors’ research findings, thoughts, and recommendations. In 2012, David Wedlick’s doctoral thesis researched the impact of a leadership development training course for law enforcement at the middle management level. Wedlick’s research concluded that middle management law enforcement in the New York Police Department (NYPD), specifically at the lieutenant rank, were able to perform their jobs adequately without formalized training. Wedlick

⁵¹ Skogan and Fryall, 247.

⁵² Sharon Caudle, “Balanced Scorecard: A Strategic Tool in Implementing Homeland Security Strategies,” *Homeland Security Affairs* 4, no. 3 (2008).

⁵³ Gulati, Raffaelli, and Rivkin, “Does ‘What We Do’ Make Us ‘Who We Are’?”

⁵⁴ Gulati, Raffaelli, and Rivkin, 2.

highlights that middle management within the NYPD are able to draw heavily on a mandatory first line supervisor course. He states, “Even though this training occurred several years in the past, they still refer back to the knowledge gained as a first line supervisor.”⁵⁵ Wedlick underscores the crucial importance of leadership in law enforcement and warns that insufficient leadership can have significant negative consequences for an agency.

The National Cooperative Highway Research Program (NCHRP) conducted research to address deficiencies in the United States’ Department of Transportation (DOT) agencies customer service demands, financial constraints, and employee issues. The study considered 25 state programs and seven private-sector leadership programs to determine the optimal program for recommendation. The purpose was to determine how to prepare a leadership curriculum by stating, “Such leaders must be able to take agencies with modest financial resources, constrained staffing levels, and increasingly complex legal issues and transform them into operational systems that give exceptional customer service.”⁵⁶ NCHRP examined several private-sector development programs to determine if any of the private-sector approaches could be assimilated into the United States’ DOT. They reviewed General Electric, Home Depot, Lockheed Martin, and Johnson & Johnson leadership development programs and noted commonalities, such as:

- Leadership is fundamental to the future company’s profitability.
- Leadership development programs within private companies are structured, have defined objectives, involve specific activities, and almost always include skill assessments and development plans.
- Private companies start early with development leaders.
- Private companies use a variety of classroom and on-the-job training to develop the desired skills in future leaders.⁵⁷

⁵⁵ David Wedlick, “Leadership Development Training: Its Impact on Middle Managers in Law Enforcement” (master’s thesis, St. John Fisher College, 2012), 8, https://fisherpub.sjfc.edu/cgi/viewcontent.cgi?referer=https://scholar.google.com/&httpsredir=1&article=1108&context=education_etd.

⁵⁶ National Cooperative Highway Research Program, *Developing Transportation Agency Leaders: A Synthesis of Highway Practice*, NCHRP Synthesis 349 (Washington, DC: Transportation Research Board, 2005), 3, <https://www.nap.edu/read/23300/chapter/1>.

⁵⁷ National Cooperative Highway Research Program, 29.

The NCHRP report concluded that the private-sector leadership programs provide an excellent model. Such private-sector leadership programs models were considered an investment in the future profitability and not a drain of funds. The NCHRP also concluded that these leadership development concepts were not limited to the state transportation agencies but to all public-sector organizations. As private companies, such as General Electric, Home Depot, Lockheed Martin, and Johnson & Johnson, invest resources of time and money to develop the individual to improve the organization while government tends to restructure or create a new office.

The research by Carolin Abrell et al.'s "Evaluation of a Long-term Transformational Leadership Development Program" examined the results of leadership development programs.⁵⁸ A sample group of 25 leaders participated in a transformation leadership development program, which included leadership feedback, education, and coaching. The transformational experiment group received five two-day leadership development trainings and then one follow-on session every three months. The results showed a modest improvement in the subordinates' and the supervisory rating officials' assessments of individuals in leadership positions. Continued follow up polling demonstrated that the results showed an improvement that increased steadily over time. This study did not have a control group for the comparison of data.

Sheri-Lynne Leskiw and Parbudyal Singh researched the best practices that practitioners used in the development of a leadership development program. "Leadership Development: Learning From Best Practices" documents the findings that result in an effective leadership development program. Their research of best practices recognized six key factors vital for a program's success:

- Needs assessment
- Audience selection

⁵⁸ Carolin Abrell et al., "Evaluation of a Long-Term Transformational Leadership Development Program," *Rainer Hampp Verlag* 25, no. 3 (2011): 205–224, <https://www.econstor.eu/bitstream/10419/70985/1/737598875.pdf>.

- Supporting infrastructure in place
- Develop a learning system
- Evaluate effectiveness
- Reward success and improve on deficiencies⁵⁹

For the organization to develop an effective program, clear objectives linked to the organization's priorities must be included. Deliberate planning is critical to the program's development "rather than just putting development programs in place piecemeal and *ad hoc* manner."⁶⁰

The organization also must select who will participate in the program and ensure the proper structure is in place to manage the leadership development program. Once the structure is in place, the program must be developed. The research suggests traditional theory-based classroom lectures are being replaced with "different modes of learning in leadership development, including action-based learning, simulations, mentoring and so on."⁶¹ Action learning is described when an organization's real-time problems are tackled.

Based on past research, multiple methods are available to include daily evaluations, end of course evaluations, learning surveys, and climate surveys to evaluate the effectiveness of a leadership development program.

The final part of the six-key best practices noted previously is celebrating the success of the leadership program. The leadership program must be tied to improvements in implemented leadership improvement programs. The organization should reward the participants by public recognition, such as a graduation ceremony. This recognition helps

⁵⁹ Sheri-Lynne Leskiw and Parbudyal Singh, "Leadership Development: Learning from Best Practices," *Leadership & Organization Development Journal* 28, no. 5 (2007): 444-464, <https://www.semanticscholar.org/paper/Leadership-development%3A-learning-from-best-Leskiw-Singh/358337fffb3bf30078f7e865bfc202500634918c?p2df>.

⁶⁰ Leskiw and Singh, 447.

⁶¹ Leskiw and Singh, 454.

the entire organization embrace the program, which allows continuous feedback and evaluation of the program leading to future improvements.

The whole purpose of a leadership development program is to improve the organization's output. In the private sector, it means increased profits. In the public sector, it means improved accomplishment of the organization's objectives. Learning from best practices, leadership development programs need to be aligned with the organization's priorities. When evaluating the leadership program, four questions should be answered:

Is the organization better able to fill key leadership roles when needed?

Is the organization building managerial commitment to the organization's strategic direction?

Do managers behave more strategically?

Are inter-company efforts more coordinated because business leaders now understand how other businesses and locations function?⁶²

The IBM Center for the Business of Government provides a solution concerning the agency-based leadership development program. In this study, *Preparing the Next Generation of Federal Leaders: Agency-Based Leadership Development Programs*, it emphasizes the importance and benefits of a sustained leadership development program. The study examined four successful federal agency-based leadership development programs and the best practices. The researchers state, "In an era of rapid and disruptive change these agency-based programs become even more important because federal leaders must be prepared to effectively and efficiently administer government products and services on behalf of the American taxpayer."⁶³ These case studies programs are considered positive examples by the organization. The study does acknowledge that empirical data is lacking to demonstrate a return on investment. In other words, the long-

⁶² Leskiw and Singh, 457–458.

⁶³ Gordon Abner et al., *Preparing the Next Generation of Federal Leaders: Agency-Based Leadership Development Programs* (Washington, DC: IBM Center for the Business of Government, 2019), 6, <https://www.businessofgovernment.org/sites/default/files/Preparing%20the%20Next%20Generation%20of%20Federal%20Leaders.pdf>.

term effectiveness of these trainings is missing. The study encourages continued monitoring of the training in an effort to capture the missing data.

Kim James of Cranfield School of Management also completed a literature review of the best practices of both public and private sectors in *Leadership and Management Excellence; Corporate Development Strategies*, which was prepared for the leadership development, “Best Guide for Organizations Project for the Council for Excellence in Management and Leadership.”⁶⁴ Cranfoeld reviewed two decades of Warren Bennis’ leadership writings and refuted Bennis’ “transformatory” leadership conclusions. James researched the published leadership development cases from the Shell Learning Center, Motorola’s Vice President Institute, Aramark Executive Leadership Institute, PepsiCo, and other companies. Instead, he firmly supports transactional leadership. James found that companies identify “best practices,” utilize the leadership development courses to train individuals on the expected best practices, and work on the organizations’ real-time problems. These companies view leadership development both as a learning process to manage challenges, as well as an opportunity to align the organizations’ strategies better.

The previously summarized sources all identify leadership as a key component of an organization’s success. The sources discussing the FBI concluded that the FBI’s leadership is lacking in critical areas. The literature uses past events and emergencies to highlight shortcomings but offers little in the area of specific actions that can be implemented to prevent future failures. Some authors recommend broad sweeping measures, such as testing and advanced degrees in education as criteria for advancement into leadership positions, while others rely on happenstance in creating good leaders. Most authors agree that training is crucial for a leader’s success but stop short of identifying the specific areas that need to be addressed to ensure an individual’s ability to inspire, motivate, and propel a team of individuals forward. Considering all the available literature that underscores the importance of leadership and the singular burden hoisted by the FBI’s leaders as the front-line responders to all federal criminal, domestic intelligence, and

⁶⁴ Kim James, *Leadership and Management Excellence; Corporate Development Strategies* (Cranfield, United Kingdom: Cranfield School of Management, 2000), <http://citeseerx.ist.psu.edu/viewdoc/download?doi=10.1.1.601.8973&rep=rep1&type=pdf>.

terrorism investigations, this thesis proposes a training curriculum focused on targeting the areas in which the FBI's leadership receives the lowest scores from the people who know it best, the FBI's employees.

The academic research concerning leadership development programs is consistent regarding the increased results. The academic community also researched the best methods to utilize for organizations to develop such programs. The research showed leadership that development programs worked. The U.S. military and law enforcement organizations have embraced leadership educational development programs and have implemented such programs. If the FBI were to develop a program, the BSC could be used to identify the areas to be addressed in such a program.

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III. THE BALANCED SCORECARD AS A CONCEPTUAL MODEL

Since the 9/11 terrorist attacks, the FBI has been the subject of much criticism. The 9/11 Commission Report led to sweeping changes to the organization's structure, operational procedures, and investigative priorities.⁶⁵ Significant increases in the number of employees working for the FBI are examples of such changes. In 2000, the FBI had just over 27,241 employees, and in 2020, more than 35,500.⁶⁶ Likewise, during this same time period, the FBI's budget ballooned from \$2.29 billion in 2000 to \$9.03 billion in 2019.⁶⁷ These type of drastic changes are some of the factors that contributed to the breakdown in the FBI's leadership development. The effect of this breakdown in leadership's capabilities and abilities has resulted in negative summations in DOJ IG reports, a downward spiral in the public's opinion of the FBI, and less than satisfactory ratings in the FBI's employee climate surveys. This paper uses the BSC as a conceptual framework to evaluate the current performance of the FBI in terms of its leadership programs and the manner in which a leadership educational program can address these concerns. The BSC was utilized for being recognized in both the private and public sector as a management planning framework. The United States Office of Personnel Management (OPM) and the National Partnership for Reinventing Government (NPR) used the SBC as a means to improve and organize performance.⁶⁸ The NPR was established by the Clinton-Gore Administration and was initiated to bring reform to the government. The NPR's mission was for the government to

⁶⁵ The National Commission on Terrorist Attacks upon the United States, *The Final 9/11 Commission Report The National Commission on Terrorist Attacks upon the United States* (Washington, DC: The National Commission on Terrorist Attacks upon the United States, 2004).

⁶⁶ Office of the Inspector General, *The Internal Effects of the Federal Bureau of Investigation's Reprioritization*, Audit Report 04-39 (Washington, DC: Office of the Inspector General, 2004), <https://oig.justice.gov/reports/FBI/a0439/ch2.htm>.

⁶⁷ "FY 2020 Budget Request at a Glance," Federal Bureau of Investigation, accessed May 10, 2020, <https://www.justice.gov/jmd/page/file/1142426/download>.

⁶⁸ Kaplan and Norton, "The Balanced Scorecard."

“work(s) better, cost(s) less, and get(s) results America cares about.”⁶⁹ The NPR utilized the BSC to accomplish this mission.

The BSC is a methodology that uses a comprehensive management approach that bridges strategic long-term goals in terms of immediate action planning. The BSC can be used to help match the organization’s mission and priorities via a coherent performance measurement system. To do so, the BSC uses four critical perspectives: financial, customer, internal business process, and learning and growth, as shown in Figure 1. For the purposes of this study, the BSC is utilized to develop a leadership education development program specific to three levels of leadership: first line supervisor, mid-management, and the senior executive ranks.⁷⁰ The BSC is not a quick fix but a methodical-development tool that can be applied throughout an organization. It provides a “more transparent the process of assessing if there are gaps, duplication, or overlaps in initiatives and capabilities to implement strategy.”⁷¹ The BSC verifies the setting of goals and targets with appropriate weighting that recognizes the interdependence of the four critical perspectives and ensures that an improvement in one particular performance measure does not occur at the expense of the other measures.⁷²

⁶⁹ John Kamensky, *A Brief History* (Washington, DC: National Partnership for Reinventing Government (formerly the National Performance Review), 1999).

⁷⁰ Heinz Ahn, *Applying the Balanced Scorecard Concept: An Experience Report*, Long Range Planning, vol. 34 (Oxford: Pergamon, 2001), 444.

⁷¹ Caudle, “Balanced Scorecard,” 14.

⁷² Bernard Marr, “Balanced Scorecard as a Leadership Tool,” Bernard Marr & Co., 2021, <https://bernardmarr.com/default.asp?contentID=1470>.

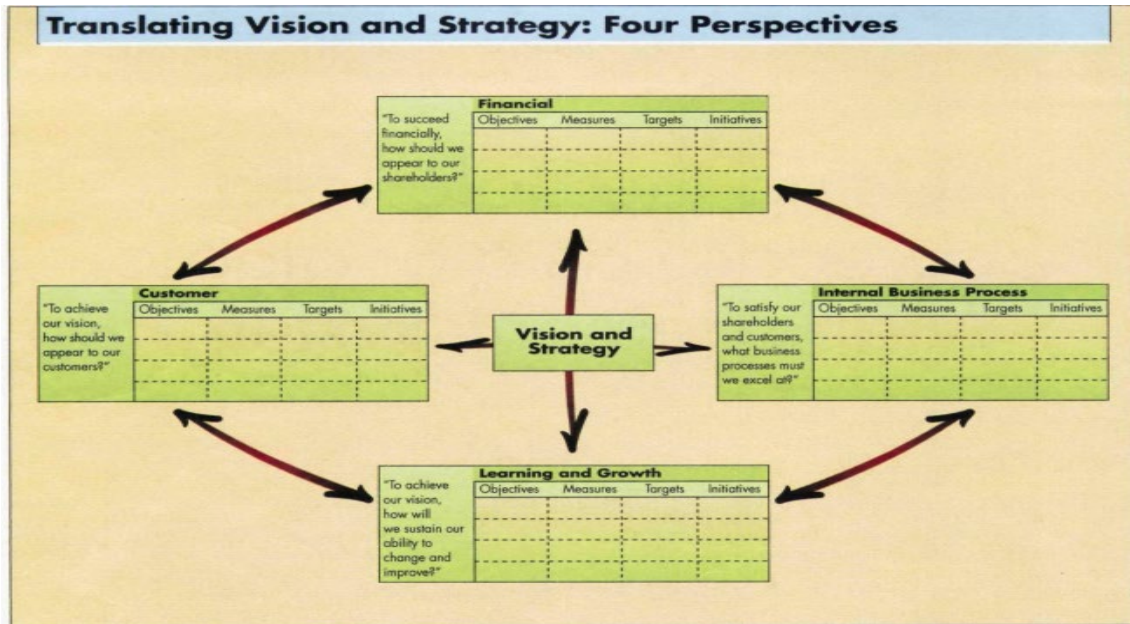


Figure 1. Kaplan and Norton Balanced Scorecard Framework.⁷³

According to a Bain & Co. study, 44% of companies in Northern America use the BSC. A 2004 Hackett research study stated, “world-class companies are 159% more likely than typical companies to have mature BSCs in place.”⁷⁴ This same research concluded the use and application of the BSC separated the highly successful from the less successful companies. The less successful companies had two commonalities. The first is placing too much emphasis on historical financial information. The second commonality that less successful companies shared is the number of metrics being reported to senior management. The study concluded that the less successful companies typically reported 132 metrics, roughly nine times more than recommended by the BSC concept.⁷⁵

⁷³ Source: Kaplan and Norton, “The Balanced Scorecard.”

⁷⁴ Bernard Marr, “Balanced Scorecard: How Many Companies Use This Tool?” Bernard Marr & Co., 2019, <https://bernardmarr.com/balanced-scorecard-how-many-companies-use-this-tool/>; The Hackett Group, “Most Executives Are Unable to Take Balanced Scorecards,” 3.

⁷⁵ Marr.

A. CUSTOMER PERSPECTIVE

The most effective weapon against crime is cooperation...The efforts of all law enforcement agencies with the support and understanding of the American people.

—J. Edgar Hoover

The customer perspective measures how well the organization is meeting the expectations of the customer. In the business world, the customer perspective can be evaluated by financial success. As part of the federal government, the FBI is part of the public sector and does not operate a for-profit model. The FBI's historical financial information is captured by the yearly budget allotted to it by Congress. A review of the FBI's use of its prior budget allocations is beyond the scope of this paper, but it is important to note that the FBI must be able to demonstrate good stewardship of its \$9.36 billion-dollar budget.⁷⁶ The FBI is the federal government's primary investigatory agency. It has a broad base of investigative responsibilities that include counter terrorism, counter intelligence, cyber, and criminal violations. The FBI is a vital component of the government's homeland security apparatus and, as such, should be "measured by how effectively and efficiently they meet the need of their constituencies."⁷⁷ The FBI has two main customers, the American citizens, and other law enforcement agencies. The customer perspective alone might not provide the clearest vision on the organization's performance. Congress has oversight and funding responsibilities. FBI employees are significant stakeholders, and therefore, should also be considered.

1. The American People

The American public, the very community that the FBI was formed to protect and serve, increasingly signaled a distrust in the organization based on various polls and media

⁷⁶ Christopher Wray, *Statement before the House Appropriations Committee, Subcommittee on Commerce, Justice, Science, and Related Agencies Washington, D.C., FBI Budget Request for Fiscal Year 2020* (Washington, DC: Federal Bureau of Investigation, 2019), <https://www.fbi.gov/news/testimony/fbi-budget-request-for-fiscal-year-2020>.

⁷⁷ Kaplan and Norton, "The Balanced Scorecard."

reports.⁷⁸ The most recent Gallup poll, conducted in May 2019, shows that the American people are conflicted on the FBI's performance.⁷⁹ Although this poll shows the American people believe that the FBI is performing excellent/good at a near 15-year record high at 57%, this poll also shows that more Americans distrust the FBI. According to the American people, 43% of those polled believe that the FBI is performing only fair/poor, which is a 14-year record low. Furthermore, 19% of those polled feel that the FBI is performing poor, which is the lowest rating possible and a record since the poll's inception, as illustrated in Figure 2. Headline news articles, such as, "Court Finds FBI Use of NSA Database Violated Americans' Fourth Amendment Rights," and *Time* magazine's, "The FBI Is in Crisis. It's Worse than You Think," and the *Wall Street Journal's* "DOJ Examines Whether FBI Officials Acted Inappropriately by Attending Dodgers Game," are likely significant factors contributing to Americans' poor perception of the organization.⁸⁰

⁷⁸ Lichtblau, "The FBI Is in Crisis."

⁷⁹ Younis, "FBI's Positive Job Rating Steady among Americans."

⁸⁰ Steven Musil, "Court Finds FBI Use of NSA Database Violated Americans' 4th Amendment Right," CNET, October 8, 2019, <https://www.cnet.com/news/court-finds-fbi-use-of-nsa-database-violated-americans-fourth-amendment-rights/>; Lichtblau, "The FBI Is in Crisis"; Dan Frosch and Aruna Viswanatha, "DOJ Examines Whether FBI Officials Acted Inappropriately by Attending Dodgers Game," *Wall Street Journal*, updated June 27, 2019, <https://www.wsj.com/articles/doj-examines-whether-fbi-officials-acted-inappropriately-by-attending-dodgers-game-11561629603>.

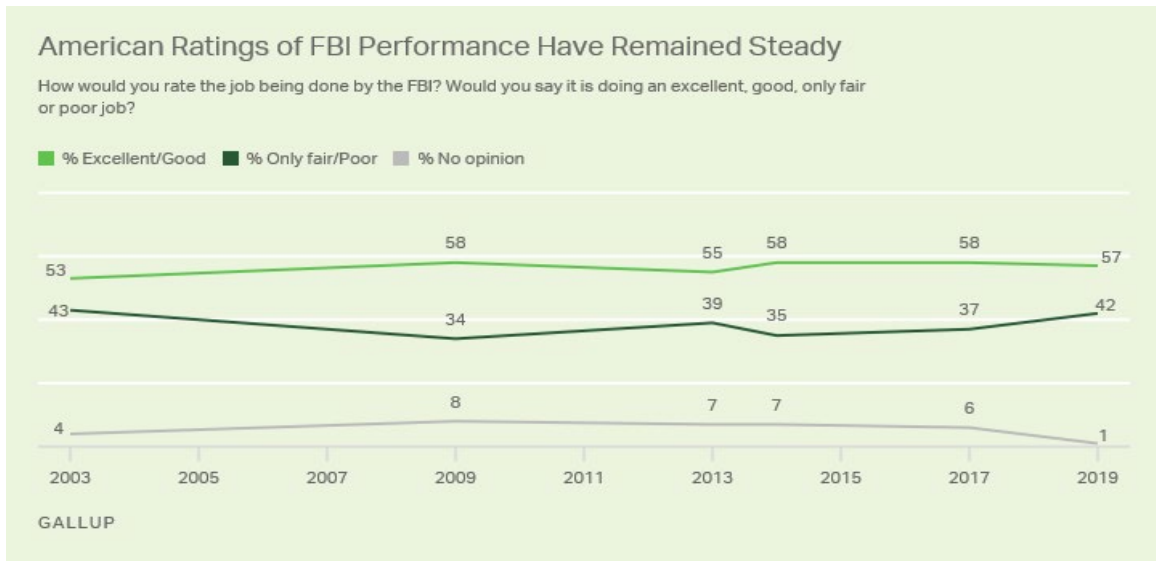


Figure 2. Gallup Poll 2003–2019.⁸¹

Historically, the FBI had enjoyed a favorable reputation with the American people. In 1965, the FBI had an 84% approval rating. In 1971, however, an investigation by the Senate Intelligence Committee into the FBI determined that the FBI overstepped some of its investigative powers and abused some of its available investigative resources. The investigation’s findings severely damaged the Bureau’s reputation. By 1975, the FBI’s approval rating dropped just to 37%, as seen in Figure 3. This poll was the last one taken regarding the favorability of the FBI until just prior to the 9/11 attacks. A July 2001 Gallup poll showed that while seven out of 10 Americans viewed the FBI favorably, only 27% viewed the FBI as “very favorable.” Although the overall poll was positive, this same poll showed that 24% of Americans viewed the FBI as “unfavorable.”⁸² A May 2001 Gallup poll, regarding America’s confidence in the FBI, highlights that only 38% of Americans had “a great deal” or “quite a lot” of confidence in the FBI.

⁸¹ Source: Younis, “FBI’s Positive Job Rating Steady among Americans.”

⁸² Darren Carlson, *Americans Still Have Moderately Favorable Opinion of FBI* (Washington, DC: Gallup News Service, 2001).

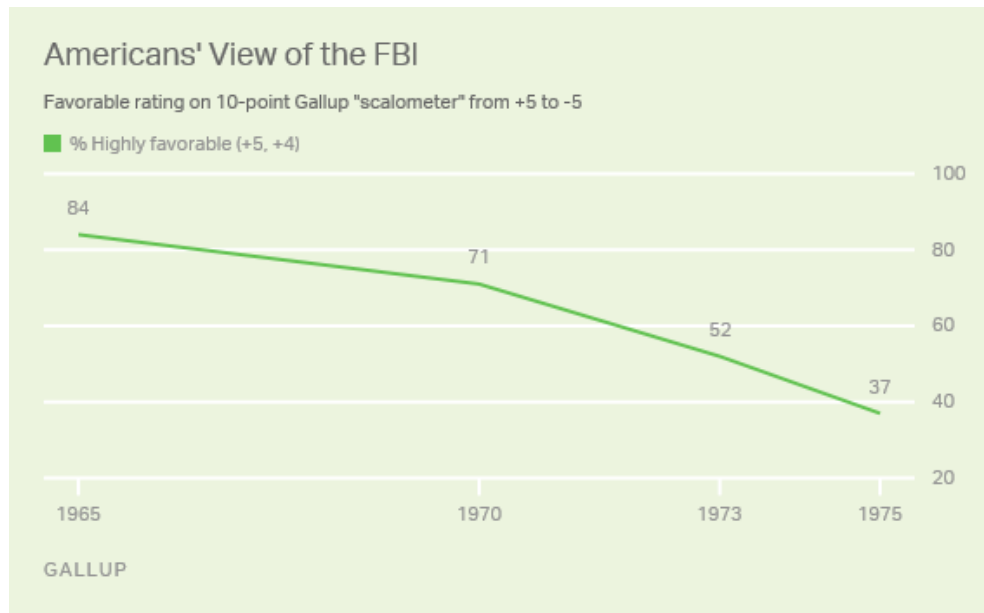


Figure 3. Gallup Poll 1965–1975.⁸³

The May 2001 poll capturing Americans' loss of confidence in the FBI coincided with the FBI's announcement that it failed to produce more than 3,000 documents for the trial of Timothy McVeigh who was accused of bombing the Alfred P. Murrah Federal Building in Oklahoma City in 1995. Attorney General Ashcroft was forced to order a 30-day stay of execution to allow McVeigh's defense lawyers time to review the documents. Regarding the 30-day stay, Attorney General Ashcroft stated, "If any questions or doubts remain about this case, it would cast a permanent cloud over justice, diminishing its value and questioning its integrity."⁸⁴ The FBI's investigation of high-profile crimes, such as the domestic terrorism act carried out by McVeigh, demonstrated flaws in the organization's ability to respond seamlessly to the needs of the American people. As a result, these flaws damaged the public's perception of an organization expected to perform as a well-oiled machine. Since 2001, the FBI's highest approval and confidence rating has not exceeded 57% in polls.

⁸³ Source: Art Swift, *Gallup Vault: In 1975, an FBI under Fire* (Washington, DC: Gallup News Service, 2016), <https://news.gallup.com/vault/197075/gallup-vault-1975-fbi-fire.aspx>.

⁸⁴ Nancy Gibbs, "Botching the Big Case Missing Documents Surface, McVeigh's Execution Is Delayed, and the FBI Is Left Scrambling to Explain Its Latest Fiasco," *Time*, May 21, 2001, <http://content.time.com/time/world/article/0,8599,2056157,00.html>.

The FBI's loss of prestige and public confidence has had a long-term impact on the Bureau's ability to conduct top tier investigations effectively and attract the best possible talent to its pool of special agents. The Bureau has reported a stark decline in applicants for its available special agent positions. In 2009, the FBI received 68,500 applicants from individuals interested in pursuing a career as an FBI special agent. In 2019, that number dropped to 11,500 applications.⁸⁵ A possible, non-salary driven explanation for this nosedive in applications could be the events that shook the top leadership ranks of the Bureau in 2017 and 2018.⁸⁶ Over the course of two years, the Bureau sustained the continued loss of disgraced, upper tier management who had acted in a manner that did not align with the FBI's mission and promise to the American people. Top leadership's exposed actions undoubtedly cast a shadow on the organization and diminished the prestige and appeal of becoming a special agent.

2. Other Law Enforcement Agencies Relationships

Over the last two decades, the FBI has improved its relationships with local, state, and federal law enforcement agencies. Under FBI Director Mueller, the FBI's relationship with local, state, and federal agencies became a top priority. In March 2003, the FBI established the Office of Law Enforcement Coordination (OLEC), whose mission was to establish and maintain this relationship.⁸⁷ As the FBI was reprioritizing following the 9/11 attacks, during the 2005 Office of the Inspector General report, it was believed a positive impact was made because the "Director's emphasis on establishing cooperative efforts with

⁸⁵ Aruna Visvanathan and Bryon Tau, "FBI's Most Wanted: More Applicants for Special Agents; Tight Labor Market Has Forced the Bureau to Double Down on Recruitment Efforts," *Wall Street Journal*, updated June 27, 2019, <https://www.wsj.com/articles/doj-examines-whether-fbi-officials-acted-inappropriately-by-attending-dodgers-game-11561629603>; "CEOs, Physicists and School Therapists are Encouraged to Apply," *Wall Street Journal*, February 24, 2019, Proquest.

⁸⁶ Michael Shear and Matt Apuzzo, "F.B.I. Director James Comey Is Fired by Trump," *New York Times*, May 9, 2017, <https://www.nytimes.com/2017/05/09/us/politics/james-comey-fired-fbi.html>; Amber Phillips, "So Why Exactly Did Andrew McCabe Get Fired?" *Washington Post*, March 19, 2018, <https://www.washingtonpost.com/news/the-fix/wp/2018/03/19/wait-why-exactly-did-andrew-mccabe-get-fired/>.

⁸⁷ Office of the Inspector General, Audit Division, *The External Effects of the Federal Bureau of Investigation's Reprioritization Efforts*, Audit Report 05-37 (Washington, DC: Department of Justice, 2005), <https://permanent.fdlp.gov/lps67147/lps67147.pdf>.

members of the law enforcement community.”⁸⁸ The OLEC is only one reason why the FBI’s reputation among local, state, and federal law enforcement agencies has improved.

The FBI as an organization is also beholden to a third category of customers, its employees, or stakeholders. The organization must engage its workforce as determinedly as it does the American people and Congress. Ultimately, the stakeholders are the individuals who can make or break the FBI as an organization. The stakeholders’ perceptions of the FBI directly impact their willingness to go “above and beyond” when a crisis and emergent situation require long hours away from home and families. The stakeholders are the first to feel the burden of poor leadership since the stakeholders are those on the front lines responding to calls for involvement in an investigation.

B. STAKEHOLDERS

When utilizing the BSC for a not-for-profit organization, the current customer perspective might not provide a complete understanding of the inputs on the organization’s performance. A stakeholder is a person or organization with a vested interest in the performance of the organization. The next section examines how Congress and FBI employees perceive the FBI.

1. Congress

The legislative branch has implied powers from the U.S. Constitution to provide oversight of the executive branch and eight Congressional committees provide regular oversight of FBI operations.⁸⁹ As Chuck Grassley, Chairman, Senate Judiciary Committee explains, “This important investigatory role includes the review, monitoring, and close scrutiny of federal agencies, programs, activities, and policy implementation.”⁹⁰ This essential process is to ensure the federal government is held accountable to the people and

⁸⁸ Office of the Inspector General, Audit Division, 103.

⁸⁹ “Checks and Balances on the FBI,” Federal Bureau of Investigation, October 4, 2004, https://archives.fbi.gov/archives/news/stories/2004/october/responding_100404.

⁹⁰ Chuck Grassley, “The Importance and Responsibility of Congressional Oversight” (presentation, The Heritage Foundation, Washington, DC, June 25, 2018), <https://www.heritage.org/event/the-importance-and-responsibility-congressional-oversight>.

to assist legislators making new policy decisions. Today, three commonly accepted reasons for Congress to hold an oversight hearing are considerations for pending legislation, investigating a current issue that requires future legislation, and oversight and investigation of federal programs.⁹¹

Months prior to the 9/11 attacks, the Senate’s Committee on the Judiciary was conducting hearings on, as Chairman Leahy stated, “(A)n erosion of public trust threatens the FBI’s ability to perform its mission.”⁹² Since 9/11, the Congressional Oversight hearings have been seemingly continuous to include the review of the FBI’s misuse of exigent letters, the audit of the Terrorist Watchlist Process, the FBI’s handling of the 2016 elections and its investigation into the possibility of foreign influence, the Hillary Clinton email investigation, and the Crossfire Hurricane investigation. The hearings serve two stated purposes, identify the problems, and develop solutions to implement change. A common bipartisan theme in all these hearings is the continued call for greater Congressional oversight of the FBI. A common theme can be concluded that Congress is not comfortable with the FBI’s performance and believes that it is necessary to provide further instructions and guidance to shore up the FBI’s investigative efforts.

In 2003, for example, the Senate Judiciary Committee conducted a comprehensive oversight hearing regarding the FBI’s Foreign Intelligence Surveillance Act of 1978 (FISA) implementation failures. This hearing was the first of this kind in nearly 20 years. According to its conclusion, “systemic problems plaguing the FBI” required comprehensive reform and closer oversight by Congress.⁹³ The committee believed that with the proper oversight, the FBI could take corrective actions, and with closer scrutiny, these problems would not occur in the future. The final opinion of the Senate Judiciary resulting in the oversight investigation “has reinforced the conclusion that the FBI must improve in the most basic aspects of its operations.”⁹⁴ The committee noted two

⁹¹ “Investigations & Oversight,” History, Art & Archives, accessed March 30, 2020, <https://history.house.gov/Institution/Origins-Development/Investigations-Oversight/>.

⁹² S., *Oversight of the FBI: Hearings before the Committee on the Judiciary*, 3.

⁹³ S., *Oversight of the FBI: Hearings before the Committee on the Judiciary*, 1.

⁹⁴ S., *Oversight of the FBI: Hearings before the Committee on the Judiciary*, 3.

observations that played key factors in these failures. The one pertinent to this paper was that the committee found that special agents in key positions did not have the adequate necessary training.⁹⁵ FBI Director Wray responded by stating:

It goes to the heart of whether or not the Bureau is following its processes, and the rules, and the guidelines, and adhering to the independence, and objectivity, and professionalism that we all come to expect and respect from the FBI. And I think the best way I can validate the trust of the American people in the FBI is to ensure that we bring that same level of professionalism, and integrity, and objectivity, and adherence to process in everything we do.⁹⁶

In December 2019, the DOJ OIG completed its review of the FBI's Crossfire Hurricane investigation. Much like the 2003 Congressional hearings reviewing the FBI's operations, the focus was the FBI's internal procedures and the problems associated with the FISA process. This report concluded the FBI committed 17 significant errors in four FISA applications and stated, "This report represents serious performance failures by supervisory and non-supervisory agents."⁹⁷ Of the many recommendations, one of the Committee's recommendations was training FBI personnel to be competent in the appropriate sections of the Domestic Investigations and Operations Guide (DIOG). Following the recommendation, FBI Director Wray took action, modified processes and protocols, and reinstated ethics training.⁹⁸

2. FBI Employees

The FBI has an internal measurement system, the annual Employee Climate Survey, which allows its employees to provide feedback to determine the productivity of the organization. This measure is specifically designed to provide feedback to senior EM regarding employees' satisfaction with their workplace and work force. For example, the

⁹⁵ *Oversight of the Federal Bureau of Investigation, Hearing before the Committee on the Judiciary, House of Representatives, 115th Cong., 2nd sess., December 7, 2017, 1.*

⁹⁶ H.R., *Oversight of the Department of Justice*, 17.

⁹⁷ Office of the Inspector General, *Review of Four FISA Applications and Other Aspects of the FBI's Crossfire Hurricane Investigation* (Washington, DC: Department of Justice, 2019), 16, <https://www.justice.gov/storage/120919-examination.pdf>.

⁹⁸ Office of the Inspector General.

survey provides feedback on topics, such as leadership, productivity, and work environment. The survey indicates that the FBI's workforce has focused on the problem of leadership within the FBI.

Since 2013, the FBI conducts a mandatory Employee Climate Survey for its approximate 35,000 employees every year. In the 2017 survey, the employees rated their satisfaction with 26 topics regarding their professional experience. These topics were further split into 139 specific, separate categories. Some examples of these categories are leadership, communication, formal and informal performance management, and work environment. The results of the climate survey are shared with each of the FBI's 56 field offices and headquarters (HQ). The FBI considers this climate survey important because the data is used to "to help improve current leadership, pick new leaders, and encourage employees to express ideas on how management and the FBI can improve."⁹⁹

Each survey item is rated on a five-point scale. Each rating is averaged by the number of respondents.

- Average scores between 1.0 and 2.99 indicate potential areas of concern which could worsen if not addressed. A focus on development in these areas would be recommended.
- Average scores between 3.0 and 3.80 indicate positive feedback in these areas with potential for improvement.
- Average scores between 3.81 and 5 indicates success in those areas.¹⁰⁰

The accumulated data from the 2017 Climate Survey reveals that the Bureau's employees do not believe that leadership is meeting their expectations, and that the FBI is not operating at a high level of efficiency.

Of the 26 categories in the climate survey, SSAs are ranked third highest of all the scores. Division leadership is tied for the third lowest score.¹⁰¹ Further analysis of division leadership indicates that this topic has the largest margin from best to worst, which suggests a lack of consistency in the execution of their positions. The results of the climate survey

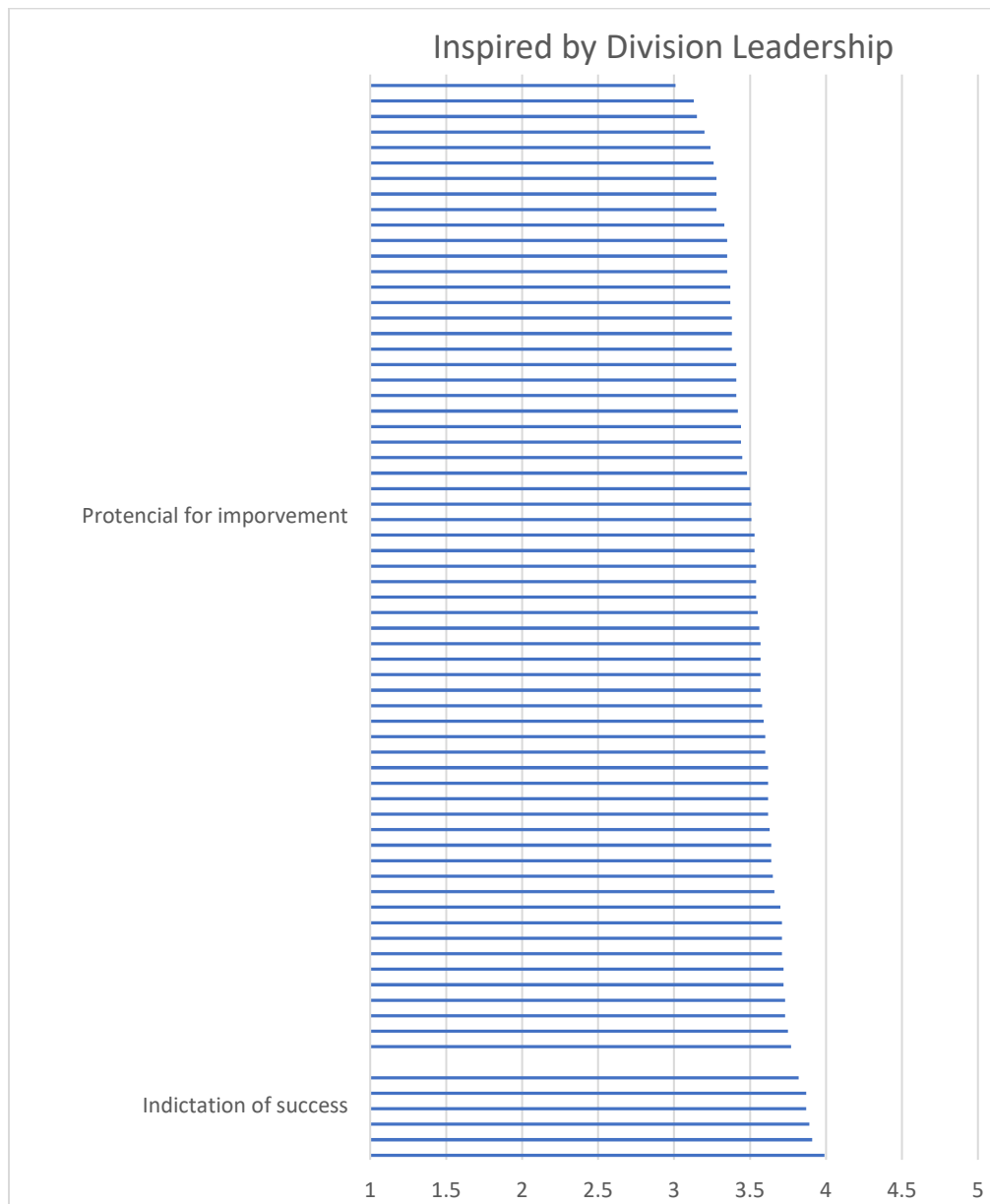
⁹⁹ FBI Records: The Vault, "FBI Field Office and Headquarters Climate Survey Results," Federal Bureau of Investigation, 2017, <https://vault.fbi.gov/FBI%20Field%20Office%20and%20Headquarters%20Climate%20Survey%20Results>.

¹⁰⁰ FBI Records: The Vault.

¹⁰¹ FBI Records: The Vault.

demonstrate that the employees feel that field office leadership is not meeting their expectations. Of the 69 field offices leadership teams, only six received an average score that indicated success with less than 10% indicating success. (See Table 1)

Table 1. FBI Field Office and Headquarters Climate Survey Results.¹⁰²



¹⁰² Adapted from FBI Records: The Vault.

The climate survey reflects results for 69 separate entities. That 69 number is represented by the 53 FBI field offices led by a single Special Agent in Charge (SAC), the three largest, and the additional 16 encompassing the Washington Field Office (WFO), New York Office (NYO) and Los Angeles (LA). The climate survey reflects employees' satisfaction and input to elements led by the program SACs and ASACs. For clarification, there are 56 FBI field offices but 69 division leaderships. The division leadership team is composed of the SAC and the ASAC. In the three largest FBI Field Offices, WFO, NYO, and LA, the Assistant Director in Charge (ADIC) embodies an additional tier of leadership.¹⁰³ These three offices are so large that the ADIC is in charge of the entire office. A SAC leads each program; therefore, each program SAC and ASAC received their own rating. The programs these SACs manage are criminal, counter terrorism, counter intelligence, intelligence, and administrative. For example, New York, the largest field office, has six SACs. Each SAC is responsible for a program in the survey: NYO-Criminal (NYO-CID), NYO-Counter-Intelligence (NYO-CI), NYO-Counter-Terrorism (NYO-CT), NYO-Intelligence (NYO-Intel), NYO-Administrative (NYO-Admin), and NYO-Special Operations/Cyber (NYO-SO/Cyber). WFO and LA each have five programs that were rated in the survey. They were reported as WFO/LA Administrative (WFO/LA-Admin), WFO/LA-Counterintelligence (WFO/LA-CI), WFO/LA-Counterterrorism (WFO/LA-CT), WFO/LA-Criminal (WFO/LA-CID), and WFO/LA-Intelligence (WFO/LA-Intel). In the climate survey, each program's SACs and ASACs were rated.

The primary role of an SSA is to oversee the work being conducted by the agents on a squad. Some of the SSA's duties include conducting file reviews to monitor the progress of an investigation and ensuring that the appropriate policies and procedures are adhered to and documented, such as compliance with the Attorney General Guidelines for Domestic FBI Operations (AG Guidelines).¹⁰⁴ No formal training is required to become

¹⁰³ "Field Offices," Federal Bureau of Investigation, May 3, 2016, www.fbi.gov/contact-us/field-offices.

¹⁰⁴ General Accounting Office, *Testimony before the Subcommittee on Commerce, Justice, State, and the Judiciary, Committee on Appropriations, House of Representatives, FBI Reorganization, Progress Made in Efforts to Transform, but Major Challenges Continue, Statement of David M. Walker, Comptroller General of the United States*, GAO-03-759T (Washington, DC: General Accounting Office, 2003), 30.

an SSA either before or after being promoted. Despite the lack of formal training requirements, the SSA leadership category scores “successful” in the survey. The author believes this successful rating is for two reasons. First, regardless of the type of investigation (criminal, counter-intelligence, cyber, or counter-terrorism), the SSA has worked investigations as a case agent and has participated in the file review process conducted every 90 days. Therefore, even without training, a new SSA is familiar with the file review process. The second reason is that to be eligible to become an SSA, this person must be in the SSA Relief Program for at least a year. While in this relief program, an agent fills in as the acting SSA when the SSA is on annual or sick leave, on temporary duty (TDY), or for any reason the SSA is not in the office. It is the SSA’s job to coach the agents in the relief program on the roles and responsibilities of the squad SSA, which is a form of on-the-job training. This SSA Relief Program therefore affords an agent experience in the SSA leadership role but with oversight by the actual SSA.

The SAC establishes the FBI’s overall investigative priorities of the field office. With the SAC’s guidance, the ASACs set their own priorities and standards within their programs. The SAC position is often used as a stepping stone in an agent’s career that results in the median tenure of a successful SAC to be approximately 15 months. In reality, the continuity of the established programs is delegated to the ASACs.¹⁰⁵ The ASAC’s job is to lead the assigned programs typically executed by providing sufficient oversight of the SSAs to ensure that program goals are being met. The SAC and ASAC are the tiers in division leadership responsible for ensuring compliancy with the DIOG, the AG Guidelines, and each of the FBI program’s policy guide (PIG).¹⁰⁶ An Office of Inspector General report concluded that agents failed to comply with the AG Guidelines because of the “failure by executive managers (Division Leadership) to hold first-line supervisors accountable for compliance deficiencies and to exercise effective oversight of agents.”¹⁰⁷

¹⁰⁵ *FBI Oversight, Hearing before the Committee on the Judiciary, Senate, 109th Cong., 2nd sess., May 2, 2006, 245.*

¹⁰⁶ FBI Records: The Vault, “Administrative Policy/Procedures,” Federal Bureau of Investigation, accessed April 6, 2019, <https://vault.fbi.gov/administrative-policy-procedures>.

¹⁰⁷ Office of the Inspector General, *The Federal Bureau of Investigation’s Compliance with the Attorney General’s Investigative Guidelines* (Washington, DC: Department of Justice, 2005), 115.

This same report “revealed significant gaps and inconsistencies in the sufficiency and effectiveness of the AG Guideline training, even two years after the AG Guidelines were established.”¹⁰⁸ While the report concluded that division leadership did not provide SSAs adequate oversight, it acknowledged that division leadership was not properly trained in a consistent manner throughout the FBI to provide such oversight.

While the primary role of division leadership is the oversight of investigations and establishment of the field office’s priorities, other responsibilities are placed upon them. The SAC and ASAC are further accountable for the handling of Equal Employment Opportunity (EEO) concerns, whistleblowing, and similar types of administrative matters within a field office. The Civil Service Reform Act of 1978 provides protection to federal employees against retaliation for reporting violations. The FBI, however, is excluded from this law.¹⁰⁹ In 1998, the DOJ instructed the FBI on the process for these complaints to be reported.¹¹⁰ An example of a failure of leadership was captured by a series of EEO and whistleblower complaints filed in the New Haven Field Office. In the New Haven Field Office, two employees filed a series of EEO, whistleblower, and retaliation complaints against the SAC and ASAC. One employee ultimately filed a civil action in federal court.¹¹¹ The complaints were eventually settled by the FBI with the employees under sealed documents, but the situation was so dire that then FBI Director Comey spoke to the employees and apologized for “the failure of the FBI’s executive management to correct the leadership failures” in the field office.¹¹²

¹⁰⁸ Office of the Inspector General, 116.

¹⁰⁹ Government Accountability Office, *Report to Chairman, Committee on the Judiciary, U.S. Senate, ‘Whistleblower Protections, Additional Actions Needed to Improve DOJ’s Handling of FBI Retaliation Complaints*, GAO-15-112 (Washington, DC: Government Accountability Office, 2015).

¹¹⁰ Jason Chaffetz, *Federal Bureau of Investigation Whistleblower Protection Enhancement Act of 2016*, House of Representatives Report 114–835 (Washington, DC: Government Printing Office, 2016), https://fas.org/irp/congress/2016_rpt/hrpt114-835.html.

¹¹¹ *Omar S. Montoya -v- The Federal Bureau of Investigation*, Civil Action No. 3:17-Cv-1541 (United States District Court of Connecticut 2017).

¹¹² Dave Collins, “Feds Won’t Release Details of Settlement with FBI Agent,” AP News, May 28, 2018, <https://www.apnews.com/265654186298492eab16069a55160209>.

The FBI's climate survey is not the only measure of the FBI's leadership problem. The Partnership for Public Service compares all federal personnel employed by all the branches and sectors of the U.S. government. The FBI ranks 183 out of 415 as the best place to work in the federal government. Upon further review of this survey, the five metrics used to assess leadership exhibit that FBI leadership ranks below the median for the entire U.S. government and is in the 25–50% range. Furthermore, the Partnership for Public Service Survey indicates that satisfaction with the FBI's leadership with the affected employees has steadily decreased over the last 11 years.¹¹³

C. INTERNAL PROCESS

A review of both the consumer and stakeholder current opinions regarding the FBI position appears to be a constructed narrative of the lapses in the adherences to the organization's own internal policies. These lapses in policy infractions play a significant role in American's perception of the FBI. The FBI has taken steps to implement change and the FBI Resource Planning Office (RPO) uses a "corporate approach" to improve the efficiency and effectiveness of the FBI.¹¹⁴ The RPO consists of seven units and many of these units' purposes address the issues already handled in this thesis. The business process management unit addresses efficiency through an improved process. The internal policy office manages the FBI's internal policies and the internal advisory group "(p)rovides senior management with analyses and recommendations to resolve cross-divisional, complex issues and manages the process for reviewing the FBI's top strategic initiatives."¹¹⁵ While the RPO provides these services for the senior executives of the Office of the Director, the FBI lacks a systematic process to disseminate and build upon the lessons learned from the RPO.

The purpose of the BSC internal process perspective is for an organization to assess its internal workings and the manner in which it affects customer satisfaction. Twenty years

¹¹³ "Best Place to Work in the Federal Government," Partnership for Public Service, accessed July 30, 2019, <https://bestplacetowork.org/rankings/detail/?c=DJ02>.

¹¹⁴ "Resource Planning," Federal Bureau of Investigation, accessed July 4, 2021, <https://www.fbi.gov/about/mission/resource-planning>.

¹¹⁵ Federal Bureau of Investigation.

ago, the FBI was a criminal centric investigative organization. The FBI has since undergone a massive reorganization that has set intelligence (collection, analysis, and dissemination) at the core of its operations and allotted substantial domestic intelligence responsibilities to the Bureau. As a result of this transition, the AG's Guidelines from Janet Reno in January 2001 were revised in May 2002 and again in September 2008. As part of the Bureau's transition to a dual-purpose organization (law enforcement and intelligence collection), the FBI's actions are governed by investigative and intelligence operations and guidelines, which have been most currently encapsulated by the October 2015 DIOG.¹¹⁶

The relatively rapid refocusing of the Bureau's mission has largely left the leadership of the organization in a precarious position faced with changing priorities and the ever-present understanding that as an investigative entity, all actions taken would be eventually examined in a court of law. As the FBI's mission transitioned from one focused on reactive investigation to one of preventing the next terrorist attack, the FBI leadership has struggled to keep pace with the new demand since "(t)he FBI's management is responsible for the establishment and maintenance of internal controls."¹¹⁷ Congress, the media, and the court of public opinion have highlighted several very public failures of the FBI leadership's commitment to follow policy, procedures, and even laws. The DOJ-OIG report examining the FBI's misuse of exigent letters concluded that a lack of proper training caused the internal policy violations. The report concluded that the SSAs were not trained on the legal requirements nor the internal FBI requirements regarding exigent letters.¹¹⁸ At the Congressional hearing, Inspector General Glenn Fine stated, "Our report

¹¹⁶ Robert K. Ackerman, "The FBI Reformats its Intelligence," AFCEA, September 22, 2014, <https://www.afcea.org/content/fbi-reformats-its-intelligence-organization>; Attorney General, *Attorney General's Guidelines for Domestic FBI Operations* (Washington, DC: Department of Justice, 2008), <https://www.justice.gov/archive/opa/docs/guidelines.pdf>; FBI Records: The Vault, "FBI Domestic Investigations and Operations Guide (DIOG)," Federal Bureau of Investigation, accessed March 7, 2020, <https://vault.fbi.gov/FBI%20Domestic%20Investigations%20and%20Operations%20Guide%20%28DIOG%29>.

¹¹⁷ Glenn Fine, *The Federal Bureau of Investigation's Ability to Address the National Security Cyber Intrusion Threat* (Washington, DC: Department of Justice, Office of Inspector General, Audit Division 2011), 43.

¹¹⁸ Jerrold Nadler, *Report by the Office of the Inspector General of the Department of Justice on the Federal Bureau of Investigation's Use of Exigent Letters and Other Informal Requests for Telephone Records* (Washington, DC: Government of the Publishing Office, 2010).

concluded that the exigent letters and other informal requests for telephone records represented a significant breakdown in the FBI’s responsibility to comply with the law, Attorney General Guidelines, and FBI policy.”¹¹⁹ Fine continued by concluding that every level of FBI leadership, to include EM, was responsible in some part for this failure in compliance. It was also the third DOJ-OIG report in the FBI’s misuse of exigent letters since 2007. The FBI’s non-adherence to its own internal process negatively affects all three customers: the American people, Congress, and FBI employees.

D. FINANCIAL PERSPECTIVE

In the private sector, the key financial factors are profitability and returns on investment. In the public sector, the same evaluation of performance cannot be used. For public sector agencies, financial perspective is not an indicator of whether an agency is accomplishing the agency’s purpose. Rather, the budget needs to be examined as a means to accomplish the objectives. Figure 4 best explains the financial factors in the private sector.

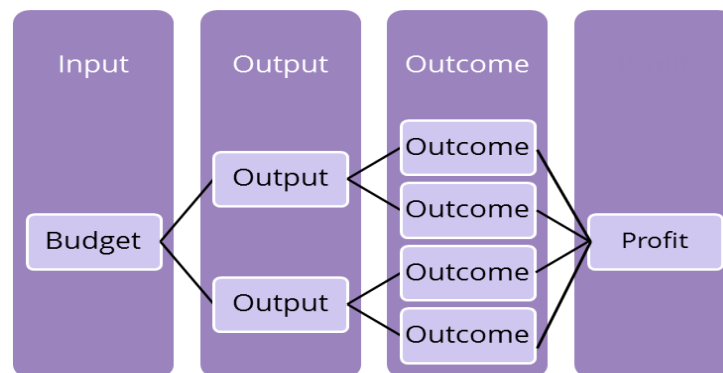


Figure 4. Corporate Performance Management.¹²⁰

¹¹⁹ Nadler, 10.

¹²⁰ Source: Doug Hadden, *Why Use the Balanced Scorecard in Government* (Ottawa, Ontario, Canada: FreeBalance, 2017), <https://freebalance.com/blog/public-financial-management/why-use-the-balanced-scorecard-in-government/>.

The private sector operates for a profit. The public sector financial perspective is much different and operates as shown in Figure 5.

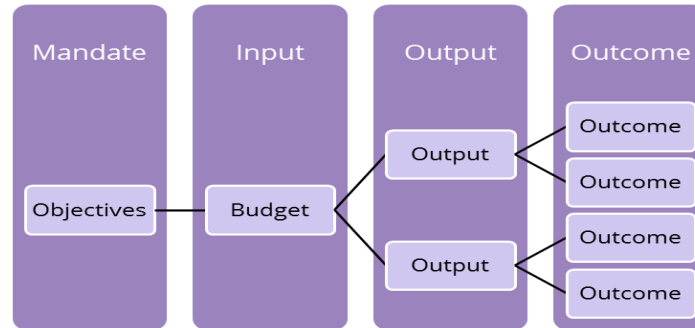


Figure 5. Government Performance Management.¹²¹

The FBI’s budget and staffing levels in 2001 were over 26,000 employees with a budget of \$3.3 billion dollars. Comparatively, in 2017, the FBI’s staffing level was approximately 35,000 employees with a budget of \$9.5 billion. Since the FBI is a not-for-profit organization, the financial perspective should be evaluated on how well the agency is meeting the customer’s and stakeholder’s expectations. An evaluation of the FBI’s budget and discussion of the FBI’s spending priorities is not available because parts of the FBI’s allocation of monies are classified and are beyond the classification level of this thesis.¹²² Even understanding the recent substantial increases in both the FBI’s budget and staffing levels, new demands were placed on the various FBI leadership levels following the 9/11 attacks.

In 2000, the FBI had 26,000 employees and its budget was \$2.69 billion dollars.¹²³ Just five years after the 9/11 attacks, the FBI’s fiscal year 2006 budget had increased to \$5.7 billion and the number of employees grew to 31,000. Also during 2006, the FBI

¹²¹ Source: Hadden.

¹²² Wray, *Statement before the House Appropriations Committee, Subcommittee on Commerce, Justice, Science, and Related Agencies Washington, D.C., FBI Budget Request for Fiscal Year 2020.*

¹²³ Justice Management Division, *Budget Trend Data 1975 through the President’s 2003 Request to the Congress* (Washington, DC: Department of Justice, 2002), https://www.justice.gov/archive/jmd/1975_2002/2002/pdf/BudgetTrand.pdf.

established the Directorate of Intelligence. FBI Director Mueller requested a \$26 million-dollar enhancement specifically for the Directorate of Intelligence for program development, training, and recruitment and retention. This enhancement was necessary to continue the FBI's transformation that has "reorganized from an agency whose primary focus was law enforcement into an integral member of the Intelligence Community."¹²⁴ Ten years later, the FBI's 2020 budget rose to \$9.3 billion and more than 35,500 employees. In 2010, the FBI was transforming itself from a law enforcement investigative agency to a domestic intelligence agency. By 2020, the FBI stated it would achieve its mission to protect Americans and uphold the Constitution by "continuously evolving to mitigate existing threats and recognizing and anticipating threats it has not yet seen."¹²⁵

E. LEARNING AND GROWTH

The learning and growth perspective allows the organization to adapt to change to improve the other three perspectives. Learning and growth allows an organization "to meet changing requirements and customer expectations, employees are being asked to take on dramatically new responsibilities that may require skills, capabilities, technologies, and organizational designs that were not available before."¹²⁶ This investment allows the organization to seek, improve, and add value to its customers. When the Chief Learning Officer Business Intelligence Board examined the top priorities for companies, leadership development goals were addressing succession and retaining high-potential employees.¹²⁷ As demonstrated in Figure 6, the majority of organizations spent \$1,000 to \$6,999 on leadership development per person.

¹²⁴ Subcommittee of the Committee on Appropriations, *Commerce, Justice, Science, and Related Agencies Appropriations for Fiscal Year 2006* (Washington, DC: U.S. Senate, 2005), <https://www.govinfo.gov/content/pkg/CHRG-109shrg49104185/html/CHRG-109shrg49104185.htm>.

¹²⁵ Federal Bureau of Investigation, *FY 2020 Authorization and Budget Request to Congress* (Washington, DC: Department of Justice, 2019), 1–2, <https://www.justice.gov/jmd/page/file/1144031/download>.

¹²⁶ "Balanced Scorecard Program," Office of Management, January 7, 2016, <https://www.energy.gov/management/downloads/balanced-scorecard-program>.

¹²⁷ Mike Prokopeak, "Follow the Leader(ship) Spending," Chief Learning Officer, <https://www.chieflearningofficer.com/2018/03/21/follow-the-leadership-spending/>.

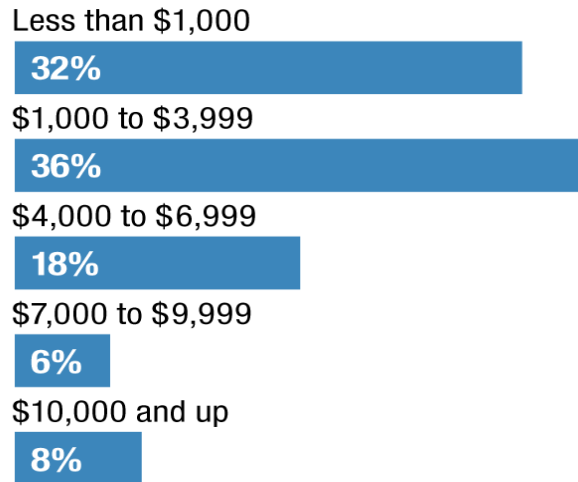


Figure 6. Average Expenditure on Leadership Development per Person.¹²⁸

The learning and growth perspective provides an infrastructure to improve on the objectives of the first three perspectives. The gaps or deficiencies in the financial, customer, and internal processes become the objectives to improve in learning and growth. In most of the cases already discussed, the FBI appeared to know what needed to be done to take corrective actions. It also appeared, however, that the FBI did not know how to implement those changes. In 2010, in the report of the FBI’s misuse of exigent letters, the IOG faulted the FBI management and supervisory ranks for a lack of oversight. This same report also noted that none of the SSAs was provided training on their responsibilities. The report concluded that a significant breakdown occurred at every level of the FBI to comply with the law. Mr. Fine commented on the “need to provide training and guidance, but it is not once won and done. It has to keep going and be part of the culture, part of the regular course of business, and continuous.”¹²⁹ Thus, the BSC’s learning and growth perspective addresses these types of failures in this manner.

The customer perspective can have a dramatic impact on the FBI’s performance. The customer perspective leads to the conclusion that the FBI has a competency gap due

¹²⁸ Source: Prokopeak.

¹²⁹ Nadler, *Report by the Office of the Inspector General of the Department of Justice*.

to the lack of a leadership development program. One possible reason for not meeting the expectation of the customers and stakeholders has been the inability of the FBI as a whole to be consistently compliant with the laws governing its operations and internal policies and procedures. As such, “FBI’s management is responsible for ensuring compliance with applicable laws and regulations.”¹³⁰ An examination of a leadership development program and the manner in which such a program can affect the customer and internal process perspectives follows in the next chapter.

¹³⁰ Fine, *The Federal Bureau of Investigation’s Ability to Address the National Security Cyber Intrusion Threat*, 42.

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IV. LEADERSHIP DEVELOPMENT CONCEPT

To be a 21st-century leader, you must have two things: competence and character.

—General H. Norman Schwarzkopf

A. PUBLIC SECTOR LEADERSHIP COURSES

When the topic is leadership development, the U.S. military has a robust program and is able to develop consistently great leaders. The U.S. military takes a “progressive and sequential series of carefully planned training, educational, and experiential events.”¹³¹ For example, every United States Marine Corps’ (USMC’s) newly commissioned lieutenant and warrant officer must complete The Basic School (TBS). The TBS is a 26-week course that provides the basic skills required to be a rifle platoon commander.¹³² Like the armed forces, the FBI takes new agent accession and training very seriously. All new agents receive the same training and education as part of their induction into the Bureau as special agents. The New Agent Training (NAT) course at the FBI academy facility at Quantico, VA is similar to the TBS. All special agent new hires must successfully complete the NAT course, which is 800 hours, or about 20 weeks. This course covers four major concentrations: academics, case exercises, firearms, and operations skills.¹³³ These 20 weeks are time and money invested into the new hires to ensure they receive the basic skills, knowledge, and experience to become federal investigators for the FBI.

For the FBI, this entry level NAT course is the last significant training an agent will receive. Whereas every military service has a Professional Military Education (PME) program that continues throughout the duration of an officer’s career. For example, the Marine Corps has the Marine Corps University (MCU), which provides three levels of

¹³¹ Tom Kolditz, “Why the Military Produces Great Leaders,” *Harvard Business Review*, February 6, 2009, <https://www.hbr.org/2009/02/why-the-military-produces-grea>.

¹³² “The Basic School,” United States Marine Corps, accessed April 20, 2019, www.trngcmd.marines.mil/Northeast/The-Basic-School/.

¹³³ “New Agent Training,” Federal Bureau of Investigation, accessed March 30, 2019, <https://www.fbi.gov/services/training-academy/new-agent-training>.

career developing courses. The first course is Expeditionary Warfare School (EWS) for company grade officers. At EWS, the students are challenged in critical thinking. To prepare these company grade officers for their added responsibilities, the students are provided “a firm doctrinal foundation, augmented with the exchange of practical experiences, and reinforced with extensive practical application.”¹³⁴ Each of these milestones is part of a broader leader development program that includes academic work, the study of operational art specific to the service, and both formal and informal “soft skills” development. FBI supervisory agents do not have a similar development program.

The MCU continues with the Command and Staff College for field grade officers with a curriculum designed for more strategic level development. Examples for the courses a student must take are Evolution of Warfare, National Security Affairs, Joint Operations, and Leadership and Planning.¹³⁵ The MCU concludes with the War College. The students are awarded a Master’s of Strategic Studies designed for “educating its students for the challenges of a complex security environment,” to prepare them to “assume senior leadership positions.”¹³⁶ This continuous PME program provides the platform to develop leaders in a consistent manner from tactical to strategic and provide the necessary skills for the ever-increasing responsibilities incumbent of their rank. The USMC is a government entity that developed and sustained the ability to identify individuals from within its ranks and promote them to leadership positions while providing concurrent development training. Individuals in positions of leadership within the USMC rely on a solid foundation provided by the military that trains them to employ innate skills and abilities effectively based on a structured curriculum of training and development. While the military has a devoted leadership development process, law enforcement departments have mirrored the military model.

¹³⁴ “EWS History, History and Educational Philosophy,” Marine Corps University, accessed April 30, 2019, <https://www.usmcu.edu/Colleges-and-Schools/Expeditionary-Warfare-School/Resident/History/>.

¹³⁵ “About CSC,” Marine Corps University, accessed April 30, 2019, <https://www.usmcu.edu/College-and-Schools/Command-and-Staff-College/Resident/About-CSC/>.

¹³⁶ “About MCWAR,” Marine Corps University, accessed April 30, 2019, <http://www.usmcu.edu/Colleges-and-Schools/Marine-Corps-War-College/About-MCWAR/>.

These programs focus on the organizations' priorities, and provide leadership training to achieve positive results. The New York Police Department's (NYPD's) leadership training section is the unit tasked with providing continued training through the rank structure for newly promoted sergeants, lieutenants, and captains. For example, newly promoted sergeants attend a five-week development course that includes 35 hours of field training.¹³⁷ The course curriculum is designed to "(e)nsure compliance with Department policy and the Law," because the consequences that the public's, "(e)rosion of trust when we fail to do our job correctly," are too great of a liability.¹³⁸ The end state of the training is for newly promoted sergeants to be trained in the most current iteration of the law, NYPD procedures, and the responsibilities and requirements of being a supervisor.

Much like NYPD's development courses, the New Jersey State Police (NJSP) managerial development unit provides training for front line supervisors and sergeants, a mid-level management course of sergeants first-class, an executive leadership course for lieutenants, and a separate course for captains, majors, and lieutenant colonels. Each course provides practical instruction to better the individual "with leadership principles, decision making skills, supervision strategies and techniques that will result in the participants improving their immediate commands."¹³⁹ Other departments like the Chicago Police Department and Los Angeles Police Department all have similar leadership development programs.¹⁴⁰ The NYPD and NJSP are examples of state level, law enforcement

¹³⁷ "New York City, Sergeant Development Course," National College Credit Recommendation Service, accessed May 4, 2019, <http://www.nationalccrs.org/organizations/new-york-city-police#n4878>.

¹³⁸ City of New York Police, *Sergeant Promotional Training, Investigative Encounters* (New York: New York City Police Department, 2018), 6, <http://nypdmonitor.org/wp-content/uploads/2018/05/Approved-3.27.18-SQF-Training-for-Newly-Promoted-Sgts-Lts.pdf>.

¹³⁹ New Jersey State Police, "Division Human Resources Section, Managerial Development Unit," State of New Jersey, Department of Law & Public Safety, Office of the Attorney General, <https://www.nj.gov/oag/njsp/division/administration/division-human-resources.shtml>.

¹⁴⁰ "Course Coordination Section," Los Angeles Police Department, accessed April 27, 2019, http://www.lapdonline.org/training_division/content_basic_view/6379; Michigan Department of Corrections, *Leadership Training for Supervisors* (Lansing, MI: Michigan Department of Corrections, 2012); "Chicago Police Executive Development Program for Sergeants," Chicago Police Department, August 19, 2019, http://directives.chicagopolice.org/CPDSergeantsExam_2019/directives/data/a7a57be2-12ce0ca3-81d12-ce20-8dfae7fb7d41803f.html?ownapi=1; "Chicago Police Executive Development Program for Captains and Lieutenants," Chicago Police Department, December 28, 2012, http://directives.chicagopolice.org/CPDSergeantsExam_2019/directives/data/a7a57be2-12ce5918-9f612-ce5a-82008dc5b3c27f7b.html?ownapi=1.

organizations that recognize the need for a program that systematically and thoughtfully develops individuals promoted to positions of leadership. Police departments are not the only entities that have embraced this approach. Other state level entities, such as departments of corrections, have also employed this technique.

Michigan's Department of Corrections requires new front-line supervisors, within one year of appointment, to attend leadership training with "(T)he goal of the program is to aid the new supervisor in learning basic leadership skill and supervisor responsibilities."¹⁴¹ This course covers basic leadership skills, such as communication, decision making, and positive attitude, as well as the teaching of rules, regulations, policies, procedures, and administrative practices. The program utilizes a combination of typical classroom instruction, group discussion and projects, coaching, and situational role-playing to accomplish the goals and objectives of the course. The course even addresses how to deal with problem employees, discriminatory harassment, and how to conduct a counseling session properly.

The FBI offers a leadership development program to local, state, tribal, territorial, and international law enforcement agencies through the National Academy (NA). This 10-week course at the FBI academy allows "officers to participate in a wide range of leadership and specialized training, where they share ideas, techniques, and experiences with each other."¹⁴² In response to the 1930 Wickersham Commission, the NA dates back to 1935. It is the "FBI Police Training School" and provides a centralized training location for U.S. law enforcement departments for the "standardization and professionalization departments."¹⁴³ Today, more than 16,000 graduates continue their professional development post-NA through the FBI National Academy Associate (FBINAA). Through the FBINAA, members are able to continue their education development through webinars, distant learning, annual conferences, and local training venues. The FBI's current approach to front load agents' training at the very beginning of their careers needs to evolve to reflect

¹⁴¹ Michigan Department of Corrections, 1.

¹⁴² "National Academy," Federal Bureau of Investigation, accessed March 30, 2019, <https://www.fbi.gov/services/training-academy/national-academy>.

¹⁴³ Federal Bureau of Investigation.

the approaches taken by their colleagues better in the law enforcement, military, and other sectors. The FBI needs to develop the mentality that training for leaders is a career-long requirement, which once completed, may need to be re-freshened as the intelligence and law enforcement environment evolves. The FBI's leaders would benefit from a structured, required framework of courses that would simultaneously educate and support.

Despite offering a voluntary, highly sought after and selective leadership development program to law enforcement officers from a multitude of outside law enforcement agencies, the FBI does not provide similar mandated training for its own leaders. The NAT course at the FBI academy facility at Quantico, VA is similar to the TBS. All special agent new hires must successfully complete the NAT course, which is 800 hours, or about 20 weeks. This course covers four major concentrations: academics, case exercises, firearms, and operations skills.¹⁴⁴ These 20 weeks are time and money invested into the new hires to ensure they receive the basic skills, knowledge, and experience to become federal investigators for the FBI.

For the FBI, this entry level NAT course is the last significant mandatory training an agent will receive. The FBI offers a limited number of courses that individuals in leadership positions can elect to participate in, but does not provide a solid, cohesive program that builds upon the foundation laid by the NAT course. Leadership ranks within the FBI are populated with talented individuals forced to rely on personal raw talent, networking, and a process of learning from their own, and others' mistakes, while leading within the organization. The FBI lacks a mandated, structured framework of courses that supports and educates individuals in leading effectively. Similar to the military and other law enforcement agencies, the FBI needs a career development program that matches the roles and responsibilities with each promotion.

B. SOLUTIONS: DEVELOPMENT OF HUMAN CAPITAL

The FBI is an organization of over 35,000 employees working throughout the country and worldwide. It is a vital part of the U.S. government's intelligence and law

¹⁴⁴ Federal Bureau of Investigation, "New Agent Training."

enforcement communities. The FBI's leadership performance problems have become progressively more public. Recently, many in Congress are calling for more oversight as American trust in the FBI continues to decline; yet, the responsibilities continue to increase as the threat continuously evolves.¹⁴⁵ So how does the FBI address this complex problem of leadership? In the past, the answer would have been some form of reorganization. However, as Director Mueller stated, "the men and women of the FBI remain our most important asset."¹⁴⁶ At his confirmation hearing about the FBI making mistakes, Director Wray said, "We make mistakes. We have things that we have done well. We have things we have done badly, and when we have done things badly, we try to learn from them."¹⁴⁷ Nevertheless, the FBI does not have a mechanism to teach leaders what they need to know, to pass along the lessons learned from previous mistakes, and to address future challenge not yet realized.

The chapter examines a leadership development curriculum program and the possible effects of such program raised by the BSC. The previously mentioned research conducted by Abrell et al., "Evaluation of a Long-term Transformational Leadership Development Program," included leadership feedback, education, and coaching as a model for leadership improvement.¹⁴⁸ The FBI needs a transformational-based leadership development curriculum based on a combination of four training methodologies: classroom instruction, coaching, 360-degree feedback, and experience. The private sector has "recognize(d) that simply competing to attract the best and the brightest talent in the marketplace is not enough to maintain their edge."¹⁴⁹ Therefore, organizations are spending more on developing the current employees. As with any course development, the classroom instruction requires that a design plan must be established. Each course needs

¹⁴⁵ S., *Oversight of the FBI*; Lichtblau, "The FBI Is in Crisis; *World-Wide Threats: Keeping America Secure in the New Age of Terror*, Hearing before the Committee on Homeland Security, House of Representatives, 115th Cong., 1st sess., November 30, 2017.

¹⁴⁶ S., *FBI Oversight*, 287.

¹⁴⁷ *Oversight of the Federal Bureau of Investigation*, Hearing before the Committee of the Judiciary, House of Representatives, 115th Cong., 1st sess., December 7, 2017, 41.

¹⁴⁸ Abrell et al., "Evaluation of a Long-Term Transformational Leadership Development Program."

¹⁴⁹ Prokopeak, "Follow the Leader(ship) Spending."

clearly defined goals because goals will “determine what students should be learning in terms of content, cognitive development, and personal development.”¹⁵⁰ The course goal is the long-term overall learning outcome. The course goals drive the learning objectives, whereas a learning objective is the specific learning outcome. While developing the course’s goals, Benjamin Bloom’s taxonomy education and the six levels of learning should be used in the structuring of the course.¹⁵¹ Bloom’s taxonomy establishes the importance of aligning the teaching objectives to the course goals, as seen in Figure 7.

Bloom’s Taxonomy

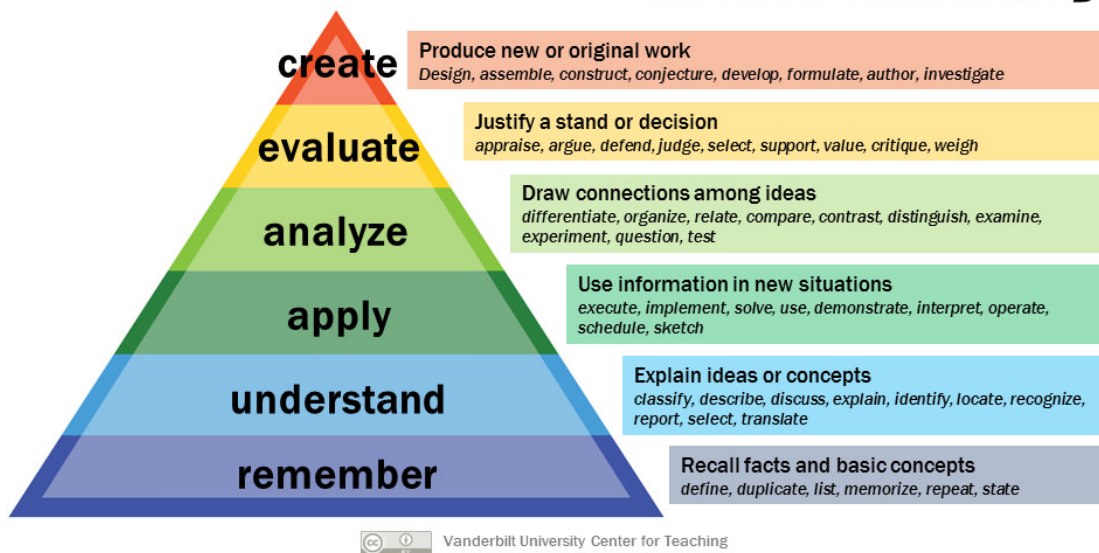


Figure 7. Bloom’s Taxonomy.¹⁵²

The course objectives use the six levels: remember, understand, apply, analyze, evaluate, and create. Bloom’s taxonomy must coincide with the appropriate level of

¹⁵⁰ “Designing a Course,” Washington University in St. Louis, accessed September 21, 2019, <https://teachingcenter.wustl.edu/resources/course-design/designing-a-course/>.

¹⁵¹ Benjamin Samuel Bloom, David R. Krathwohl, and Bertram B. Masia, *Taxonomy of Educational Objectives: The Classification of Educational Goals* (London: Longmans, Green, 1956), <https://books.google.com/books?id=rJNqAAAAMAAJ>.

¹⁵² Source: Patricia Armstrong, *Bloom’s Taxonomy* (Nashville, TN: Vanderbilt University Center for Teaching, 2010), 1, <https://cft.vanderbilt.edu/guides-sub-pages/blooms-taxonomy/>.

leadership. First-line supervisor course outcomes focus on remember, understand and apply. Division leadership outcomes focus on apply, analyze, and evaluate. The senior executive course focuses on analyze, evaluate, and create. Other considerations besides course goals and learning objectives are important when developing a course curriculum. Identifying the appropriate pedagogy for adult learning, methods to evaluate student learning, time requirements, the associated costs, the technology required, sequence of courses, and student feedback for course revision are all steps required for proper course development.¹⁵³

Developing an instructional program for adults has various challenges. The popular leadership training methods offered by Brett Seidle, Sergio Fernandez, and James Perry, which include classroom instruction, coaching, 360-degree feedback, and experience, should be incorporated into every program. The classroom instruction should also incorporate the teaching recommendation from James's book, *Leadership and Management Excellence; Corporate Development Strategies*, the teaching of best practices.¹⁵⁴

1. First-line Supervisors: SSA Course

All FBI special agents attend the FBI Academy, a schoolhouse environment designed to introduce and refine the basic skills required of the FBI's agent workforce. SSAs participate in a NAT 20-week training course to become proficient in skills, such as interviewing, collecting evidence, tactical instruction, legal, and firearms. At the academy, SSAs receive training in the core capabilities to be an FBI special agent. A training curriculum needs to be established, just as with the NAT training. At a minimum, the FBI's SSAs manage investigations, ensure that their subordinates comply with legal statutes, and address a plethora of administrative, personnel, and budget issues. The expectation that performing the role of a special agent for a minimum of six years is sufficient to qualify an

¹⁵³ Center for Teaching & Learning, "Basic Steps of Course Development," The University of North Carolina at Charlotte, accessed January 18, 2020, <https://teaching.uncc.edu/teaching-guides/course-design/basic-steps>; Washington University in St. Louis, "Designing a Course."

¹⁵⁴ James, *Leadership and Management Excellence*.

individual to become an SSA who will lead and manage people has been demonstrated to be problematic. A leadership development course is important because:

(s)upervisors must monitor and take reasonable steps to ensure that all investigative activity, collection activity and the use of investigative methods comply with the Constitution, Federal law, Executive Orders, Presidential Directives, AGG-Dom, other AGG, Treaties memoranda of Agreement/Understanding, the DIOG and any other applicable legal and policy requirements.¹⁵⁵

The same DIOG states, “the FBI must provide sufficient training to affected personnel and ensure that appropriate oversight monitoring mechanisms are in place.”¹⁵⁶

The SSA role requires an equivalent training program, prior either to or shortly after a promotion to prepare individuals for their new positions and responsibilities. The current requirements to apply for an SSA position are: (1) have a minimum of six years of experience as a special agent, (2) be enrolled in the supervisor relief program, and (3) pass the leadership skills assessment (LSA). The relief supervisor program allows an SA to serve as the SSA only in the absence of the actual SSA. This program was developed as an on-the-job training opportunity. The LSA “is a customized, live, day-in-the-life role play telephonic job situation,” administered by contractors.¹⁵⁷ The LSA was developed as part of the FBI’s settlement of a race-based class action lawsuit that required a complete overhaul of the FBI’s promotion process. The LSA tests and rates the responses against the FBI’s eight core leadership competencies. These FBI core competencies are collaboration,

¹⁵⁵ FBI Records: The Vault, *FBI Domestic Investigations and Operations Guide (DIOG) 2016 Version Part 01 of 02* (Washington, DC: Federal Bureau of Investigation, 2016), 3–8, <https://vault.fbi.gov/FBI%20Domestic%20Investigations%20and%20Operations%20Guide%20%28DIOG%29/FBI%20Domestic%20Investigations%20and%20Operations%20Guide%20%28DIOG%29%202016%20Version/FBI%20Domestic%20Investigations%20and%20Operations%20Guide%20%28DIOG%29%202016%20Version%20Part%2001%20of%2002/view>.

¹⁵⁶ Federal Bureau of Investigation, 3–1.

¹⁵⁷ James Comey, “2014 HRM Impact Award Winner,” *Society for Industrial and Organizational Psychology*, accessed December 14, 2019, <https://www.siop.org/Foundation/Awards/HRM-Impact-Award/FBI>.

communication, flexibility and adaptability, initiative, interpersonal ability, leadership, organizing and planning, and problem solving and judgement.¹⁵⁸

The BSC consumer perspective, specifically the American people and Congress, indicates the dissatisfaction appears to be caused by a lack of FBI compliance. Due to the complexity of these laws and regulations governing a specific violation, compliance without an appropriate training program has been problematic. An example of this compliancy challenge is best described by a DOJ-OIG audit of the FBI's ability to address the national security cyber threat. This report identified the following as the laws and regulations that affect FBI compliance:

- Computer Fraud and Abuse Act of 1986
- Electronic Communications Privacy Act of 1986
- Economic Espionage Act of 1996
- USA PATRIOT Act
- Executive Order 12333 United States Intelligence Activities
- National Security Presidential Directive 54/Homeland Security Presidential Directive 23
- Attorney General's Guidelines for Domestic FBI Operations¹⁵⁹

These laws and regulations are further buttressed by the FBI's internal policies, procedures, and operational guidelines located in the DIOG, policy directives, and policy guides.¹⁶⁰ The totality of this knowledge has been prescribed as the base required to ensure compliance for investigations focused on national security cyber threats. While an example for cyber security investigations, terrorism, criminal, and counter-intelligence each have their own laws, rules, policies, and procedures governing the FBI's ability to investigate. For a squad supervisor to fulfil the primary role of ensuring compliance, any training program must address these learning needs.

¹⁵⁸ Federal Bureau of Investigation, *FBI Core Competencies* (Washington, DC: Department of Justice, n.d.), accessed April 6, 2019, https://www.fbijobs.gov/sites/default/files/fbi_core_competencies_definitions.pdf.

¹⁵⁹ Fine, *The Federal Bureau of Investigation's Ability to Address the National Security Cyber Intrusion Threat*.

¹⁶⁰ FBI Records: The Vault, "Administrative Policy/Procedures."

The Crossfire Hurricane investigation is a recent investigation that has rocked Congress and the American people's opinion of the FBI. The FBI undertook the Crossfire Hurricane investigation in the beginning of 2016 to determine if the Trump campaign had colluded with Russian individuals in an effort to undermine the 2016 Presidential election.¹⁶¹ An SSA has the responsibility to understand the FBI's Confidential Human Source (CHS) Program. The AG's Guidelines and the CHS Policy Manual are two significant documents ensuring the FBI's compliance with the CHS policy.¹⁶² As the DOJ-OIG report reviewing FBI's Crossfire Hurricane Investigation states, "SSAs are responsible for daily oversight and CHSs operated by handling agents on the SSA's squad."¹⁶³ In this same report, the SSA responsibility to conduct a quarterly supervisory source report (QSSR) through a DELTA file review was underscored. A QSSR is a "report wherein the SSA must review the DELTA file for each confidential human source (CHS) to note any significant anomalies; for example, potential derogatory information, sudden request for money or substantial changes in behavior lifestyle or view that cured in the last 90 days."¹⁶⁴ DELTA "is a system of systems to facilitate the implementation of and compliance with the Confidential Human Source Policy manual drafted by the Human Intelligence Policy and Special Programs Unit."¹⁶⁵ A November 2019 audit conducted by the DOJ-OIG on the FBI's CHS program concluded the FBI failed to comply with the AG's Guidelines, as well as the FBI's CHS policy guide. The DOJ-OIG concluded that the FBI failed to train its personnel in the proper handling and oversight responsibilities. The report offered 16 recommendations for the FBI's CHS program. One of the recommendations focused on training the supervisors.¹⁶⁶

¹⁶¹ Office of the Inspector General, *Review of Four FISA Applications*.

¹⁶² Wayne M. Murphy, "Testimony," Federal Bureau of Investigation, July 19, 2007, <https://archives.fbi.gov/archives/news/testimony/improving-our-confidential-human-source-program>.

¹⁶³ Office of the Inspector General, *Review of Four FISA Applications*, 27.

¹⁶⁴ Office of the Inspector General, 27.

¹⁶⁵ Federal Bureau of Investigation, *DELTA System for Implementing of Confidential Human Source Guide* (Washington, DC: Department of Justice, 2009), 1, https://www.archives.gov/files/records-mgmt/rcs/schedules/departments/departments-of-justice/rg-0065/n1-065-09-027_sf115.pdf.

¹⁶⁶ Office of the Inspector General, *Audit of the Federal Bureau of Investigation's Management of its Confidential Human Source Validation Processes* (Washington, DC: Department of Justice, 2019), <https://oig.justice.gov/reports/2019/a20009.pdf>.

Proper training on administrative matters is also required for supervisors to carry out their roles and responsibilities efficiently. Of utmost importance is that holding a supervisory position translates into having the duty to evaluate subordinates' work performance. In the FBI, this task is accomplished through the performance appraisal reports (PAR) system. As part of a PAR, the supervisor must develop an individual development plan for each employee and then evaluate an individual's performance against the established objectives of that plan. The unfortunate reality is that not every employee's performance is consistently outstanding and a supervisor must place an employee on a performance improvement plan (PIP). A PIP is designed to improve an employee's performance but it is also the first step to remove or demote a federal employee. For this reason, the supervisor must follow the strict protocol of the PIP process. The supervisor needs to ensure proper documentation, provide an opportunity to improve, and help the employee to improve. Failure of the supervisor to follow these rules can nullify a PIP and potentially provide grounds for the agency to be sued.¹⁶⁷

At a minimum, the first line supervisor course must provide leader candidates with solid training in and understanding of the policy and procedure documents that govern the FBI's investigative practices and internal administrative life. The documents that have been listed previously, the DIOG, the CHS policy guide, and the PAR system, are three of many internal governing guides necessary for first line supervisors to absorb and fundamentally understand to ensure that investigations are conducted correctly and also that subordinates are allowed the opportunity to grow and develop. First line supervisors should also be trained on the various databases available within the FBI to include DELTA, as noted earlier. While digesting guides, policies, rules, and regulations, and the use of databases is cumbersome, it can be taught and can be often presented as an explanation with the documents in place in the event that a more thorough review is required by a particular investigation. Teaching individuals to manage, lead, and inspire is a different challenge.

¹⁶⁷ "Performance Improvement Plans for Federal Employees," Berry & Berry, PLLC, August 19, 2013, https://www.berrylegal.com/resources/Performance_Improvement_Plans_for_Federal_Employees/.

Instruction must be provided, in both classroom presentations and scenario-based in person training and role-play, for managers to learn how to deal with problem employees. Underperforming employees are disruptive or harmful to the team. Those who do not fully understand their roles need to be identified, counseled, and if necessary, removed. This process is difficult because every person is an individual who brings unique requirements and background to a discussion. Managers and leaders should be exposed to a variety of potential scenarios dealing with conflict, based on past case experience, in an effort to evaluate how they would react and hone their reactions and interactions as appropriate. In summary, the first line supervisor course should focus on how to conduct investigations correctly, utilize the investigative tools and techniques available to the FBI, and learn how to deal with subordinates. In Bloom's taxonomy, the course participants are expected to recognize and recall facts (as set out for them by the available policy guides and regulatory documents, use of databases, etc.), and understand what those facts mean, and then apply the facts. By understanding, the first line supervisors are the practitioners of compliance and are expected to apply those facts during the course of an investigation.

2. Division Management Course

The current requirements to be eligible to be an ASAC are two years as a field office squad SAA, serve at least 18 months at HQ as an SSA or unit chief, and complete six development credits. Of the six development credits, one must be an internal investigation (office personal responsibility), two must be from field-office inspections, and the other three development credits can come from a variety of options. Examples of such options are a shooting review or serve a joint duty with another organization, possess a higher education degree from the FBI's sabbatical program, be assigned as a field office program manager, or serve at a higher grade than the current position for 30 days in an action position. It is possible to earn a developmental credit with these options. The inspection credits are an important component of the development at the inspection division and "responsibilities include conducting internal investigations, reviewing operational performance and use of enforcement authorities across all investigations

programs.”¹⁶⁸ These developmental credits serve a needed purpose for the organization but appear not to meet the current needs of the American people, Congress, or the FBI employees.

Curriculum development for division leadership needs to address the issues raised by Congress and DOJ-OIG reports. It also needs to analyze the leadership deficiencies raised in the FBI’s climate survey. It should review the roles and responsibilities taught during the SSA course, understand and apply Bloom’s taxonomy of education, and expand to analyze and evaluate.

As division leadership, the SAC and ASAC are the EM of the field office and, as such, are responsible for the SSAs overseeing compliance, but also for strategic planning, budgets, community outreach, and law enforcement engagement. Therefore, training on the FBI’s short- and long-term planning cycle through the FBI’s Threat Review and Prioritization (TRP) is necessary. An understanding of best practices and how “(t)he TRP process was designed to integrate intelligence and operations to provide a construct that synchronizes prioritization between FBI headquarters and field divisions,” would provide an organizational baseline standard.¹⁶⁹ The TRP is the initial step in identifying the various threats that fall under the FBI’s investigative purview. Once the investigative threats have been identified, the field offices must develop plans to mitigate the threats encapsulated in the Field Office Strategic Plan (FOSP). The FOSP is the field offices’ strategy to address the threats identified during the TRP process. Finally, the strategic planning process cycle evaluates the ability of the field offices’ programs (criminal, cyber, counter-intelligence and counter-terrorism) to mitigate these threats through the intergraded program

¹⁶⁸ “Douglas A. Leff Named Assistant Director of the Inspection Division,” FBI National Press Office, February 7, 2020, <https://www.fbi.gov/news/pressrel/press-releases/douglas-a-leff-named-assistant-director-of-the-inspection-division>.

¹⁶⁹ Inspectors General of the Intelligence Community, *Review of Domestic Sharing of Counterterrorism Information* (Washington, DC: Department of Homeland Security, Department of Justice, 2017), 29, https://www.dni.gov/files/documents/Newsroom/Domestic_Sharing_Counterterrorism_Information_Report.pdf.

management (IPM) program.¹⁷⁰ This process is important to the FBI because it determines the strategic planning at the HQ level and the field offices' priorities over a two-year cycle. This process is crucial and every member of division management must understand it in an effort to best prioritize division resources and assets to the FOSP.

Other administrative matters have affected the customer perspective. Division management requires the proper training to handle them correctly. These administrative responsibilities are understanding how to handle EEO complaints and the Whistleblower Act properly.¹⁷¹ An example of an improperly handled EEO complaint is best illustrated in the article, "Welcome to the Worse FBI Field Office," and the consequential lawsuit filed by the FBI employee.¹⁷² In 2013, Special Agent Siuzdak filed an EEO complaint alleging he was not promoted due to age and gender discrimination. The improper handling of the original case led Siuzdak to file a lawsuit alleging he was the subject of retaliation resulting from the EEO complaint.¹⁷³

These types of actions by leaders can have a measurable effect on the workforce. The corresponding 2013 FBI climate survey had the New Haven field office divisional leadership below 3.0, which would indicate a problem.¹⁷⁴ These improper actions by the division leadership can lead to a breakdown of an entire field office. This breakdown at the

¹⁷⁰ Federal Bureau of Investigation, *FY 2016 Authorization and Budget Request to Congress* (Washington, DC: Department of Justice, 2015), https://www.justice.gov/sites/default/files/jmd/pages/attachments/2015/02/02/24._federal_bureau_of_investigation_fbi.pdf.

¹⁷¹ FBI Records: The Vault, "Harassment Policy 1038D," Federal Bureau of Investigation, October 31, 2018, <https://vault.fbi.gov/harassment-policy-1038d/harassment-policy-1038d-part-01-of-01>.

¹⁷² "Welcome to the Worst FBI Field Office; Millions of Dollars Wasted as Agents Get Tailed by Other FBI Agents & 'Trouble Makers' Get Labeled Terrorists," True Pundit, March 29, 2018, <https://truepundit.com/welcome-to-the-worst-fbi-field-office-millions-of-dollars-wasted-as-agents-get-tailed-by-other-fbi-agents-trouble-makers-get-labeled-as-terrorists/>; *Omar S. Montoya -v- The Federal Bureau of Investigation*, Civil Action No.: 3:17-cv-1541 (United States District Court, District of Connecticut 2017).

¹⁷³ "Settlement Reached in Veteran FBI Agent's Lawsuit," NEWS 8, March 13, 2018, <https://www.wtnh.com/news/connecticut/settlement-reached-in-veteran-fbi-agents-lawsuit/>.

¹⁷⁴ FBI Records: The Vault, "FBI Field Office and Headquarters Climate Survey Results," Federal Bureau of Investigation, 2013, <https://vault.fbi.gov/FBI%20Field%20Office%20and%20Headquarters%20Climate%20Survey%20Results>.

New Haven field office culminated with then Director Comey apologizing to the employees for senior executives in Washington not taking corrective action sooner.

The article, “FBI Whistleblower Wins Retaliation Claims,” is another example for the need of proper division leadership training. In this case, it is how to deal with a whistleblower and the accusation. A special agent with 25 years of experience, Turner, filed a civil rights case alleging the FBI mishandled a child abuse case. Following the civil rights allegations, Turner claimed that she was retaliated against and that her performance reviews were downgraded. The jury was unanimous in its ruling and awarded \$565,000 against the FBI for retaliation.¹⁷⁵ These types of rulings and media coverage affect the American perspective of the FBI, as well as the workforce’s perception. The financial loss must also be considered.

The climate survey suggests that a division leadership program would need to address improving communication and decision making, and how best to deal with problem employees. Division leadership should start the foundational work on these three areas in the first line supervisor curriculum. The climate survey’s findings underscore the importance of these areas. These findings also demonstrate that a requirement exists to continue to build on these areas and acquire greater expertise and skill in addressing situations that become more diverse and complex as individuals rise in leadership ranks. Again, classroom instruction and role-playing scenarios would be the basis of the class and newly promoted division leaders would participate in a shadowing and mentor program. This type of program would provide access to a reservoir of knowledge accumulated by colleagues currently occupying these positions and allow them the opportunity to build on and learn from their experiences.

3. Senior Executive Service Course

The Civil Service Reform Act of 1978 established the SES system to administer the top tiers of the federal government with “(a) primary purpose of the Senior Executive

¹⁷⁵ “FBI Whistleblower Wins Retaliation Claims,” National Whistleblower Center, February 5, 2007, <https://www.whistleblowers.org/news/fbi-whistleblower-wins-retaliation-claims/>

Service (SES) was to improve federal government management.”¹⁷⁶ Therefore, the goal of the SES course should address the “twin objectives of change and continuity: on the one hand, helping top officials of the Administration steer their agencies in the direction set by the President; on the other hand, carrying forward the institutional memory of government and maintaining high standards of public service.”¹⁷⁷

OPM has identified five executive core qualifications (ECQs) centered around strategic and enterprise level skill sets.¹⁷⁸ The ECQs are leading people, implementing change, meeting organizational goals and customer expectations, managing human and financial capital, and being able to work with other federal, state, and local partners, as well as foreign governments and the private sector.

OPM is overall responsible for the training and development of all senior executives in the government. In addition, “OPM offers a number of training opportunities for senior executives, including the Federal Executive Institute and three Management Development Centers that provide leadership training for government executives.”¹⁷⁹ These training courses focus on OPM’s ECQs and not addressing the needs of each agency. Therefore, each individual government agency has become responsible for the training and development of the SES ranks. The Booz Allen Hamilton report regarding the SES found, “(A)gencies, with the help of OPM, should institute onboarding programs to help new executives integrate into their jobs, develop new programs to identify and train potential future leaders, and provide ongoing development and training for all senior executives.”¹⁸⁰ As Carol Bonosaro, president of the Senior Executives Association testified to Congress,

¹⁷⁶ Frank Yeager, “Assessing the Civil Service Reform Act’s Impact on Senior Manager Work Priorities,” *Public Administration Review* 47, no. 5 (September/October 1987): 417.

¹⁷⁷ Kenneth Whitehead, *Federal Personnel Guide* (Washington, DC: Key Communications Group Inc. 2019), 26, Proquest.

¹⁷⁸ “Senior Executive Service Executive Core Qualifications,” Office of Personnel Management, accessed May 18, 2019, <https://www.opm.gov/policy-data-oversight/senior-executive-service/executive-core-qualifications/#url=ecq1>.

¹⁷⁹ Maeve P. Carey, *The Senior Executive Service: Background and Options for Reform*, CRS Report No. R41801 (Washington, DC: Congressional Research Service, 2012), 17.

¹⁸⁰ Partnership for Public Service, *Unrealized VISION Reimagining the Senior Executive Service*, (Washington, DC: Partnership for Public Service, 2009), ii, <https://ourpublicservice.org/wp-content/uploads/2009/08/1da29db6beaa39509812e2ee6f10508e-1403033188.pdf>.

to build strong SES ranks, an onboarding process of new executives should be available, as well as a continuing professional development system.¹⁸¹ The whole of government, and not necessarily the FBI, represents these needs.

The 2011 SES survey results report showed that of the 714 SES in the DOJ, of which the FBI is part, only 50.3% were “very satisfied” or “satisfied” with the training and information they received in their first 30 days.¹⁸² From this same report, 72.7% of the SES thought insufficient funding was a contributing factor to the lack of a development training program. Furthermore, of the 82.9% who responded, participated, and took advantage of the development opportunities offered, only 58.6% were satisfied with the development training they received. While over 60% attended a short-term training, only 10.4% reported a development assignment that lasted more than 30 days. However, 76.1% reported this development assignment as “very effective” and “mostly effective.”

The FBI’s SES course curriculum needs to address issues that affect the entire FBI in addition to other government agencies and the private sector. Much like analyze, evaluate, and create of Bloom’s taxonomy education, the SES is responsible for the whole of an organization and requires the equivalent training. At this level of government, similar to the military service’s War College, the goal is for professional excellence because “professional education was revitalized and improved with strong emphasis placed on military history and on scientific training and method.”¹⁸³ A similar course would be appropriate for the SES level since it would allow the organization to retain the lessons learned. Similar to the military’s emphasis on history, the SES course would focus on the success and failures and the decision-making process behind them. Furthermore, as the military’s War College develops the officer’s military science, the SES course needs to

¹⁸¹ *Strengthening the Senior Executive Service: A Review of Challenges Facing the Government’s Leadership Corps*, Hearing before the Oversight of Government Management, the Federal Workforce, and the District of Columbia Subcommittee of the Committee on Homeland Security and Governmental Affairs, Senate, 112th Cong., 1st. sess., March 29, 2011, <https://www.govinfo.gov/content/pkg/CHRG-112shrg67120/html/CHRG-112shrg67120.htm>.

¹⁸² Office of Personnel Management, *Senior Executive Service Survey Results for Fiscal Year 2011* (Washington, DC: Office of Personnel Management, 2012), https://www.opm.gov/policy-data-oversight/senior-executive-service/reference-materials/ses_survey_results_complete_2011.pdf.

¹⁸³ Harry Polk, *A History of the U.S. Army War College: 1901–1940* (Ann Arbor, MI: University Microfilms International, 1983), 3.

develop the skills necessary to operate a field office or serve in a higher capacity at FBI HQ.

C. COACHING, MENTORING, AND 360-DEGREE FEEDBACK

An educational leadership development program would incorporate one of the four constructs, or the role of utilizing a mentor. When new agents graduate the FBI Academy, they are on probation for two years and are assigned to a field office. Regardless of the violation or squad assigned, they are assigned a senior agent as a training agent. This agent tasks serves as a mentor and continues the training and development of the new agent beyond the academy. This same principle should occur with new SSAs, ASACs, and SACs for their continued development to allow this continued development beyond classroom learning with a mentor. As an example of the need for a robust mentoring program through all ranks and positions, only 22% of the DOJ senior executives had a mentor advising them on their development. However, those who had a mentor rated “very effective” and “mostly effective” at 84.7%.¹⁸⁴ While only 38.5% received 360-degree mentoring, 85.8% of those reported this type of continued development was “somewhat effective” to “very effective,” while only 14.2% reported “slightly effective” to “not at all effective.”¹⁸⁵

The 360-degree feedback model is used by 90% of the Fortune 500 companies because of its ability “to link specific leader behaviors to organizational performance and for individuals to find out how their bosses, their colleagues, their direct reports, their fellow team members, their internal and external customers.”¹⁸⁶

¹⁸⁴ Office of Personnel Management, *Senior Executive Service Survey Results for Fiscal Year 2011*.

¹⁸⁵ Office of Personnel Management.

¹⁸⁶ Richard Lepsinger and Anntoinette D. Lucia, *The Art and Science of 360-Degree Feedback*, 2nd ed. (San Francisco: Jossey-Bass, 2009), 3.

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V. CONCLUSION

The intent of this thesis was to use the BSC as a framing device to highlight a personnel development gap affecting the FBI's leadership. It also used specific examples of negative impacts to call attention to the existence of this gap. This project features a proposal for the types of training that the FBI leadership can benefit from in the future by noting the FBI's use of the BSC in the past, exploring the utility of the BSC with a slightly revised framework that includes a "stakeholder" category, and discussing how other law enforcement organizations are actively developing their leadership ranks. The issues raised in this paper were selected through the analysis of the consumer perspective of the BSC. The leadership development course described in the previous pages is not meant to be an all-encompassing solution to the issues raised by the customer perspective in the BSC. Instead, it is to be a well-managed leadership development curriculum that seeks to accomplish the objectives detailed in Chapter IV to positively assist the organization's ever-present goal of moving from good to great.

The FBI is the country's leading federal law enforcement organization with responsibilities for a multitude of criminal violations, intelligence collection and dissemination efforts, and terrorism and cyber investigations. Due to the tendency of the institution to promote individuals into positions where aptitudes for rapid "on-the-job" training and tacit knowledge absorption are deemed "good enough" to make the transition to management, individuals in FBI leadership positions are arguably the least formally trained personnel who occupy positions of accountability. The only formal standardized training that special agents receive is at the very beginning of their careers when all the material is presented to achieve basic compliance and proficiency. As special agents ascend the leadership ranks, training must be provided in an effort to provide these individuals a foundation from which to launch their initiatives and undertakings. Individuals who aspire to lead in the FBI must be afforded a leadership development curriculum that provides opportunities to examine and learn from the mistakes of the past, become current on FBI guidelines and policies, and present students with interactive challenges to prepare them better to face the emergencies of the future. These individuals must be asked to lead, not

just manage, and be provided with opportunities, in a safe classroom setting, to explore various scenarios and the actions they would undertake to solve each challenge. The FBI needs a transformational-based leadership development curriculum based on a combination of four training methodologies: coaching, classroom instruction, 360-degree feedback, and experience.

The United States' leading federal investigative agency started in 1908 with a special agent force. In 1935, it became known as the FBI.¹⁸⁷ Over the ensuing decades, the FBI, through the conduct of its agents, the quality of its investigative activities, and its success in bringing justice to individuals who have been the victims of federal crimes, has cemented its position as a premier law enforcement organization in both the domestic and international arena. Since its inception, the Bureau has had to adjust, twist, and pivot in response to added investigative violations, evolving technology, and domestic and foreign asymmetrical threats. The FBI has risen to the task of expanding its role from purely law enforcement to that also of intelligence collection and dissemination. The FBI is an organization made up of approximately 35,000 employees, and despite its best efforts, the FBI does stumble since it is comprised of people. Ironically, the FBI's greatest asset, the caliber, depth, and experience of its people, is also its greatest weakness. The employees, from the support staff to special agents to EM of the FBI, are not infallible. Once an ongoing crisis that the FBI has been tasked to address ends, criticism is definitely not lacking on the FBI's actions by Congress, the media, and former and current employees who have the benefit of hindsight to bolster their assessments. The FBI's workforce does make mistakes. The drive to do better next time and correct the shortcomings is what continues to set the FBI apart and cements its role in the law enforcement community. A leadership development program would capture those mistakes and provide a platform to pass along the learning points.

The FBI hiring ensures that the caliber of employees, especially those selected for the special agents ranks, are self-motivators who can quickly adjust to changing environments, make difficult decisions, and require little supervision and hand holding.

¹⁸⁷ Henry Holden, *FBI 100 Years an Unofficial History* (Minneapolis, MN: Zenith Press, 2008).

The FBI unfortunately relies on these qualities for the rest of these agents' careers without providing robust continuing education. Individuals selected for special agent positions make up the ranks of field offices' and HQ's leadership teams. These leaders are promoted from within the ranks. They are tasked with executing ever more difficult decisions and are expected to motivate and organize their assigned personnel. Great leaders evolve and they draw upon their experiences, the mentorship of others, training, and innate natural abilities. Individuals who raise their hands and are ultimately selected for management positions within the FBI may not have the required combination of factors to be successful in their newly assigned roles. The only way the FBI can address these inadequacies effectively and consistently is through training.

For decades, Congress has held oversight hearings regarding the FBI's decision-making process. Leaders make decisions with resulting consequences. Congressional oversight committees have repeatedly expressed dissatisfaction with the various choices and actions undertaken by the FBI in a variety of investigations that congressional committees chose for review. The overarching solution is greater oversight. Congress has demanded more and more optics into the FBI's investigations and decision-making processes. This recommended solution has created a negative work environment in the FBI. The organization does not want to be made to feel like a recalcitrant child. Instead, it desires to effect internal change.

An internal employee satisfaction survey has revealed that the FBI's work force is unhappy with leadership. In the available data year, the consistent negative sentiment revolved around individuals in all positions of leadership with the resounding concern being a lack of communication with the rank and file, an inability to filter and properly disseminate information, and a reluctance to deal with individuals not performing to expected capacity. Former employees have written books that address these same concerns about the FBI's leadership. The open press is also rife with examples and stories. When viewed in hindsight, concerning shortcomings in individuals' actions and directions to others have been exposed.

It is often said that good leadership is difficult to capture and define, but bad leadership is easily identified, much like houseguests overstaying their welcome. The FBI

lacks a cohesive training plan for individuals who show the potential to be leaders. This deficiency is problematic because it strains the newly promoted leaders when they are placed in a situation that requires immediate action that they have been ineffectively prepared to execute. It causes confusion and dissatisfaction in the individuals who the newly selected manager is tasked with leading because of poor communication and an inability to articulate a plan and vision for the team. Lastly, it is detrimental to the American people to have individuals tasked with the highest and most sensitive investigations who do not have a solid foundation in leadership training to bolster them during times when their mettle is tested.

An established set of leadership courses, designed to lay foundational knowledge and provide the opportunity to build on the acquired skill set during the tenure of a leader's rise within FBI management ranks, is necessary and is on par with other organizations that require effective leadership. The military and several local police departments were used as examples in this thesis. It is an extraordinary expectation that individuals promoted to leadership ranks within the FBI are expected to perform duties and tasks that they have not been trained in or, at times, exposed to during the course of their tenure as special agents. A structured curriculum aimed at three different stages of FBI leadership. The SSA, the ASAC, and EM would allow individuals to build their skill sets during their careers and apply knowledge.

Bloom's taxonomy was used to suggest what the three leadership curricula should strive to instill. The first line supervisor (SSA) curriculum should focus on recognizing and recalling facts and understanding what the facts mean. The mid-level (ASAC) course curriculum should focus on applying the facts, rules, and ideas, as well as breaking information down into component parts (communication). The executive management (SES) course curriculum should focus on evaluating and creating new directions, evaluating the value of information, and then identifying new directions and strategic planning for the organization.

For the FBI to continue to protect America and improve the efficiency of the leadership, a leadership development program is needed. As previously written, in the FBI's climate survey, the supervisors score well. Also, previously referenced

Congressional oversight hearings and DOJ-OIG reports raise the issue about being compliant with appropriate laws and FBI policies. They also report the failure of FBI leadership to ensure compliance properly. This failure in compliance to the law and policy can be considered a factor in the decline of the public's opinion of the FBI. A leadership development program would prepare SSAs for the duties and responsibilities of their new roles. Just as the academy prepares new agents, an appropriate leadership training course is needed to prepare future leaders for their new duties and responsibilities.

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