



NAVAL POSTGRADUATE SCHOOL

MONTEREY, CALIFORNIA

THESIS

**TRANSPORTATION SECURITY LEADERSHIP:
THE RIGHT STUFF?**

by

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December 2008

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REPORT DOCUMENTATION PAGE			<i>Form Approved OMB No. 0704-0188</i>	
Public reporting burden for this collection of information is estimated to average 1 hour per response, including the time for reviewing instruction, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Washington headquarters Services, Directorate for Information Operations and Reports, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302, and to the Office of Management and Budget, Paperwork Reduction Project (0704-0188) Washington DC 20503.				
1. AGENCY USE ONLY (Leave blank)		2. REPORT DATE December 2008	3. REPORT TYPE AND DATES COVERED Master's Thesis	
4. TITLE AND SUBTITLE Transportation Security Leadership: The Right Stuff?			5. FUNDING NUMBERS	
6. AUTHOR(S) Karen Burke				
7. PERFORMING ORGANIZATION NAME(S) AND ADDRESS(ES) Naval Postgraduate School Monterey, CA 93943-5000			8. PERFORMING ORGANIZATION REPORT NUMBER	
9. SPONSORING /MONITORING AGENCY NAME(S) AND ADDRESS(ES) N/A			10. SPONSORING/MONITORING AGENCY REPORT NUMBER	
11. SUPPLEMENTARY NOTES The views expressed in this thesis are those of the author and do not reflect the official policy or position of the Department of Defense or the U.S. Government.				
12a. DISTRIBUTION / AVAILABILITY STATEMENT Approved for public release; distribution is unlimited			12b. DISTRIBUTION CODE	
13. ABSTRACT (maximum 200 words) This thesis focuses on the evolving concepts of network leadership, and managing by network. The Department of Homeland Security (DHS) and the agencies that make it up have daunting, complex challenges to face in protecting the homeland. The Transportation Security Administration (TSA), as a part of DHS, similarly has complex challenges in protecting the U.S. transportation systems from terrorist threats. With the growing complexity and global nature of the terrorist networks, it requires leadership that is collaborative, integrative, and able to take a holistic leadership approach. In the TSA, the Federal Security Director (FSD) position has a field leadership role in developing and supporting transportation security and anti-terrorism plans and activities with stakeholders across the nation. The FSD's mission is to build effective multi-modal transportation security networks. The findings support that network leadership is seen by FSDs, stakeholders, and TSA executives to be the future leadership model for transportation security. The issue focuses on which skills, paradigms, education, organizational strategies and structures will allow FSDs to become skillful network leaders. Areas with the potential to strengthen network leadership in the TSA's Federal Security Director cadre include FSD role clarification, leadership culture and capacity, organizational structure and strategies, and a stakeholder collaboration framework.				
14. SUBJECT TERMS Leadership, leading, network leadership, complexity theory, globalization			15. NUMBER OF PAGES 113	
			16. PRICE CODE	
17. SECURITY CLASSIFICATION OF REPORT Unclassified	18. SECURITY CLASSIFICATION OF THIS PAGE Unclassified	19. SECURITY CLASSIFICATION OF ABSTRACT Unclassified	20. LIMITATION OF ABSTRACT UU	

NSN 7540-01-280-5500

Standard Form 298 (Rev. 2-89)
Prescribed by ANSI Std. Z39-18

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**TRANSPORTATION SECURITY LEADERSHIP:
THE RIGHT STUFF?**

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Submitted in partial fulfillment of the
requirements for the degree of

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

from the

**NAVAL POSTGRADUATE SCHOOL
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This thesis focuses on the evolving concepts of network leadership and managing by network. The Department of Homeland Security (DHS) and the agencies that make it up have daunting, complex challenges to face in protecting the homeland. The Transportation Security Administration (TSA), as a part of the DHS, similarly has complex challenges in protecting the U.S. transportation systems from terrorist threats. With the growing complexity and global nature of the terrorist networks, it requires leadership that is collaborative, integrative, and able to take a holistic leadership approach. In the TSA, the Federal Security Director (FSD) position has a field leadership role in developing and supporting transportation security and anti-terrorism plans and activities with stakeholders across the nation. The FSD's mission is to build effective multi-modal transportation security networks.

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ACKNOWLEDGEMENTS

I would like to express my appreciation to several individuals who made the completion of this thesis possible. First, I would like to thank Dr. Barbara Chilson for her support and patience during my entire Naval Postgraduate School experience. Next, I would like to thank my thesis advisor, Dr. Robert Bach, whose patience and guidance during the thesis process allowed me to complete my thesis on time. And, I want to thank Mark Haught and my staff at DCA for their support in helping me to balance my workload during the eighteen months of the program.

I would also like to express my sincere appreciation to Assistant Secretary Kip Hawley for his innovative leadership that prompted me to select my thesis topic. Special thanks go to all the Federal Security Directors who responded to my survey, without which I could not have produced this document.

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I. INTRODUCTION

A. PROBLEM STATEMENT

The Transportation Security Administration (TSA) was created just two months after the September 11, 2001, terrorist attacks. The Aviation Transportation Security Act (ATSA) gave the TSA the authority to secure all modes of transportation, including aviation. From the outset, no plan or procedures were in place to turn to for an immediate guide to fighting terrorism on a domestic level, and the urgency at the time meant that the TSA needed to stand up the organization quickly.

Not surprisingly, leaders turned to established government methods and practices for security, and to traditional hierarchical models of government for guidance. The skills and competencies of senior leaders were those aligned with the typical military/law enforcement model of command and control leadership. Both the TSA Headquarters and the field organizations followed this model, unaware that the TSA's role, and that of the future Homeland Security organization, would require a more dynamic and collaborative approach to the mission.

During the TSA's formation, there was such chaos and overwhelming levels of activity that the leadership and stakeholder relationship problems being created were not initially apparent to top leadership. However, in the Federal Security Director (FSD) position, which had responsibility for aviation security at the airports across the country, these shortcomings eventually became evident in a variety of locations. In relatively short order, the need for FSDs to communicate effectively — and especially to collaborate with a myriad of aviation stakeholders — challenged the traditional command and control style of leadership skills. Many FSDs did not comprehend the challenges before them, including the accomplishment of short, urgent timelines, with the sensitivities and requirements of an industry in shock and under economic pressures. A number of FSDs stumbled, creating poor relationships, resistance from stakeholders, and a less than desirable reputation for the TSA overall. FSDs faced a new job in which they did not control all the assets needed to be successful, nor did they have the industry experience to

work as effectively with industry associations and airport directors. The industry associations — Airline Transport Association (ATA) and the American Association of Airport Executives (AAAE) — were very vocal about the lack of communication and non-consultative approach that existed in many airports.

Throughout this tough period, I was both a frontline participant and an observer. I served as the first Area Director for the TSA's North Central Area, which encompassed thirteen states and forty-three Federal Security Directors. It was only a few months before I began receiving complaints about the FSDs who reported to me. The major complaint concerned the autocratic approach to relationships with airport stakeholders, particularly with the airport directors. Some FSDs were making security decisions that affected airport operations and facilities with apparently little discussion or collaboration with airport staff. Many airport directors described it as "the new sheriff has come to town, and everyone needs to get out of his way." Complaints also surfaced from employees that were linked to FSDs' autocratic styles.

From the beginning, the FSD job was a very visible one, and Congress soon became aware of the complaints. FSDs were coached and counseled on the aviation industry issues, how to manage generation X employees, and the importance of relationship building, collaboration, and so-called soft leadership skills. After being given a chance to change their behavior, it became obvious which FSDs were capable of change. Those who were able to turn around their relationships with the airport and employees were successful and continued in the role. There were those who could not, however, and, through appropriate actions, those FSDs were removed or moved on to other opportunities. This issue, unfortunately, existed to some extent in most areas across the country. As there were opportunities to fill the FSD positions, the priority was to hire individuals who understood establishing common objectives, collaboration, and working as a team in the local aviation community.

These early experiences highlighted some of the dimensions that the TSA would need for future leadership requirements. Effective leadership and collaboration skills needed to be a priority, not only to meet the urgent needs of the aviation industry, but especially for the TSA's expanding focus on other modes of transportation, including

mass transit, rail, highway and pipeline. This growing and changing focus, the political landscape, and the changing threats highlight the importance of having senior leaders who can effectively respond to new security threats in a broader set of transportation arenas. These future needs are now well recognized within the TSA. The TSA's Senior Leadership Development Committee (SLD), in working to establish developmental programs for the TSA's future leaders, has described the future environment and requirements for the TSA as follows:

it is likely that the TSA will continue facing external and internal changes in the future, and its leaders will need to continue to be agile and embrace change rather than strive for stability. It is also anticipated that the TSA's future leadership will need to have broad experience(s) across all modes of transportation, functions and geographies, as well as the ability, inclination, and networks for collaboration.¹

The need for a strong, collaborative leadership culture, one that cuts across organizations and transportation sectors and networks, is familiar to a growing body of literature on senior leadership competencies. As William Eggers stated in his book, *Governing by Network*,

....the traditional hierarchical model of government simply does not meet the demands of this complex, rapidly changing age. Rigid bureaucratic systems that operate with command and control procedures, narrow work restrictions, and inward looking cultures and operational models are particularly ill suited to addressing problems that often transcend organizational boundaries...²

Understanding the concept of "managing by network," and having the skills to establish and support a network, appears critical for the TSA's future leadership. The TSA's executive responsibilities, and especially the challenges facing Federal Security Directors, will only broaden and become more complicated; they must garner support and participation of an increasing number of diverse stakeholders to prevent future terrorist attacks and/or threats. In particular, the TSA's success will be dependent on how

¹ Executive Resources Council/Senior Leadership Development Team, Succession Plan for TSA (September 2008).

² William Eggers and Steven Goldsmith, *Governing By Network* (Washington DC: Brookings Institution Press, 2004), 7.

successfully the agency can: 1) clearly identify the skills, talents, experiences, culture, paradigms shifts and key organizational strategies and structures needed for its leaders, and 2) its ability to educate, train, hire, develop, and retain leadership with these new characteristics, mindsets, and skills.

B. RESEARCH QUESTION

The purpose of this thesis is to identify the most critical skills, experiences, talents, paradigm shifts, and organizational strategies and structures required to build a successful leadership and cultural framework for the TSA and its stakeholders. In particular, it specifically addresses these leadership challenges for the TSA's Federal Security Directors.

C. ARGUMENT

The events of 9-11 forever changed the environment and priorities of our nation. In response, our nation's leadership immediately took on the task of analyzing how this "disaster" could have happened. The 9-11 Commission identified many missed opportunities to thwart the tragic events, but also identified a broader inability to adapt to the changing environment of the twenty-first century. Was this a failure of leadership? Countless books, articles, and congressional testimony have provided insight and commentary on all aspects of the event. The one reality that most everyone agrees with, however, is that the United States is engaged in a global war on terror that has changed the paradigm for many of our traditional beliefs and ways of operating. Leading in this changed environment creates a compelling need to take a fresh look at what will make the most effective government leader in the future.

A central theme, identified as a reason the United States was unable to detect or prevent 9-11, was a "failure of imagination." Practically, strategic imagination was stifled by organizational silos, territorial behaviors, and excessively narrow objectives. Governmental leaders could not see beyond their existing agency boundaries in a way that allowed them the speed and flexibility to recognize and evaluate warnings in time. The United States did not even have a strategy for domestic terrorism, let alone a collaborative approach to sharing critical intelligence. After 9-11, Congress rushed to

take several major steps to better organize resources to allow for organizational integration, improved communication, and a networking of our key government agencies. The Department of Homeland Security (DHS) was created, combining twenty-two agencies that logically would be the foundation for protecting the U.S. homeland. Additionally, the Office of the Director of National Intelligence (DNI) was created to oversee sixteen major intelligence agencies, and to drive the required sharing of intelligence across critical entities. These organizational changes, in addition to newly selected leadership and significant resources, were intended to allow the U. S. government to make significant progress in implementing a changed organization that addressed prior shortfalls.

The DHS, DNI, and other agencies are still struggling to fill their new missions and objectives. Why? One reason appears to be that, although there was an organizational change, there was no concept or vision created as to what leadership needed to look like, or what changes in skills, tools, experiences, talents, and paradigm shifts were required to succeed and support the organizational change.

Leadership is almost always seen as the critical element in organizational success. Setting a clear vision and direction, leading change, developing effective strategies, creating an environment that supports the mission, and selecting and developing employees with the right skills, behaviors and decision making are some of a leader's contribution and challenges. Has the leadership environment changed so significantly that it is undermining the government's ability to change? Are the chaotic and complex problems of homeland security requiring a new leadership framework? Many critics and researchers agree that this is the case.

The TSA provides an excellent example of the changed environment and new challenges to leadership. The TSA is: 1) a new agency, 2) with a new mission, 3) with the largest and newest workforce in the government, and 4) with a new need for partnering across government agencies and the nation's private transportation sector network. This new environment clearly requires a new paradigm of network leadership, or "meta leadership," as opposed to the typical top-down approach. Network or Meta leadership requires a distinct mindset with an external focus: leaders who have the ability and

inclination to work across sector boundaries and the many network-building challenges. Analyzing the leadership issues and challenges of the TSA could be useful to other DHS agencies striving to find solutions.

Fighting terrorism is unlike any major war the U. S. has fought before. Al Qaeda has formed a worldwide network that threatens U. S. resources around the world. As William Eggers points out, “In a world in which elusive, decentralized, non-state entities like Al Qaeda and Hezbollah represent the biggest threat to western democracies, the networked approach has become critical to national security. It takes a network to fight a network.”³

Change in the environment has been evolving as globalization has been occurring over the years; however, the global war on terror has hurled the DHS and its agencies headlong into environmental and organizational changes in a way no one anticipated. Leadership must adapt and develop a leadership framework that can work effectively. History supports this conclusion based on leadership theories of the past. Leadership development represents a continual evolution over the years. Theories have been focused to fit the needs and viewpoints of the cultures and environments of the times. If we are to succeed in the war on terror, however, there needs to be a sense of urgency to develop a framework to deal with the changed environment in the DHS and our government. It must take into account the evolving “networked leadership environment,” and a recognition that complexity, constant change, and uncertainty are here to stay.

D. SIGNIFICANCE OF THE RESEARCH

This research will examine the leadership role of the Federal Security Director (FSD) and the changing environment, barriers, responsibilities, and threats; that mandate a set of skills, talents, experiences, paradigm shifts, and organizational strategies in order to be successful. The success of the TSA will be dependent on how clearly the agency can develop and clarify a leadership vision, framework and strategies to educate, train, develop, attract, and retain effective leadership.

³ Eggers and Goldsmith, *Governing By Network*, 7.

Many of the agencies that make up the DHS have similar issues facing them. The complex and chaotic issues in the new world of homeland security have presented challenges that are extremely different from the past. Significant changes must be made if the war on terror is to be won.

An analysis of the FSD position, and its requirements and existing gaps, will provide value as an example of the leadership challenges and leading in a complex security world. Senior leadership in other agencies can define their situation and use the FSD leadership framework to refine their leadership issues, barriers, gaps and needs. Top leadership in all the DHS agencies could benefit from a clear alignment of a leadership mindset, skills, and framework.

E. SUMMARY

This thesis will discuss the evolving leadership requirements of homeland security and the TSA's Federal Security Directors position. Leadership has been one of the most discussed and analyzed topics throughout history. Different leadership theories and cultures have helped to define as well as explain the different periods of our business and social evolution over the centuries. A review of these key management theories in Chapter II will provide perspective for the current state in which we now find ourselves, and our attempt to establish a new compass for leadership effectiveness in the world of homeland security and "all hazard" threats to our nation. As a means to clarify the vision and refine the issues and barriers that exist in this arena, the TSA's Federal Security Director position in transportation security will be the focus for both survey and analysis. Approximately 126 Federal Security Directors have field responsibility for planning, coordinating, and executing multi-modal transportation security across the nation. As part of the research accomplished in this thesis, an anonymous survey asked questions regarding leadership skills and requirements, barriers, training, and security interactions and activities. The survey also asked the FSDs about stakeholder needs and requirements for successful partnerships. Those results were joined with the results of two sets of personal interviews with both stakeholders and the TSA senior leadership in order to

capture the range of opinions and expectations from leaders who will be responsible for creating the direction of multi-modal transportation security.

Increased globalization has driven a more interconnected world, and has led to a new “networked” organizational model that is becoming a defining feature of many operations. This fact, along with the growing complexity of problems such as global terrorism, are requiring new thinking and leadership, along with more integrated and innovative approaches to problem solving. “Networked” leaders today require a distinct mindset, and a different set of competencies and capabilities. In addition to traditional duties, leaders must also be adept at stabilizing, integrating and managing a network. This requires working in an open system and an aptitude in such areas as negotiations, mediation, risk analysis, trust building and collaboration. Additionally, network managers must have the ability to work across sectors, identify common goals, and influence the achievement of those goals without normal institutional power. Personal and organizational credibility across organizational lines becomes the foundation of network leadership.

FSDs, TSA Executives and stakeholders all cited “network leadership,” collaboration, and shared decision making, as the future of multi-modal transportation security. The question then becomes: What are the barriers that stand in the way of FSDs becoming network leaders? The survey results provided some insight into existing barriers. First, FSDs felt there was not a great deal of clarity around their job definition. And, although network managers must deal with “gray,” the feedback indicated that a substantial number of FSDs did not have a clear vision of how to create and maintain a multi-modal transportation network, and also felt that current resources and workloads were a major hindrance. Organizational structure and functioning was another area of concern, along with Headquarter’s (HDQ) decision making and strategies. A number of the issues that were raised by FSDs have resulted in FSDs being more internally focused than externally focused with stakeholders. Having an external focus is a critical element in a successful network manager, indicating that resolution of these barriers is essential. These issues, along with the fact that half of the FSDs gave only moderate support to the concept of “stakeholders actively participating and influencing decision making around

security goals” in the future — which was quite contrary to Executives and stakeholders feedback on this topic — presents another issue that could limit network effectiveness.

Having identified these organizational hurdles, four areas need to be addressed in order to make significant progress in establishing network leadership as the norm for FSDs. The four are: 1) Clarifying the FSD role and vision for the future; 2) Developing a network leadership culture and capacity; 3) Reviewing and revitalizing Office of Security Operation HDQ organizational structure and strategies; 4) Developing a framework for stakeholder engagement and collaboration. Specific recommendations regarding actions to address each of these hurdles are outlined in Chapter VI. With intelligence continuing to identify evolving terrorist threats, it is important to have a sense of urgency regarding the development of multi-modal “network leadership” capacity to better support and protect transportation systems in the U.S.

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II. LITERATURE REVIEW

There is no shortage of articles and books that have helped to define the shape and direction of leadership over the decades. The management theories, ranging from Fredrick Winslow Taylor's *Theory of Scientific Management* to Hersey's and Blanchard's *Theory of Situational Leadership*, provide a historical perspective of the cultures and needs of the times. All of these significant theories add value, including newer leadership theories such as network leadership, partnerships, collaborative leadership, and strategic alliances. As the rapid rate of change continues and even increases, new approaches and strategies are important to help industry and government leaders succeed. Although there is rich research in leadership, most of it has been developed and sensibly applied in the private sector. As the private and public sector become more integrated due to globalization, it will be interesting to see if the public sector moves to incorporate these progressive and diverse leadership practices.

Over the years, numerous leadership theories have evolved to represent expansive viewpoints on leadership practice. It is important to look at leadership through several lenses. Researchers have created and used leadership theories to make predictions about how leadership variables are interrelated. Many theories exist: Taylor, Maslow, McGregor, Blake and Mouton, Herzberg, Rensis-likert Systems, Blanchard, Covey, and more. Throughout the years, all these theories have been subject to criticism and applause; however, each continues to contribute to the body of knowledge necessary for individuals seeking to become better leaders.

Fredrick Winslow Taylor introduced his Theory of Scientific Management in 1911, during the age of the Industrial Revolution. The Industrial age was focused on work production, not people. The needs of the organization were far greater than those of the people. The situation or environment during this time called for increased output for mass production. Emphasis was placed on creating the most efficient and organized establishment. The workers adjusted to the needs and demands of the situation and the leader. There was a clear delineation of authority and responsibility within organizations using this leadership theory.

Scientific Management changed the nature of work during that era by taking control and decision making away from the people on the floor, and placing it into the hands of managers. Scientific Management theorized that employees were not highly educated and thus limited in their ability to perform complex tasks. This approach created a negative environment, discouraging motivation and creativity.

Modern theory assumes that followers have an intimate knowledge of job conditions and are, therefore, able to make useful contributions. Positive and meaningful contributions result in a sense of empowerment and ownership, resulting in increased productivity and morale. The notion of engaging followers to take ownership in their behavior is based on the leader's ability to appeal to their needs. The two leadership theories focusing on human needs are Maslow's Hierarchy of Needs, and Herzberg's Two Factor Theory. Both of these theories place responsibility on the leader to ensure that the needs of the followers are being satisfied. While it is important for a leader to be sensitive to needs, needs-based theories place little accountability on the follower.

Motivation in the workplace can be generated by things other than the efforts of leaders satisfying basic needs. According to McGregor, there are two types of management behaviors specific to ideas and attitudes regarding human nature and motivation. McGregor identified two sets of assumptions about human nature and motivation, calling them Theory X and Theory Y. Theory X reflects a pessimistic view of people. A basic tenet of this theory is that people want to be directed, as they are not interested in maintaining responsibility for their actions. Conversely, Theory Y reflects the viewpoint that most people are intrinsically motivated by their jobs. Studies have shown that managers with the Theory Y mindset find greater success than those with opposing views on human nature in the workplace.

Leadership theories began to demonstrate a shift in content in the late 50s and early 60s when the once leader-driven theories began to include group and situational characteristics. Historically, followers had been expected to make the necessary changes to meet the needs of the leader and the situation. The concept of leaders adjusting to meet the needs of followers and situations was a result of the changing mindset of society.

Management theories began to evolve around the ideas set forth by Blake and Mouton and their Managerial Grid. Their study was the first to step toward analyzing not only what leaders do, but also, more importantly, their concern for people and concern for production. Leaders, followers and work environment factors were taken into consideration when designing the grid to profile leadership behaviors.

Rensis-Likert's Systems 1-4 theory identified four types of leadership behaviors and environments for motivation. Likert believed the participative system was the optimum choice, where followers have high levels of confidence and motivation within the organization, and all are responsible for reaching goals, with communication and teamwork ranking high in importance. According to Likert, this is the most ideal environment for both profit growth and human growth.

Hersey and Blanchard constructed a practice enabling leaders to adapt to the varying placement of employees along a developmental continuum. The theory of Situational Leadership demands the leader demonstrate a strong degree of flexibility, as followers move along the continuum. Effective leaders are those who can adapt their leadership style based on the requirements of the followers and the situations in the workplace. This was the first time that leadership was viewed in the context of situations.

Steven Covey addressed the need for character in the workplace with his theory of Principle Centered Leadership. Covey's theory asserts that there is a connection among the personal, interpersonal, managerial, and organizational levels in leadership practice. The four levels indicate the need for trust, honesty, and integrity in the workplace to create and maintain healthy working relationships. It is the responsibility of the leader to instill these values into the organization. Covey's leadership theory provides the framework for leaders to incorporate character ethics into their personal and professional practices.

The leadership theories that have been discussed were a product of an evolution of leadership theory that has been influenced over the years by a variety of factors. When examining the different theories, one can identify the underlying leadership principles found within each theory. All add value to the study of leadership, but further research in

the last several decades has clearly supported the contention that there is no one best leadership style. Successful and effective leaders are able to adapt their style to fit the requirements of the situation. The best leadership style is one that incorporates different models into one paradigm that assumes the only constant is change.

Quality leadership has always been seen as a key element in the success of an organization. So why is it that the leadership at the Department of Homeland Security (DHS) are continually criticized and frequently described as ineffective in the press? We hear: “Why can’t the leaders of the DHS or its subagencies seem to create the effective programs and policies needed to ensure the security of our Homeland?” Since 9-11, the global war on terror has created a driving impetus to use our country’s resources effectively across federal, state, local, and private industry to protect our citizens and infrastructure. Billions of dollars have been spent in an effort to do so; however, we are reminded each day in the paper and by Congress that we have major gaps and vulnerabilities yet to be addressed. Is this situation a result of the environment changing so significantly, or because terrorism is so complex that we are without a leadership model from the past that works? Certainly, every new situation provides the opportunity to review the past leadership practices and look for adaptations or new approaches that may be more effective. The question to be assessed is what is the right model for the evolving threat of terrorism?

Goldsmith and Eggers bring insight to the debate by identifying “the need to reconcile traditional top-down hierarchy, built along vertical lines of authority with emerging networks, built along horizontal lines of action.”⁴ Additionally, “...the traditional, hierarchical model of government simply does not meet the demands of this complex, rapidly changing age. Rigid bureaucratic systems that operate with command and control procedures, narrow work restrictions, and inward looking cultures and operational modes are particularly ill suited to address problems that transcend organizational boundaries...”⁵ As in previous studies, when leadership evolved with

⁴Eggers and Goldsmith, *Governing By Network*, ix.

⁵ Ibid., 7.

significant environmental changes, there is an apparent need now to assess what leadership model will best suit the DHS and its subagencies.

The leadership environment for the government has changed. Leaders no longer only manage programs and people, and fund required initiatives. Globalization and global networks have required leaders to move outside their organizations to accomplish their missions. Leaders are coordinating work through complex links to both public and private organizations. Many researchers call this new pattern, “managing by network.” Additionally, leaders must learn to develop strategies that will work in a world of constant change, uncertainty, evolving threats, industry stakeholders, and cross-jurisdictional authorities, all while securing resources outside their organization. Christopher Bellavita describes,

... a framework that can help keep the homeland security community between the white lines on the road to a future worth creating. It recommends a strategic process that incorporates the dynamic realities of complex adaptive systems. It asserts that recognizing and managing systematic patterns – rather than focusing on programs – would benefit homeland security.⁶

Complexity and chaos are not new challenges to leadership in many sectors, but the dynamic impact of globalization and complexity can produce unexpected consequences that must be anticipated and managed.

So what does a “network leader” do to be successful? “Robert Agranoff and Michael McGuire found that the primary activities of network managers consist of selecting the appropriate actors and resources, shaping operating context of the network, and developing ways to cope with strategic and operational complexity. Myrna Mandell reports that core network leadership activities articulate the initiative, build the consensus, manage change process, weather storms, and continually refine and redesign the effort without losing support.”⁷

⁶ Christopher Bellavita, “Changing Homeland Security: Shape Patterns, Not Programs,” *Homeland Security Affairs* II, No. 3 (October 2006), 1.

⁷ Nola Joyce, *Can You Lead Me Now? Leading Change In the Complex World Of Homeland Security*,” NPS Thesis (September 2007), 28.

Two recently published books bring to light significant new organizational concepts and leadership skills: *Megacommunities* and *The Starfish and the Spider*. These books discuss leadership concepts that are emerging as corporate and national issues and problems, become more global, complex, and interconnected. They point out that organizations themselves are more complex, as are the network of organizations often assembled to provide multi-stakeholder solutions to challenges. A major point made in both books is that the typical command and control style of leadership, so typically used by leaders, is not effective with the many large complex issues of today. Instead they have identified a need for a different style of leadership that is collaborative in nature and highly flexible, willing to cross boundaries, and to be open to innovative and integrated solutions.

Megacommunities is focused on bringing together three sectors, government, business, and civil society, to address shared, complex issues that cannot be solved alone. The authors describe this by saying,

These new complexities are a natural consequence of a world made smaller by integration and interdependency.⁸ As a result, leaders from all three sectors face a growing need to operate in a more open, distributed and collaborative manner that recognizes the shared nature of risks, rewards, and responsibility.⁹

The authors strive to have leaders see that a new style of leadership is required to be effective in the complex world of today. Leadership needs to be as comfortable facilitating cooperation among leaders in other sectors and organizations as it is within one's own organization.¹⁰ Their focus is on "collective leadership," that can offer leaders new ways to achieve effective partnerships, accountability, stability, resilience, and the desired results. The Megacommunity concept is collective leadership, where no one person or organization is necessarily in charge, but members fill different roles and hold each other accountable.

⁸ Mark Gerencser, Reginald Van Lee, Fernando Napolitano, and Christopher Kelly, *Megacommunities* (Palgrave Macmillan 2008) 9.

⁹ Ibid., 9.

¹⁰ Ibid., 10.

Similar to *Megacommunity*, *The Starfish and the Spider* reinforces the same idea — that a command and control organization is frequently becoming ineffective with the changed environment that exists today.

In a decentralized organization, there is no clear leader, no hierarchy, and no headquarters. If a leader does emerge, that person has little power over others. The best that person can do to influence people is to lead by example. This is called an open system, because everyone is entitled to make his or her own decisions.¹¹

The characteristics that seem to emerge around a decentralized society are flexibility, shared power, ambiguity, and a network structure where each member has access to knowledge and the ability to make use of it as they wish. Leadership exists mainly through effective collaboration with others, being a champion, and through a catalyst role. The catalyst role is an inspirational figure, however, which spurs others to action, and then cedes power, transferring the power back to the members. This same role was identified in *Megacommunities* as a key role as well.

The Starfish and the Spider presents several examples of decentralized entities, including Craigslist, GE and Al Qaeda. Each example has different levels of decentralization, but another common element in successful working and leadership is trust. As members work independently and have access to all the same information, they operate on a common ideology and the premise that people are good and will do the right thing for the effectiveness of the group. If they do not, others will call individual members on the issue or correct it. This aspect also parallels the success factor surfaced in *Megacommunities*, regarding group dynamics, beliefs, and behaviors.

Although networking has become a popular term, cooperation between various entities can take place in a variety of forms — lobbying, partnerships, roundtables/councils, and strategic alliances, to name a few. Cooperation can be developed at all levels, including the national, regional, and local levels.¹² What is

¹¹ Ori Brafman, Rod A. Beckstrom, *The Starfish and the Spider* (Penguin Books LTD., 2006), Back flap of cover.

¹² Mark Gerencser, Fernando Napolitano, and Reginald Van Lee, “The Megacommunity Manifesto,” Resilience Report, Booz Allen Hamilton (August 2006), 1.

consistent across both public and private leaders is that the challenges they face can no longer be solved alone. Yet there is not any clear path or way ahead, as this new leadership environment is still evolving. There are no definitive management theories, and the complexity of the problems and the environment make it difficult to identify a simple solution. However, “The winners are those that understand how to intervene and influence others in a larger system that they do not control.”¹³

The evolution of leadership will continue at the DHS, as new global challenges and environments are created. The DHS and the TSA are still in their infancy, and therefore must seek, through experience, the best ways to operate. “Leadership studies have come a long way from the study of qualities, functions, behaviors, and leadership styles to contingency models. The situational approach pressures interactions and patterns of behavior and understands that leadership varies from one situation to another.”¹⁴ Network organizations can draw on this knowledge, as the research continues to identify what organizational forms and leadership requirements the new Homeland Security Organization and culture will eventually drive. The Transportation Security Administration, a subagency of the DHS, is the newest agency in the government. The TSA has had significant leadership and organizational challenges since its inception six years ago. A review of leadership in this organization and its network environment could provide ideas, trends, patterns, tools, skills, and paradigm shifts that would be useful to other agencies in the DHS.

Leadership is critical to the effectiveness of an organization and its culture, and it is important for the DHS and its subagencies to have a vision of leadership in the future, to identify what gaps may exist, and to become a venue for further analytical study to be accomplished. The complexity of the DHS’s environment, and its involvement today in a larger system that is not under government control, will drive new diverse leadership approaches. The gaps that still exist in this area of leadership would benefit from further

¹³ Gerencser, Napolitano, and Lee, “The Megacommunity Manifesto,” 3.

¹⁴ Aija Tuimala and Jyrki Ahola, “*Leadership in Network Organizations*,” Telecom Business Research Center Lappeenranta, 2007, 17.

research. Gaining insight, through experience and research, will allow for a clearer path for the development of our future leaders, and greater effectiveness in the changing working environments of the DHS.

Drawing from the many theories of leadership, including those reviewed, there are several key dimensions and questions that the TSA leadership and stakeholders need to be asked to clarify priorities and direction around future leadership. For example, is there common vision and agreement regarding “network management” principles in transportation security? What are the most security-enhancing activities for an FSD? How much time do FSDs spend meeting and working with stakeholders? What are the most important competencies for a multi-modal network manager? Stakeholders, the TSA executives, and Federal Security Directors have provided data for an empirical study that will provide detailed information in these areas and others. Personal interviews and a detailed survey will bring perspective to leadership for the future.

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III. RESEARCH METHODOLOGY

Since its creation and implementation as an agency in the United States, the Department of Homeland Security has faced many leadership challenges. This is particularly true because of the complexity of homeland security issues and in general, the growing global nature of management. The Transportation Security Administration (TSA), which is a part of Homeland Security, exemplifies the new nature of the problem. The TSA has had to create and develop a new organization, implement new laws, deal with new threats, work with new stakeholders, develop new skills, and manage organizational change with a new workforce. These challenges are significant by themselves, let alone coupled with the complex issues of protecting the U.S. transportation systems and the global aviation system from terrorist attacks. Leadership has been an essential component of the TSA's success and its failures. This has been the case during the agency history, both in developing multi-modal transportation threat mitigation strategies and dealing with stakeholders. As our understanding of complex issues and threats in transportation security continues to grow, however, what leadership skills, competencies, experiences, and paradigm shifts will be required to meet these challenges in the future?

The TSA's Federal Security Director position (FSD) is a particular focus in this research effort, as this job carries significant leadership responsibility for planning, coordinating and executing transportation security across the nation for all modes of transportation. The FSDs are responsible for building stakeholder partner relationships and developing local multi-modal security networks moving into the future. As a result, determining their current preparedness for this role, compared to the skill sets that will be required moving forward, will provide important information for hiring and development.

A. RESEARCH DESIGN

The research methodology included two research segments. The first involved a survey that consisted of 24 questions (Survey Tool Appendix A). The second included two sets of interview questions: one for the top level senior leadership of the TSA, and

another for the top level leaders of multi-modal transportation stakeholders located in the National Capital Region, Washington D.C. (Interview questions Appendix B).

The anonymous survey instrument collected data from the TSA Federal Security Directors. A survey instrument was used with the FSDs to achieve breadth with feedback on perceptions, information, issues, and current successes. The survey asked a variety of questions about FSD's views of what it takes to be successful in the FSD job. The questions focused on leadership skills and requirements, barriers, training, and security interactions and activities. The survey also asked for FSD's perceptions of stakeholder's needs and requirements for successful partnerships. The survey was made available to all 126 FSDs in the TSA. The survey was developed through SurveyMonkey.com, and was delivered through the TSA intranet email system. The researcher introduced the purpose of the study and requested that the FSDs complete the surveys within a two-week period, by June 30, 2008. To maximize the return rate, a reminder was sent to all participants at the mid point of the period, through the TSA email, requesting that any FSD who had not completed the survey please do so by June 30.

The two sets of interview questions, one for top TSA senior leadership and the other for key National Capital Region (Washington D.C.) multi-modal stakeholders. Interviews were conducted during the June to August 2008 timeframe. Interview questions allowed for in-depth probing of stakeholder and executive thoughts and opinions on issues. The questions were designed to elicit information about the FSD position and required skills, stakeholder involvement and perceptions, and the TSA's role in transportation security. Each interview lasted approximately one hour. Stakeholder interviews were accomplished in several transportation modes, including Airline, Airport, Mass Transit, and Passenger Rail. Twelve interviews were accomplished, including the eight stakeholder and four TSA senior executive interviews.

B. DESCRIPTION OF FSD SURVEY RESPONSE

Between June 16, 2008, and June 30, 2008, 103 completed surveys were received from a total of 126 possible TSA Federal Security Directors. This represented an 81.7% survey response rate, which is a reasonable return rate from an email survey. In

comparing the characteristics of the survey respondents to the total FSD population, those who answered the questionnaire were very similar to the total population. The Figure 1 chart shows that the percentage of women and men in the sample closely match the actual FSD population. Approximately 85% of the actual FSDs are men and 15% are women. In the sampled group, 83.7% of the respondents were male and 16.3% were female. A comparison of age was also very similar; Figure 2 shows the age distribution of the FSD population answering the questionnaire. These sampled respondents were roughly the same age as the actual FSD group. The average age of the total current FSD population is 54.8 years old.

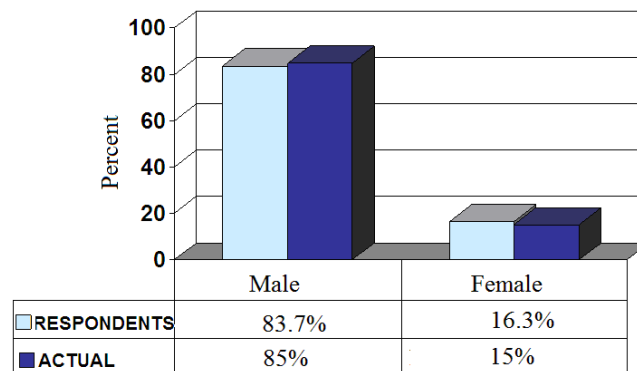


Figure 1. Comparison of Sex of Survey Respondents to FSD Population

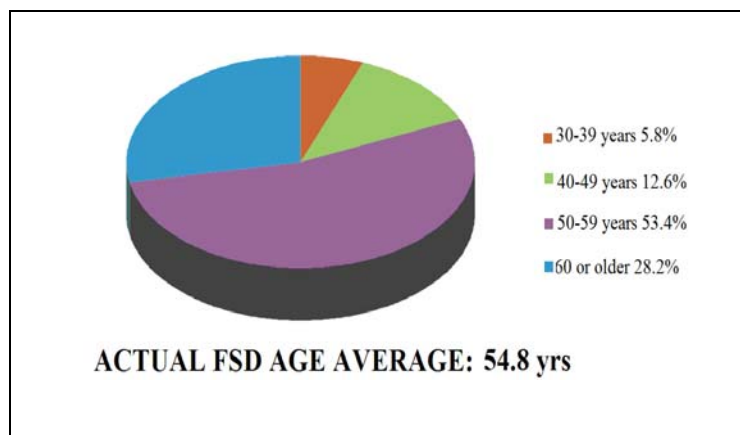


Figure 2. Comparison of Age of Survey Respondents to FSD Population

As was mentioned in the literature review in Chapter II, leadership success is influenced by the interaction of an individual's skills and their situation. Many FSDs were hired from environments outside of the situation in which they were to be employed. The figures in Table 3 show the primary backgrounds from which the FSDs came. The majority came from law enforcement and military; with the smallest number coming from state and local government. There is, however, some background diversity.

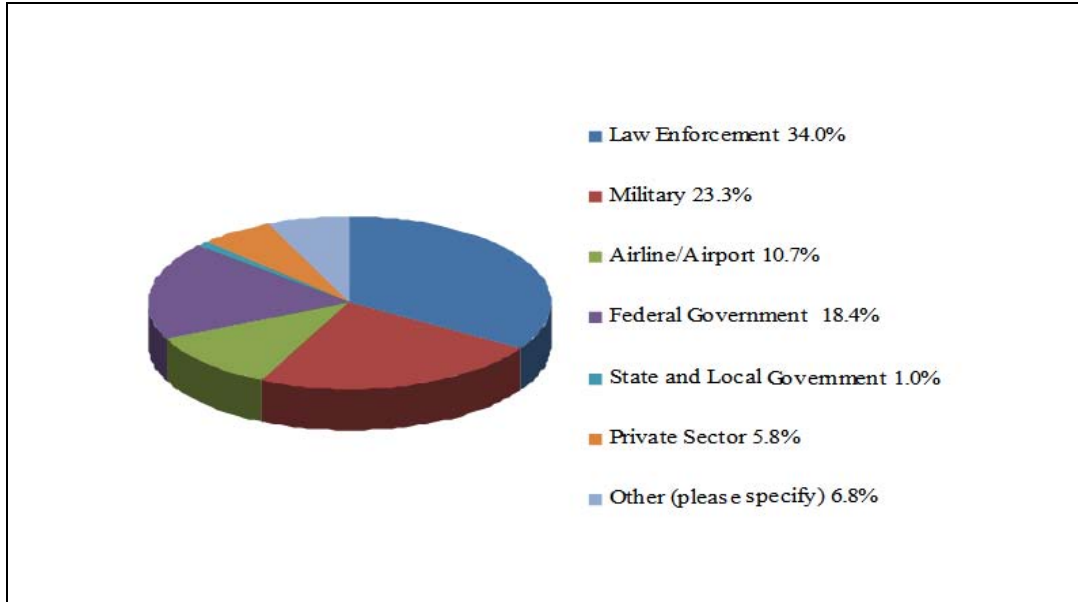


Figure 3. A Summary of FSD Occupational Areas Prior to Joining the TSA

A comparison of FSD job seniority shows that there is a slight variation between current FSDs and the sample group. The sample group was somewhat more senior. However, the difference may have been caused by the overlap of designated years in the defined survey response options. Regardless, it does not appear that the variation is enough to significantly change any analysis results.

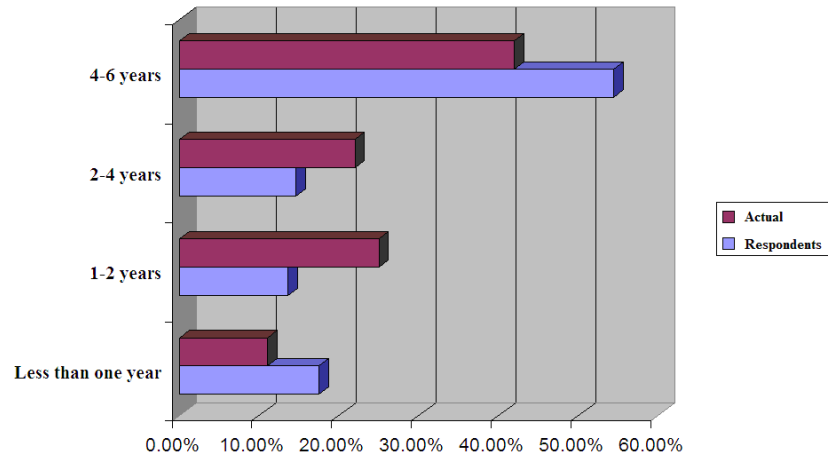


Figure 4. A Summary of the Number of Years FSDs Had Been in the Job

The size or category of airports assigned to FSDs is another variable across the FSD population. The chart in Figure 5 reflects the percentage of actual FSDs located in different size category airports, compared to the sample respondents. Approximately 10% more large category airport FSDs responded to the survey. Although this presents some variation between the sample and the actual population, it is aligned closely enough so as to be representative.

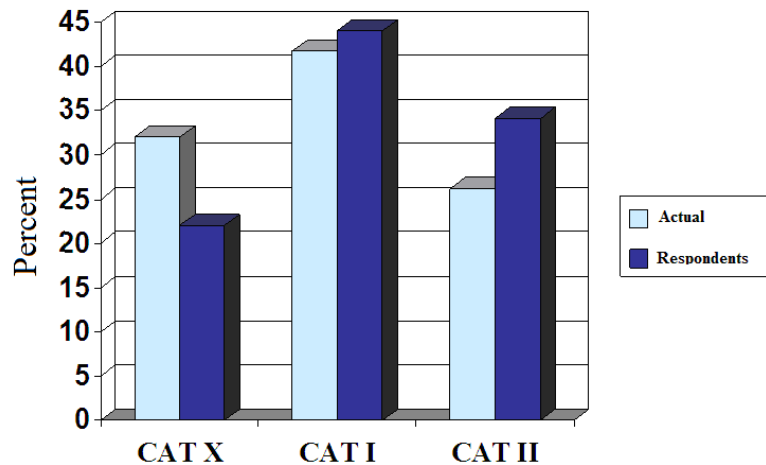


Figure 5. A Summary of FSDs Assigned by Category of Airports

The following analysis relies on a sample that is quite closely aligned to the actual FSD population. Therefore, the results provide accurate indications of the skills, training needs, issues, barriers, and priorities of the TSA FSDs across the nation.

IV. ANALYSIS FINDINGS

This chapter reviews the results of the FSD survey, and stakeholder and senior leadership interviews, conducted as thesis research. The goal of the research was to learn from the FSD population, senior TSA leadership, and stakeholders about their perceptions regarding a number of aspects of the FSD job, and about their interface and perception of key stakeholders. The analysis will provide a unique review that will provide a framework from which to draw conclusions and recommendations about FSD leadership requirements for the future.

The sample survey population consisted of 126 FSDs, of which over half have been in their job since the agency was created almost six years ago. On average, they are 54 years old, and came to the TSA predominantly from the military and law enforcement professions. The senior leadership interviews were conducted with the TSA's Assistant Secretary and Deputy Assistant Secretary, and the Assistant Administrator (AA) of Security Operations, along with one of the AA's Area Directors. National Capital Region stakeholders were another focus for interviews that provide yet additional perspective to identify needs and requirements for leadership in the future. All of the data combined provides an important perspective on how well aligned the FSDs perceptions are to those of stakeholders and senior management. These results also provide a greater perspective as to whether there is a common vision for leadership, where gaps may exist, and where development may be required.

A. FSD SURVEY

1. Role Clarity and Effectiveness

The FSD position has been part of the TSA since its inception in 2002. Due to changing job requirements and a rapid startup of the agency, there has been turnover in a number of FSD positions; however, there has been relative stability for the past two years. One of the questions asked of the sample group related to current effectiveness: "In your opinion, how effective, overall, are FSDs performing their jobs?" The response reflected that over 75% thought that FSDs were performing in the category of "Highly

Effective” or “Quite Effective,” and 21.8% said “Effective.” Only 3% felt FSDs overall were minimally effective. This clearly indicates that the group felt that they were very effective in performing the job as it exists today. Another related question was, “How well is the FSD’s job defined?” The responses to this question showed less clarity. Only 6.9% felt the job was well defined. While 42.2% felt the job was fairly well defined, 34.3% felt it was somewhat defined. Another 16.7% said that the job was minimally or ineffectively defined.

A comment by one of the FSDs taking the survey sheds some light on these results:

The role of the FSD is an ever changing creature. As a new organization, the FSD role was focused on the establishment of a new organization (building an internal structure and the establishment of standardized processes). This was demonstrated through the utilization of a military/police type management style (take the hill). As the agency matured the role of the FSD changed to one of institutionalizing internal methodology and the establishment of an external validation. This external validation takes the form of organizational check and balance to now validate the efficiency and effectiveness of the organization (metrics). All the time this is going on the organization is maturing its core mission and worth to internal and external customers. The worth will be the next evolution for the FSD; expanding mission to include the other modes of transportation and a very strong presence in disaster response and recovery.

It seems clear that the evolution of agency and the FSD’s role is continuing to drive change that creates a lack of clarity for FSDs due to expanding roles and evolving threats.

2. Performance Requirements and Enhancement

Several questions in the survey focused on identifying performance, such as important security functional areas, ways that FSDs can improve their performance, and asking about the biggest barriers they need to overcome. Figure 6 shows the functional areas respondents identified as most important to transportation security. At the top of the

list were Screening Operations; Intelligence Analysis; and Employee/Management Development. At the bottom of the list were Administration; Customer Service; and Security Coordination Center.

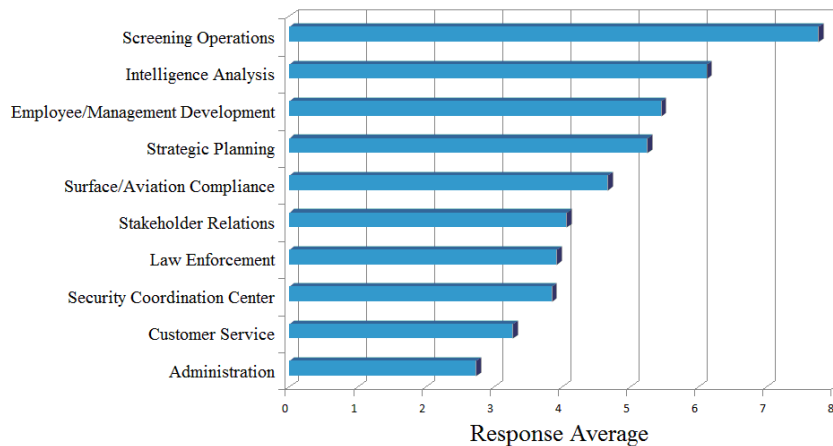


Figure 6. A Summary of Functional Areas of Most Importance to Transportation Security

In Figure 7, FSDs identified several areas they thought could improve their performance. The top three were, “Spend more time with frontline employees”; “Invest more time in strategic planning”; and “Develop better emergency response plans.” Areas of less focus for performance improvement were, “Learn more about other modes of transportation”; “Conduct more stakeholder outreach”; “Interact more with the traveling public.” FSDs prioritized more internally focused activities to bring desired performance improvement, and placed outreach activities as less important activities.

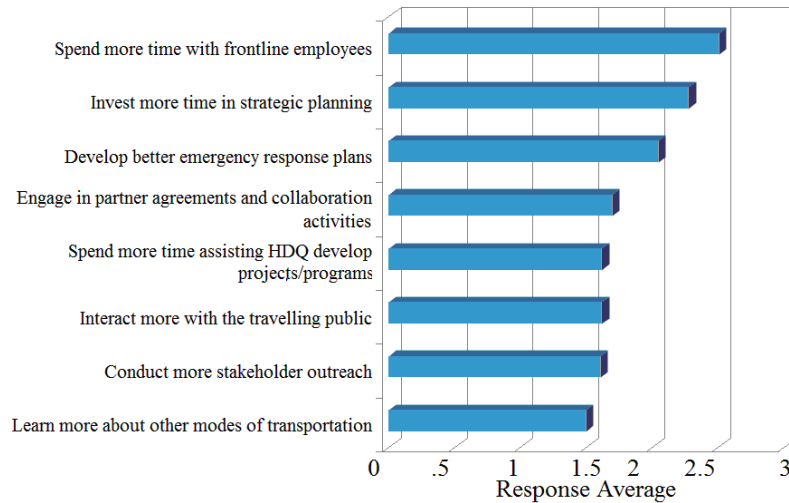


Figure 7. A Summary of the Ways FSDs Would Improve Their Performance

Figure 8 summarizes the major barriers that FSDs see they have to overcome to meet their mission. The top three barriers include, “Headquarters strategies/oversight and decision-making”; “Resource Management (manpower/dollars)”; “Operational issues (SOPs/Training/Processes, etc.).” The bottom three barriers include, “Lack of FSD technical knowledge”; “Congressional legislation”; and “Developing effective working relationships with other agencies.” It seems clear that FSDs are once again more focused on internal issues with HDQ direction, available resources, operational processes, and the TSA organizational structure, which rounds out the top four barriers. There are several quotes from FSD comments that lend some understanding to these rankings:

FSDs are courageous and willing to stand in the gap amidst confusing guidance and lack of support.

Often times, it feels as though we are in it alone. Not a lot of support from HQ or Area Director’s office. Most support comes from peers.

We are very much hindered by our HQ managing to the lowest common denominator of competence of the field FSDs. Further, the current agency organization is far too HQ centric, and has discarded the leadership and effectiveness/ efficiencies of regional entities, both for the TSA and for the DHS on a larger scale.

We are constrained from doing our jobs well by not having sufficient staff to complete our requirements in supporting the regulatory and screening requirements. The basic administrative support is lacking to ensure our workforce is properly cared for.

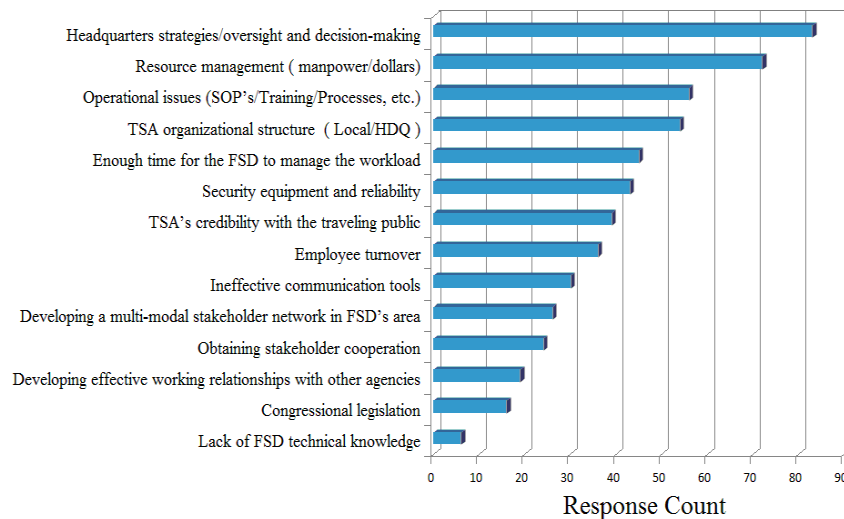


Figure 8. A Summary of Major Barriers FSDs Must Overcome to Meet Their Mission

In summary, FSDs currently identify planning, employee issues, intelligence, and operational resources and processes as most important or needing attention. Areas of less importance were stakeholder and public outreach, relationships with other agencies, and learning about other modes of transportation. It seems clear that FSDs are focused internally, as has been mentioned. This reflects that, in the FSD's mind, performance is primarily "TSA performance" activity, not a "stakeholder network performance" mindset. FSD comments lead one to believe that there is a lack of guidance and support in key areas from the TSA, which keep energies flowing toward TSA performance issues. If FSDs are to progress towards a "network leadership" performance approach, a change in leadership focus would be required.

3. Leadership Requirements

Respondents answered four questions designed to provide insight into FSD leadership requirements. These four questions targeted leadership style, competencies, security activities, and training needs. One question asked what leadership styles were most important to being an effective FSD. The most effective leadership style, according to the FSDs, is “collaborative leadership.” In addition, relationship oriented; network and situational leadership are all styles that FSDs use in their role. Two of the least important styles were command and control, and task-oriented leadership. Additionally, the top competencies identified as important by surveyed FSDs were communication, interpersonal skills, problem solving, and operations management. A complete list of ranked competencies is shown in Figure 9.

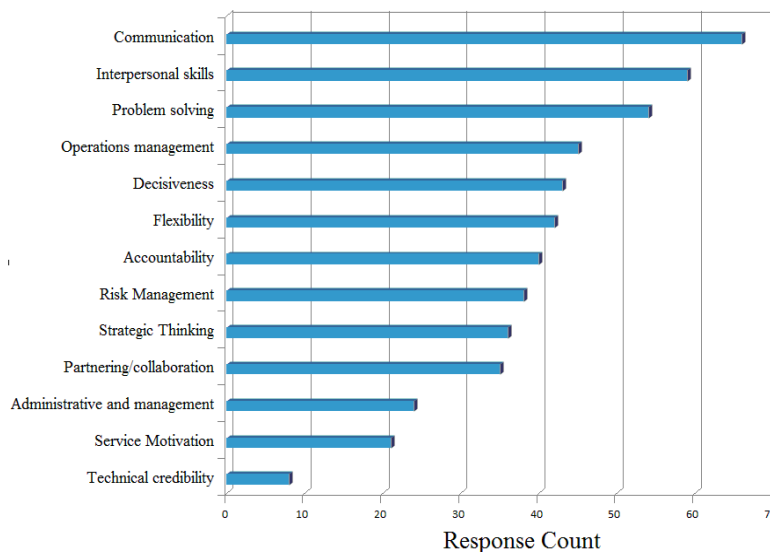


Figure 9. Summary of the Most Important Competencies Needed to be a Successful FSD

It seems clear that collaboration and communication are the most important leadership skills required to be a successful FSD. One might then ask, What would be the most security-enhancing activities that FSDs might apply these skills to? FSDs identified several top activities including, “Building partnerships/collaboration,” “Strategic

planning and organizing,” “Being out in the operation,” and “Incident management planning.” A more complete list is shown in Figure 10. There is no shortage of opportunities to participate in security-enhancing activities. The number one ranked activity is building partnerships/collaborations; otherwise, top-ranked items are focused on planning and internal priorities versus stakeholder outreach type activities.

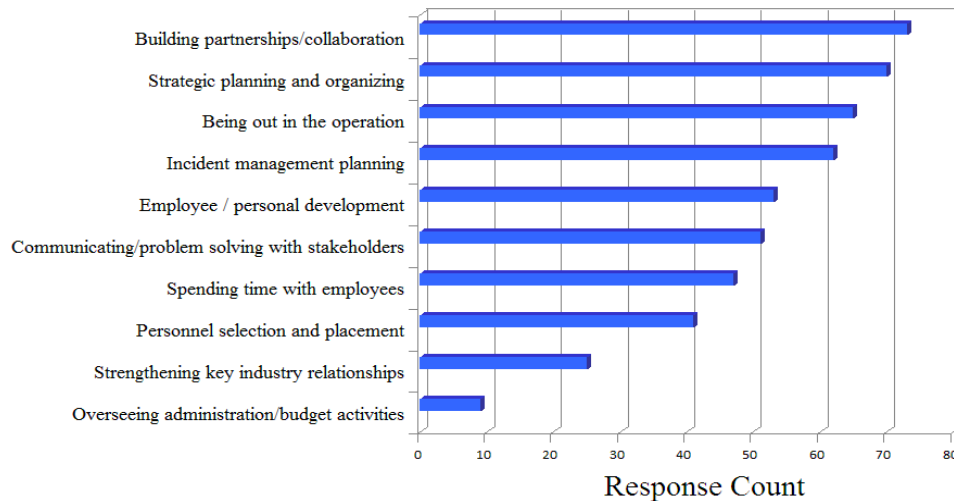


Figure 10. A Summary of Security Enhancing Activities for FSDs

Since the creation of the organization, and with the ongoing maturation of the TSA, the FSD job has been evolving. Having reviewed the priority leadership styles, competencies and security-enhancing activities for FSDs, what would be identified as the priority training needs for the FSDs? The FSDs, when asked this question, identified risk management, building a security network, managing to performance goals, and manpower management. The lowest priority items were technology equipment, budget management, and customer service excellence. The top-rated items are predominately items that are needed for operating in a more sophisticated hybrid/network organizational control structure. This aligns with the continuing evolution and development of the TSA organization and the FSD role as noted earlier. Some comments from surveyed FSDs highlight their needs and thoughts.

I find that it is important for future FSDs to be provided the support of HQ leadership; understand the role of “leadership” in the workplace versus “command and control” culture. Strong leadership skills which include communication skills, networking, and collaboration skills are critical. The DHS needs to focus on providing continuing leadership training to all FSDs and their leadership teams. On going communication (other than blogs and emails) need to be used to keep FSDs in the loop on decisions and issues.” “A leadership “culture” is essential to continue to build on the strength of the TSA and its future leaders.

While strong organizational leadership does not get the attention of the higher HQ’s or publicity that technology receives, it is the base foundation for any successful organization. The TSA needs to reinforce strong leadership skills among its current FSDs.

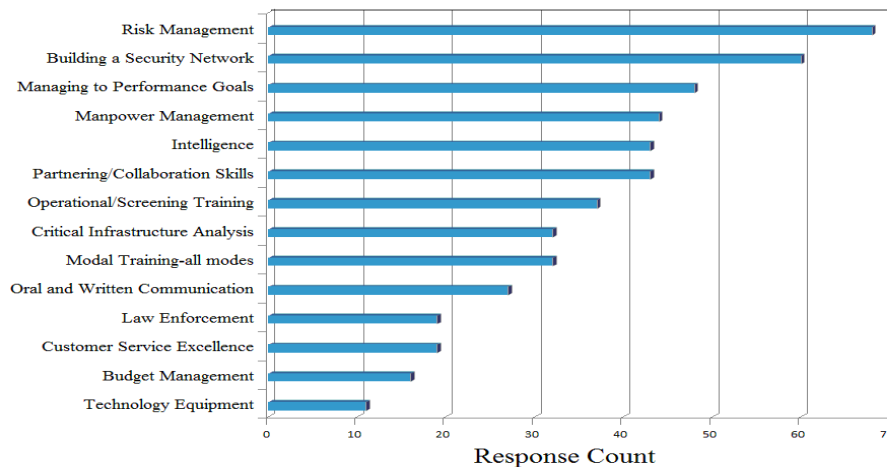


Figure 11. A Summary of Beneficial Training for FSDs

FSDs clearly indicate that collaboration, communication, building partnerships, and interpersonal skills are important in order to be an effective leader or to enhance security. A command and control leadership style was a last choice for FSDs. These priorities support a network leadership style, and are a foundation for the future. However, there is again consistency regarding FSDs having a greater internal focus; resulting in less time being spent with stakeholder’s problem solving, or developing industry relationships. FSDs specifically identified a need and desire for learning more about building a multi-modal security network and risk management. These needs present a great opportunity to provide training that will help build capacity and a leadership culture of a network leader.

4. Security Partners and Stakeholders

Another series of questions addressed the participants' views on transportation security stakeholders and partners. FSDs were asked to what extent they agreed with the statement,

As the TSA continues to mature, it will develop a diverse network of stakeholders, who actively participate and influence decision making around security goals. This is the best way to achieve our desired end result in transportation security?

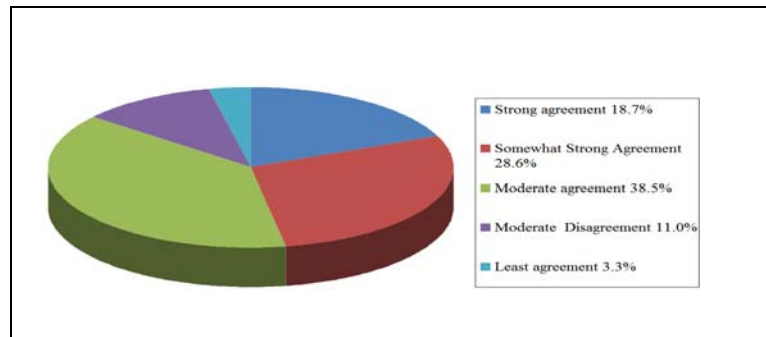


Figure 12. A Summary of FSDs View of the Stakeholders Involvement in Decision Making To Achieve the TSA's Security Goals

In response to this question, 18.7% were in strong agreement; 28.6% somewhat strong agreement; 38.5% in moderate agreement; 11% moderate disagreement; and 3.3% in least agreement. Nearly half of the FSDs had strong or positive feelings about stakeholders' involvement in decision making around security goals, and just over half indicated only moderate agreement to disagreement with this concept.

Next, FSDs were asked to assess their overall impression of how stakeholders affected their ability to do their job as an FSD. Just more than half of the FSDs felt that stakeholders had a highly positive to positive impact; and just fewer than half were somewhat positive to highly negative. The exact percentages are reflected in Figure 13.

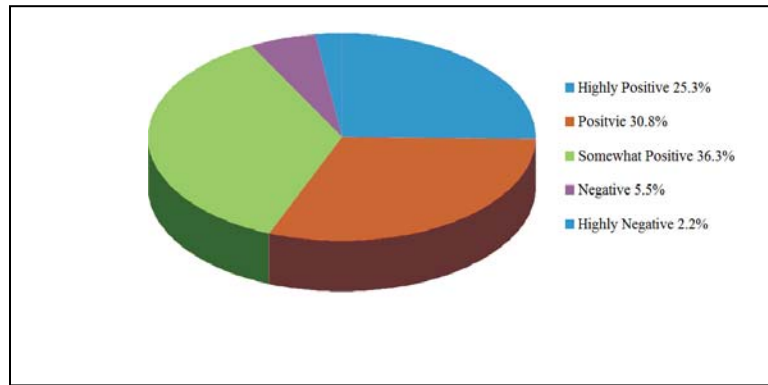


Figure 13. A Summary of FSDs Impression of How Stakeholders Affect the Ability of FSDs to Do Their Job

FSDs were asked to estimate the percentage of their week that they spent meeting or interfacing with stakeholders. Figure 14 reflects a summary of the FSD's responses. The highest responses were tied in two categories. 37.4% said they spent between 10-20% of their time with stakeholders; another 37.4% said between 20-30%. So, 75% of the FSDs spend approximately 10% or more of their time with stakeholders.

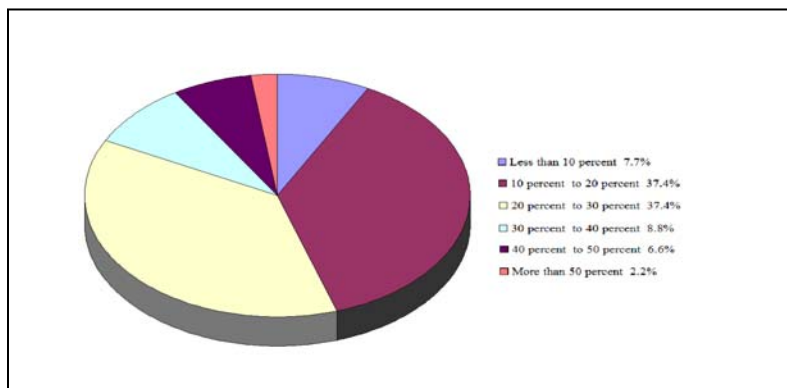


Figure 14. A Summary of the Percentage of the FSD's Week Spent Meeting or Interfacing with Stakeholders

One question in the survey focused on “who FSDs considered to be the most critical to consult about key decisions in transportation policies and programs.” FSDs responded, identifying FSD staff, Area Director, and legal counsel as the top three selections for this question. After that, next in order of choice were Senior Field Executive (SFE), Headquarters Staff, stakeholders, and last was Transportation Security Network Management (TSNM). These responses indicate that stakeholders and the TSA’s policy shop (TSNM) are not viewed as primary advisors in FSD decision making on policy and programs.

“What do FSDs believe multi-modal stakeholders consider as the most important competencies for FSDs to have to be successful?” This was a survey question where FSDs identified the top competencies to be, collaboration/partnership, problem solving, networking skills, communication skills and interpersonal skills. The lowest rated selections were service motivation, law enforcement experience, and accountability. Figure 15 has a summary of the results of this question.

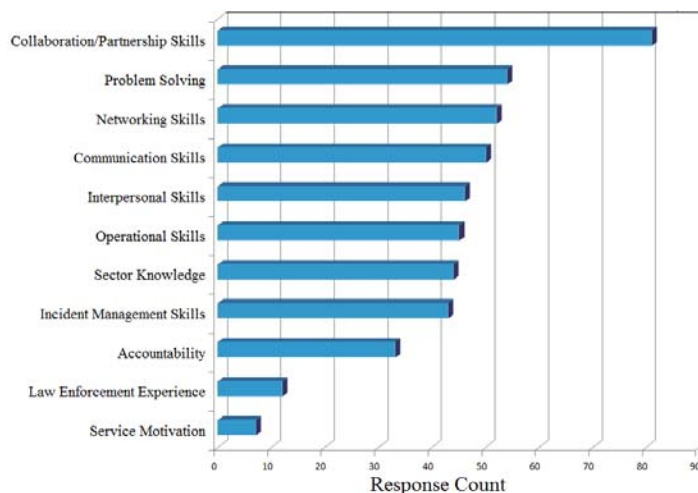


Figure 15. A Summary of FSD’s Perception of What Multi-modal Stakeholders Consider as the Most Important Competencies for FSDs to Have to be Successful

Closely associated to the above question is one that asked, “What do you believe are the most important behaviors required to build successful public/private relationships with stakeholders?” FSDs identified the following behaviors as the most important,

“Building communication channels to support information sharing and collaboration cross-functionally,” “Joint problem solving on common security issues,” “Sharing timely intelligence on pertinent threats,” and “Assisting with building a networked environment to support security effectiveness.” Figure 16 shows a summary of the answers to this question.

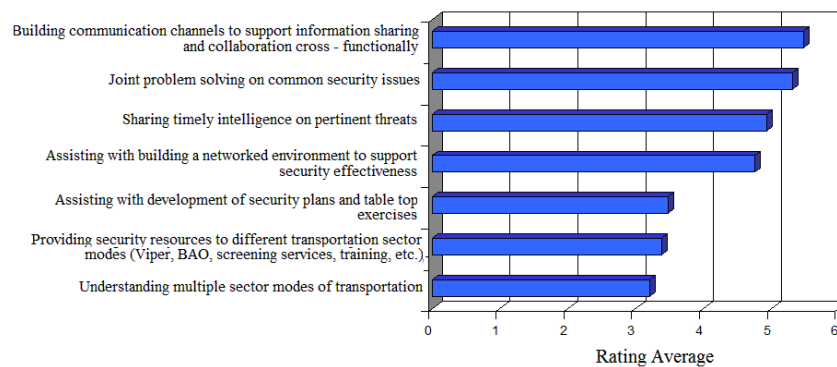


Figure 16. A Summary What FSDs Believe are the Most Important Behaviors to Build Successful Public/Private Relationships with Stakeholders

Overall, the answers to the last two questions show alignment in the FSD’s perception of what stakeholders want behaviorally from FSDs in competencies and relationship-building behaviors. The more challenging responses are reflected in the initial questions that showed that only 50% of the FSDs reacted positively to the idea of collectively determining security goals with stakeholders. This response, along with 50% of the FSDs indicating that stakeholders had only a moderate or even negative impact on their work, indicates that sharing power and working collectively with stakeholders in a network environment may need to evolve with growing capacity in relationships and negotiations. If the TSA is committed to sharing decision-making power and working toward doing collective work, then FSDs must develop a common vision of how a network leader operates with stakeholders to achieve those ends. FSDs must also have more available time to spend with stakeholders, beyond the 20% average that exists today.

5. The Future

The final question in the survey had the FSDs identify, “What will be the future responsibilities of the FSD in the next five to ten years?” FSDs identified the following top three items: “Responsibility for building a multi-modal transportation security network,” “Increased cross-functional security facilitation role with private and public transportation entities, and “Generally, overall expanding mission within the DHS.” Figure 17 reflects the specific data from this question.

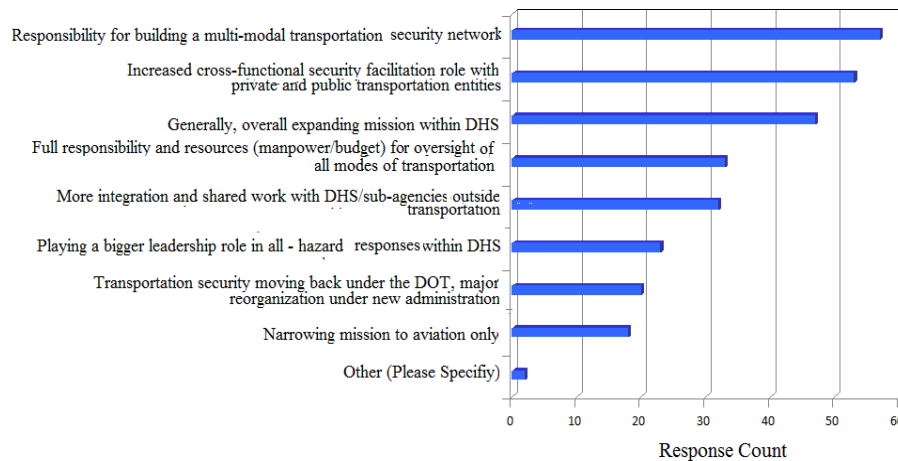


Figure 17. Summary of What Will be the Future Responsibilities of the FSD in the Next Five to Ten Years

FSDs clearly see their future responsibilities as building multi-modal transportation security networks, including a cross-functional facilitation role between public and private entities. To achieve this goal, it seems apparent from literature reviews, that there will need to be a shift in leadership focus to the external world. In order to make this shift, several areas would need to be addressed, according to the FSD feedback. These include organizational and support issues that have been identified earlier, and educational opportunities that will build greater capacity and knowledge in the FSD cadre, as they have suggested. It might be helpful, organizationally, to build an improved internal FSD network to work with their FSD counterparts, as well as with other leaders in all the TSA lines of business who could replicate aspects of the external

leadership skills and requirements. This could help lead the way to a leadership culture as FSDs have requested — shaped to build network leaders.

6. Survey Summary

These survey responses provide key information and indicators of where the TSA and the FSDs have evolved over the past few years with their mission of transportation security. Four major categories of questions were reviewed: 1) Role clarity and effectiveness, 2) Performance requirements and enhancement, 3) Leadership requirements, and 4) Security partners and stakeholders. Each category lends perspective to the current overall mindset and issues in each area for the TSA FSDs. Each area also is an important element in looking at the readiness of FSDs to move toward the “network leader” model of leadership that has become the focus of many industries and government. Because the transportation sector is made up of a series of networks, the potential to function within and across these networks seems only logical. However, as with any new organization, there are issues and barriers to deal with before some stages of progress may be realized.

The TSA has developed rapidly, considering its size as an organization, and has become an active partner in Homeland Security as an agency. The TSA is the only agency to focus on the concept of “network leadership” with its Transportation Security Network Management organization, covering policy and stakeholder relationships. Within the Security Operations organization, where the FSDs report, there has been less focus on this concept. However, FSDs have the opportunity to play a significant role as a network leader in the field for the TSA.

From the survey responses, there appear to be several areas where FSDs are already demonstrating an understanding of the key concepts of network leadership, such as understanding stakeholder-desired competencies, practicing a collaborative management style, the importance of communication and partnerships, and their understanding that their responsibilities in the future will be to build a multi-modal transportation security network. There appear to be areas where barriers exist, causing FSDs to spend more time and energy being internally focused. These issues appear to be

limiting the amount of time and focus that FSDs are able to spend externally focused, including with stakeholder outreach and developing industry relationships and partnerships. Improved role clarity and a common vision for all FSDs as to how to build a multi-modal transportation network is a key to making progress toward network leadership and an aligned leadership culture. Additionally, organizational issues and resourcing appear, from feedback, to be priority areas for review to enable internal focus to be lessened. An area of diversity of opinion among FSDs, which may need greater continuity, concerns stakeholder's involvement. The issue of stakeholder involvement, and their participation and influence in decision making with security goals and activities, requires greater alignment if this is to become a TSA strategy.

In summary, the resolution of internal organizational issues, clearer role expectations, delivery of identified FSD education, and finalization of resource and stakeholder strategy issues appear, from feedback, to need attention in order for FSDs to move forward toward the future vision of "Responsibility for building a multi-modal transportation security network."

B. STAKEHOLDER AND EXECUTIVE INTERVIEWS

Individual interviews were conducted with two different groups: National Capital Region Industry Transportation Stakeholders and TSA Headquarters Executives (Individuals listed in Appendix C). These individual interviews were conducted as a means of providing comparative data to use in analysis with the FSD survey information. The individual interviews provided an opportunity to gather specific information, but also to be able to ask probing questions and obtain more in depth information on select topics or concepts. Both groups were positive about their participation in the interview process, and answered questions freely.

The stakeholders interviewed held key executive roles in their organizations, making their perspective broad and futuristic in nature. This was true of the TSA executives as well. Assessing the value of a multi-modal network concept and network leadership needed the validation and opinions of those that would be supporting the concepts with resources and organizational support. Most of these stakeholder executives

had spent a good deal of their career in the transportation sector, which enabled them to provide a good historical perspective on issues. Every stakeholder had dealt with the TSA in a variety of situations, and was quite familiar with the TSA and its development. There was an interesting contrast between stakeholders in aviation versus mass transit and rail, in that aviation is highly regulated by the TSA, while mass transit and rail are not, creating a different perspective regarding relationships and desire for active involvement in decision making.

The TSA executives who were interviewed represented top leadership within the Agency. Since Kip Hawley's arrival as Assistant Secretary, the TSA has begun to talk and operate within the concepts of network management. His vision has set the direction of the TSA and the relationships with stakeholders. Mr. Hawley and the Deputy Assistant Secretary Gale Rossides were both part of the original senior leadership team that helped with the creation of the TSA and also provided great historical perspective. The Assistant Administrator for Security Operations and one of his Area Directors provided field leadership perspective in the interview process. This combination of executives provided an excellent range of opinions to compare and contrast with other collected data.

Several similar questions asked of both interview groups were also linked with the FSD survey questions. A comparison of these interview questions from both groups will help highlight similarities and differences in the responses of the two groups. Additionally, because of the focus on network leadership, a chart was used to a continuum of control structures, beginning with hierarchical, then hybrid, then network (Chart shown Appendix D). Behaviors are also reflected across the continuum, moving from obey and participate to lead and innovate. The intent, in using the chart with the interviews, was to establish where each interviewee saw the TSA on this continuum, and to establish whether, in their eyes, there had been any movement over the past few years towards a network organization. And, a final objective was to assess the desire of leadership to support a networked leadership approach in the future.

Interview Question Summary -#1

Stakeholder: “Do you believe you are able to have an influence on the outcomes and decisions regarding topics or goals of mutual interest?”

Overall stakeholders agreed that they did feel they have some ability to either influence or give input on major issues. They felt this ability had improved over the last few years. However, a few said that the request for input was not always timely or sometimes came after the fact, especially if a policy or Security Directive was bringing a negative response and had to be modified. There were several areas that were identified as being of particular interest including, input on Security Directives, Grant Funding and justification, intelligence and security mitigation actions, to name a few. To the person, stakeholders wanted to have more ability to give input and influence decisions through a collaborative and timely process. Stakeholders rated this as a very important part of the relationship with the TSA and the local FSD and staff.

Executive: “How much should stakeholders be allowed to influence decision-making?”

Executives supported stakeholder involvement in decision making. One Executive said that “stakeholders do need to know they have “skin” in the game, and it is their opportunity to really be part of designing the solution.” Another said, “This is the whole concept of a ‘Megacommunity collaborative network’, where stakeholders, government and Non-government Organizations (NGO) all work together focused on common objectives and goals. All Executives cited excellent communication and industry knowledge as being essential to success in the collaborative process.

Interview Question Summary - #2

Stakeholder: “What kind of behaviors, skills, experiences and attitudes are most important to you when interfacing with leadership of an organization like the TSA?”

Stakeholders had very clear opinions about what they felt was most important in the TSA leadership. They identified communication, collaboration, inclusiveness, and trust as key elements for the TSA leadership. They wanted leadership that was skilled at establishing partnerships and working in networks. The TSA leaders, they said, needed to be team players that could listen, be problem solvers, and move out of their comfort zone when dealing with challenging issues. A critical factor for stakeholders with the TSA leadership was industry background and business knowledge. Stakeholders wanted leadership that knew their

business and understood the issues, so that problem solving could occur from a knowledgeable perspective. This particular factor was mentioned in every stakeholder interview. A final desire that was mentioned by several stakeholders was leadership that was strategic and future looking.

Executive: “Assuming the FSD role continues to be a primary leadership role in the TSA, what will it take to be a successful FSD in the future?”

Executives identified many of the same characteristics as the stakeholders did as being important. Communication, collaboration, building partnerships, network management, teamwork, and listening skills were viewed essential skills. Executives also spoke of the importance of being willing to share information, power and knowledge, with both stakeholders and employees, and sending a clear message that everyone matters in the equation. Executives made the point that although the TSA has regulatory authority over stakeholders, using this power would be a last resort. The model to be used for all modes of transportation is an interest based negotiation process, with a focus on common goals and objectives. Managing relationships so they are highly collaborative and productive was the priority.

Interview Question Summary - #3

Stakeholder: “What changes in the “TSA leadership” would you like to see as the TSA continues to evolve?”

Feedback from stakeholders on this question focused on some skills we have already mentioned previously. Communication, collaboration, partnership, industry knowledge and trust were continuing priorities. The importance of receiving timely information and intelligence was mentioned by every person interviewed. Most wanted more intelligence than is currently provided.

Stakeholders also mentioned that developing common direction in some key areas, and developing networks that would allow for collaboration within and across organizations and sectors was very important. There was further reinforcement that having the ability to give input on major issues was a high priority. Stakeholders described their understanding that there might be differing points of view, but they said that reaching conclusions together was important so that everyone had a common understanding. Some stakeholders, who had read the book “The Starfish and the Spider,” saw that the TSA was in a perfect position to

play a ‘catalyst role’ in the transportation sectors. A catalyst was described as one who helps initiate action by others, by generating interest and engaging members. A catalyst is not in a command and control leadership role, but more of a facilitator that inspires members to act on ideas that will benefit the group or community. Also from the “Starfish and the Spider” they felt the hybrid design would best fit the TSA’s organizational and operational requirements. Regulatory control was sighted as a reason for centralized control at the top; however, the field leadership they felt should be a decentralized network. This would allow for local stakeholder engagement and planning, and then formalized approval at HDQ only if needed.

Also, surface stakeholders identified a desire for clarity in roles and responsibilities, particularly between HDQ TSNM, FSDs, and other field operations. Stakeholders wanted to be able to work effectively with the TSA, but were still unclear “who had responsibility for what.” Many stakeholders said that they wished the TSA would flatten their organization, in an effort for there to be fewer layers for issues/information to move through. Streamlining the TSA’s organization and ensuring internal integration was cited as an area that they thought would provide operational improvements.

Executive: “What changes in the “TSA leadership” do you believe stakeholders would like to see as the TSA continues to evolve?”

The most common theme from executives was a belief that stakeholders want to be involved, and have the ability to provide input and be part of the decision making process on important security issues. Executives said that this translated into the TSA leadership at HDQ and the field (FSDs and Special Agents in Charge (SACs)) having to be focused on actively engaging stakeholders, and operating in an inclusive and transparent manner. Effective communication and building relationships and networks were identified as key priorities to establish channels for information sharing and access. One executive commented that mastering how to manage stakeholder relationships, so that they are truly collaborative and productive, will best position industry and the TSA. This will ensure that together, we have built the best security possible, as well as built the strength to get through another event, based on the relationships and the interdependencies that will have been created.

Interview Question Summary - #4

Stakeholder: “Where do you think our respective organizations are against this continuum diagram? (Diagram – Appendix D – The diagram reflects organizational control structures – hierarchical – hybrid - network)”

The majority of stakeholders valued the concept of network management and felt they had made some progress in their mode of transportation toward establishing a network. They also felt that the TSA had made progress over the last several years in moving out of a purely hierarchical structure. The majority of interviewees felt the TSA was located on the control structure chart mid way between hierarchy and hybrid. However, there were a few who felt the TSA was closer to being hybrid, and cited occasions where the TSA had been in the network section. Specifically Checkpoint Evolution and Visible Inter-modal Protection Response teams (VIPR) were mentioned. It was the stakeholder’s hope that the TSA would continue to progress toward the hybrid model, and network where possible.

Executive: “Where do you see the TSA on the continuum of the attached diagram, in moving to network management?”(Diagram – Appendix D)

Ironically, the Executive’s response was almost identical to the stakeholders. The majority said the TSA was located between hierarchy and hybrid on the diagram, with some flashes into the network portion. Each Executive was very clear in indicating that it was their goal to continue to move to the network model for greater long-term effectiveness.

Summary

The answers from both stakeholder executives and the TSA executives were almost a mirror image. There is a strong desire and commitment to shared decision making and operating in a collaborative environment. Stakeholders wanted a chance to give input. Ideally working in an open environment that creates trust and transparency would take us forward significantly in their eyes. Information and intelligence sharing was seen as important going forward, as we work to mitigate threats. Stakeholders felt that the TSA could operate as a catalyst in joining stakeholders together to establish common objectives and facilitate mitigation strategies. The majority of stakeholders valued the concept of network management, and felt the TSA and themselves had made progress in this direction, but with much more work to be done. Clearly all executives saw network management as the future direction for transportation security.

V. DISCUSSION

A. INTRODUCTION: GLOBALIZATION — A DIFFERENT PERSPECTIVE

Increased globalization has driven a more interconnected world. This interconnectedness has brought on new sets of thinking, significant changes, and different organizational perspectives across a more networked world. William Eggers has pointed out one important change,

The networked organizational model is becoming the defining feature of business in the 21st century, fundamentally altering the structure and operation of many companies. Networks are usurping the hierarchical model in companies and industries ranging from healthcare to information technology.¹⁵

Brafman supports this saying, “The absence of structured leadership, and formal organizations, once considered a weakness, has become a major asset.”¹⁶ This trend is not just happening in business, but has become an imperative in government and non-governmental organizations as well. Globalization has dramatically changed the world around us and the complexity of the problems that need to be solved. We have become more integrated and dynamic at the same time, leaving us unable to predict planned outcomes of actions in the way we have in the past. Problems and issues cut across organizations, governments, and countries, so that no one entity has the ability or resources to solve complex global problems by themselves. Terrorism provides an excellent example of a complex problem that requires an integrated approach, with innovative strategies, significant shared resources, and a solution that addresses the problem globally, nationally and on a local level. The issues involved with fighting terrorism are overwhelming, and require new thinking and leadership if we are truly going to find effective solutions. A new book, *Megacommunities* by Gerencser, points out, “the dynamic nature of the issues makes top-down, command and control, and reductionist management methods ineffective. Instead, this situation calls for innovative,

¹⁵ William Eggers and Steven Goldsmith, *Governing by network* (Brookings Institution Press, 2004), 28.

¹⁶ Brafman and Beckstrom, *The Starfish and the Spider*, 7.

integrative, and holistic leadership approaches.”¹⁷ He goes on to say, “As a result, leaders from all three sectors (private, government, and civil) face a growing need to operate in a more open, distributed, and collaborative manner that recognizes the shared nature of risks, rewards and responsibility. Unfortunately, this type of activity is not intuitive for most leaders.”¹⁸ Gerencser describes a new forum to support this need, a Megacommunity, which “is a new form of collaborative network, a community of organizations directed toward a common goal.”¹⁹ Leaders in this environment need to be empowered, collaborative, and work effectively in a flattened organization.

So how has the government handled the need for changes in leadership styles, skills, and collaboration across organizational lines since 9-11, given the difficulties that usually accompany complex changes such as this? Leonard Marcus described some of the barriers,

Suffice it to say that the silo effect of distinct cultures, budgets, and narrowly focused career ascendancy compels government agencies toward self-protectiveness, insularity, and allegiance to their own agency based advocacy and independence. There are also deeply ingrained traditions of rivalry and palpable struggles for control, especially among organizations with similar or overlapping missions and scope of responsibility.²⁰

There are many hurdles to overcome, and this is not to say that government has not made progress since 9-11 and since the formation of the Department of Homeland Security (DHS). At the federal level, there are coordinated national plans for fighting terrorism, securing the homeland, transportation, 9-11 committee recommendations and other related security plans. Overall, however, the government agencies have not made significant progress in changing the leadership framework and paradigms that existed prior to 9-11. A very traditional hierarchical structure still exists and, predominately, a command and control leadership model is used by leaders. The focus is still fairly narrow

¹⁷ Gerencser, Napolitano, and Lee, *Megacommunities* (Palgrave Macmillan 2008) 8.

¹⁸ Ibid., 9.

¹⁹ Ibid., cover.

²⁰ Leonard J. Marcus, Barry C. Dorn, Joseph M. Henderson, *Meta-Leadership and National Emergency Preparedness* (U.S. Centers for Disease Control and Prevention), 42.

in the goals and objectives of each agency. One would think that the U.S. had all the time in the world to close the gaps of vulnerability to the terrorist threat, a threat that still looms large with knowledgeable people whose role it is to protect our citizens. Where is the sense of urgency, and how can our government agencies make a difference, knowing that the type of change required takes time? The answer, according to many, including Leonard Markus, is “leadership.” Markus said,

Organizational change occurs slowly and it offers solutions to problems in the long run, as a gradual, evolutionary process. Individual people – leaders- however, can and should be more agile and adaptive in the short run, and are able to prompt the sort of resilient and flexible organizational response required for quick and immediate change.²¹

So what kind of a leader is needed to take our country to a higher level of preparedness, away from the traditional and comfortable behaviors, to a dynamic, integrated, and innovative approach to fighting terrorism? What does this mean for the TSA leadership, and the Federal Security Director position?

B. A NEW KIND OF LEADER

The feedback from executives, stakeholders, and recent literature tell us we need a leader who truly understands the scope of today’s complex problems, like terrorism, that span across organizations, sectors, countries and the world. We need a leader who sees that broad collaborative partnerships (both internal and external) that focus on outcomes, solutions, and a sharing of power and information are where the future lies. We need a leader who understands that the rigidity of hierarchical bureaucratic systems undermines the ability to change directions quickly, and sees the value of a network organizational design as an alternative. We need a leader who understands the impact of fostering networks and decentralized organizations that result in relationships and lateral connections across organizations that provide more flexibility and innovation, rather than hierarchies. We need a leader who is as comfortable facilitating leaders in another

²¹ Marcus, Dorn, Henderson, Meta-Leadership and National Emergency Preparedness, 43.

organization as much as they are in their own.²² We need a leader who knows how to identify common interests that are shared by a group, and is able to develop mutual goals around which collective leadership and work can be accomplished. We need a leader who can be a catalyst that causes people to want to participate in activities that serve the best interests of the group and common goals.

Author Leonard Marcus describes and names this type of leadership: “Leaders who are able to influence and accomplish such collaboration of effort across organizations — multi-jurisdictional, multi-agency, and public-private — are termed “Meta-leaders.” These leaders connect with, influence and integrate the activities of diverse agencies, thereby motivating interaction, enhancing communication, and engendering the sort of cross-organizational confidence necessary for effective terrorism preparedness and emergency response. They are able to legitimately and effectively reach beyond their scope of authority and responsibility, and in the process, are able to generate linkages of purpose and activity that amplify their outcomes and impact.”²³ Meta-leaders are connectors and catalysts that build a network of relationships that support the desired outcomes, and collective work that optimizes the network’s aligned mission. Braufman describes catalysts as “an inspirational figure who spurs others to action.”²⁴

Being a Network or Meta leader requires a “distinct mindset,” and a different set of competencies and capabilities. Eggers described this by saying, “In addition to budgeting, planning, staffing, and other traditional government duties, it requires proficiency in a host of other tasks, such as arranging, stabilizing, integrating, and managing a network. To do this, network managers must possess at least some degree of aptitude in negotiations, mediation, risk analysis, trust building, collaboration, and project management. They must have the ability and inclination to work across sector boundaries and the resourcefulness to overcome all the prickly challenges to governing by

²² Mark Gerencser, Reginald Van Lee, Fernando Napolitano, and Christopher Kelly, *Megacommunities* (Palgrave Macmillin 2008) 9.

²³ Marcus, Dorn, Henderson, *Meta-Leadership and National Emergency Preparedness*, 44.

²⁴ Brafman and Beckstrom, *The Starfish and the Spider*, 93.

network.”²⁵ It seems clear that there are real differences between organizational leadership, as we know it today, and Network or Meta system leadership. Current organizational leadership is based on institutional power that is associated with a position and its responsibilities. Network or Meta leaders do not have institutional power, but try to influence to get results. Leonard Marcus describes this,

Meta-leaders work in a far less scripted fashion. They seek to influence what happens in other organizations, though this effect is in large measure a matter of effective negotiation and the development of personal and organizational credibility that stretches across organizational lines. It is easiest to establish cross-organizational influence when bringing something of value to the table, as would generally occur in a formal negotiation. In essence, one can begin the process by achieving connectivity by purchasing it – through a business deal or memorandum of understanding. It is far more difficult when the Meta-leader is advocating adherence to a set of common goals and purposes for which there may be little or no direct compensation. And it is even more difficult when those shared purposes require sacrifice, the reduction of autonomy and independence, or a change in culture or operating procedures.²⁶

A major difference between traditional leaders and a Meta or Network leader is the breadth of their focus.²⁷ They are able to envision a possible network design across a broad spectrum of private and public organizations. They are willing to work outside their own organization, without authority or structure, to identify common goals and issues that are compelling enough to entice other leaders to want to join together to achieve something of value that is greater than anyone of them could do alone. Network and Meta leaders work with uncertainty and ambiguity and wield no power, just their ability to influence, build trust, and lead by example. The work in an open system, where the power is distributed across all members, and even across geography.²⁸ These Meta or Network leaders reach beyond provincial thinking to drive a systems approach that is adaptive, flexible, and innovative regarding common goals of the group.²⁹

²⁵ Eggers and Goldsmith, *Governing By Network*, 157.

²⁶ Ibid., 45.

²⁷ Ibid., 46.

²⁸ Braffman and Beckstrom, *The Starfish and the Spider*, 19.

²⁹ Ibid., 46.

Based on literature, and stakeholders, executives, and FSDs feedback, specific skills and traits are identified as important to success. Many of these skills and traits apply to leadership in general, but are essential to being a good Meta or Network leader. They include innovation, negotiation, network management, organizational sensibilities, persuasion, social networking, conflict management, crisis/operations management, emotional intelligence, persistence, spirit of inclusiveness, communication skills, partnering/collaboration, talent to foster talent, presence and passion, and long-term strategic thinking. This new leadership role obviously takes a unique set of talents. Additionally, the need for a high level of outward, focused activity shifts the content of job descriptions as they probably exist today.³⁰ This raises the issue of how adjustments will be made to job descriptions, and how a Network or Meta leader will be recruited and trained in the future — if these skill sets are different from those currently required. It also makes sense to review the current organizational structure and culture to ensure effective support, particularly in the areas of empowerment and minimal layers of supervision. Leadership can make a real difference to an organization's success, so a commitment to identify and develop these skills and traits, along with a supporting culture and organizational structure, seems essential for the future.

C. FEDERAL SECURITY DIRECTORS — A MODEL FOR NETWORK LEADERSHIP?

The TSA's Federal Security Directors play a key field leadership role in developing, base-lining, and supporting security and anti-terrorism plans and activities with stakeholders, to protect transportation systems across the country. This requires working with government, non-government, and private entities to achieve these results. In the evolving world of complex global problems and threats, a robust description of a successful network leader's capabilities, traits, values, experiences, skills and paradigms provides an opportunity to match the TSA's FSD leadership position to that framework, and along the continuum of development. This is also an opportunity to identify where alignment exists and where gaps or issues may exist when compared to the evolving

³⁰ Brafman and Beckstrom, *The Starfish and the Spider*, 53.

network leadership role. This should provide insight into other DHS organizational leaders as well, who have many of the same challenges in moving toward leadership that is more effective. The analysis will be based on the FSD survey responses, executive and stakeholder interviews, and key concepts from relevant literature previously discussed. The broad categories used in the survey analysis findings can serve as a framework for this review.

1. FSD Role Clarity and Effectiveness

It seems apparent from survey results and several FSD comments that the FSD position has evolved over the six years it has been in existence. A good deal of this was due to the evolution of the agency itself, and the clarification of the role over time. The TSA began as the newest government agency, under new congressional law, and with a newly hired workforce. The priority for hiring leadership focused on individuals with a military or law enforcement background, given the perceived and real threat implications at the time. The TSA system leadership operated in a more command and control type mode immediately after 9-11, as airports across the country were federalized. Essentially, the primary focus was with the aviation transportation sector, not all modes of transportation. As security strategies were put in place over the next few years, and the threat seemed less imminent on a daily basis, an overall change in direction began to occur, with a focus on greater stakeholder involvement and interaction. Some of these changes were due to the TSA maturing, some from industry pressure, some from a change in security and mitigation strategies, and some due to senior leadership styles changing. As the TSA moved into a more stakeholder partnership mode, leadership requirements also shifted, with a focus on greater interpersonal skills and the ability to collaborate more effectively. FSDs who came from non-aviation backgrounds had also become more comfortable understanding and dealing with the balance between security and industry operational needs. However, aviation was a highly regulated sector, where many parameters for operating were quite well defined with only limited local variations possible. With the arrival of Assistant Secretary Hawley in late 2005, the TSA became more proficient and professional, with improved role clarity and relationships among all parties. All of these factors helped to shift the focus of FSDs and industry to a more

positive, interactive, and flexible relationship. The other modes of transportation that had no TSA regulations were being managed by the TSA HDQ at a national level, with limited involvement from local FSDs at that time. Most FSDs from this point in time forward have felt as though they were doing their jobs quite effectively. This generated the survey response that 75% of the FSDs felt they were performing at a “highly effective” to “quite effective” level.

Assistant Secretary Hawley came from industry, and had been part of the TSA’s initial stand-up team in 2002. Over time, Mr. Hawley worked to develop a reorganization plan for the TSA, which would better reflect the clarified operating approach and mission of the organization. As that occurred, the concept of a network organizational structure was introduced (see appendix D for graphic representation), and the term “network manager” and other associated network concepts were shared with the FSDs. Initially, the biggest impact on the organization was in the creation of the Transportation Security Network Management (TSNM) department. Their role was to work with the large stakeholder groups, the DHS, and national associations to develop relationships and develop national policies and regulations for each mode of transportation. The roles and relationships of the TSNM group and the FSDs were somewhat unclear for the FSDs and for some stakeholders. During this same time frame, FSDs were told that they had responsibility for all modes of transportation, but without much of a roadmap as to how things should work, or how they related to the TSNM department. Senior leadership frequently uses the terms *Network Manager* and *Transportation Security Network*, but many FSDs are uncertain as to the practical application of those terms or what they look like behaviorally. They know the goal, but the vision is not clear as to how to get there, what modes to approach, how to collaborate with TSNM, and how to measure success. This fact drives the statistical result that only 6.9% of the FSDs say their job is well defined, 42% fairly well defined, and 49% minimally or ineffectively defined. Most FSDs know another evolution is coming to their job. The issue is the lack of clarity regarding the vision of their multi-modal future.

As previously stated, Network leaders work with uncertainty and ambiguity, and have no power except through their ability to influence and build trust. However, the

issues driving the FSDs' lack of clarity in job definition appears to be centered more on a perceived lack of resources, a lack of systems thinking, and a lack of understanding of the dynamics of leading collective work. There is evidence of this in survey data that we will review later in this analysis. These concepts are essential for a network manager to create a vision and develop a functioning network. One significant issue is that FSDs do not live in a networked environment; their world is still very hierarchical. As a result, they do not have an opportunity to gain a better understanding of network strategies, empowerment, and to further their network manager skill sets. The TSA may want to review their organizational structure and strategies to facilitate FSD knowledge, empowerment and skill sets.

2. Performance Requirements and Enhancements

FSD survey responses and executive and stakeholder interviews provided mixed results regarding performance priorities, improvement, and barriers against the network manager model. FSDs identified operations, intelligence, employee development, and strategic planning as the top four functional priorities. Timely and quality intelligence was a top priority to stakeholders. Developing capacity in employees, along with long-term thinking or strategic planning, was identified by both stakeholders and network manager models as being a top priority. The only item in the bottom half of functional priorities that would be in disagreement with stakeholders and executives was stakeholder outreach. Executives and stakeholders saw stakeholder outreach and involvement as an essential element in order to communicate and collaborate effectively.

FSDs identified the top three activities, in priority order, that would most enhance their performance: more time with frontline employees, more time spent on strategic planning, and the development of better emergency response plans. The fourth, seventh, and eighth priorities were: engage in partner agreements and collaboration activities, conduct more stakeholder outreach, and learn more about other modes of transportation. Executives, stakeholders and network manager models would clearly place these lower-rated activities at a higher priority level. Certainly, all of these activities would be

considered important, but the FSD choices reflect less focus on outward-looking activities and collaboration with stakeholders in their environment.

Major barriers that must be overcome to meet the mission again reflected an inward focus, with the major issue being HDQ strategies, oversight, and decision making. Next were resource management, operational issues (SOP's, training, processes), the TSA organizational structure, and time constraints when managing the workload. It is blatantly clear that these internal barriers overwhelmed any focus or activity furthering stakeholder relations or collaboration around common issues.

As has been discussed, a major difference between a traditional leader and a network leader is the breadth of their focus, and the ability to work outside their organization, identifying common goals that are compelling enough to make others want to join together to achieve synergistic results. Based on survey responses around performance, it appears that a number of internal issues and barriers will need to be lessened before FSDs will be positioned to strengthen their network leadership role. The organizational structure, HDQ functioning, and FSD resourcing appear to lack the level of support required for the FSD to more fully function in the network manager model. In addition, FSDs' understanding and clarity about the network manager's role and implementation may need more educational support and training. This role is very different from what most of the FSDs learned in their formative years, and it takes time to understand it, reset priorities and allocate time differently to achieve a broad outward stakeholder focus. It is likely some combination of all the above issues that have driven these results.

3. Leadership Requirements

One of the first leadership-oriented questions in the FSD survey was about leadership style, and what styles were the most effective. In this instance, FSDs, executives and stakeholders all agree that a collaborative leadership style is most effective. FSDs also identified relationship-oriented, network, and situational leadership styles as ones they use with frequency. Command and control style leadership was ranked

last in preference. This overall response shows an important foundation that is aligned with what is seen as effective leadership today, but also is essential to Network leadership effectiveness.

A review of rankings of the competencies required to be an effective FSD placed communication, interpersonal skills, problem solving, operations management, decisiveness, and flexibility in the top five ranking. Certainly, communication and interpersonal skills and flexibility tie to a collaborative leadership style. However, it would appear that the use of these competencies for some FSDs are being focused more internally on a day-to-day operational basis, as competencies such as partnering and collaboration (ranked 10), strategic thinking(ranked 9), and risk management(ranked 8) were listed in the bottom half of the rankings. These later competencies are essential to envisioning, designing, and driving broad collaborative stakeholder partnerships that focus on integration and outcomes that are at the heart of a successful network. These results could be interpreted to mean that some important elements of a network manager are not synonymous with the current day-to-day activities of the FSD role. This may be driven by issues we have mentioned before, such as time constraints, resources, barriers in the system, or lack of understanding.

FSDs were asked to rank security-enhancing activities that they could perform. In this instance the top four rankings were building partnerships/collaboration, strategic planning and organizing, being out in the operation, and incident management planning. These rankings demonstrate an understanding, different than competencies, that to improve security, collaboration and planning are very important to success. This clearly links to the network manager priorities. However there still appears to be a greater internal focus with some of these activities, because communicating/problem solving with stakeholders (ranked 6), and strengthening key industry relationships (ranked 9). The focus on industry stakeholders is less of a priority than stakeholder feedback indicated they would like. Stakeholders were very clear in expressing their desire to be more involved in problem solving and decision making. Additionally, without this aspect being at a higher priority level, the FSD would have difficulty operating as a catalyst to motivate interaction and engender cross-organizational confidence.

A final question under leadership was regarding what training would be beneficial for FSDs? The top six out of fourteen possible training areas were, risk management, building a security network, managing to performance goals, manpower management, intelligence, and partnering/collaboration skills. These top-rated items are predominantly activities needed for operating in a more sophisticated hybrid/network organizational control structure, and are the priorities of a network manager. These priority rankings closely tie with executive and stakeholder feedback, and show that the FSDs want to learn more about what they conceptually understand about the direction their job is moving. This is a very positive indication that there is openness and conceptual understanding, but a need remains to enhance the leadership culture with more capacity-building educational and skills training to reach the desired end state. Additional support and guidance regarding how to develop a multi-modal network — including what behaviors are most critical, how to drive collective work, and how to establish accountability and measure success in a network systems environment — would be capacity building information. If FSDs are to become outwardly focused network managers, particularly in the large metropolitan areas where there is the greatest potential to create powerful networks, it would be beneficial to make those cities the first priority for refining the TSA network model. However, FSD survey comments made clear that leadership culture and capacity building for all FSDs was a priority.

4. Security Partners and Stakeholders

Some of the most significant information regarding the concept of network management and the FSDs' activity level in working in a highly collaborative mode with stakeholders came from questions that focused on stakeholders. Two initial questions that asked for the FSDs' opinions regarding stakeholders were the following:

As the TSA continues to mature, it will develop a diverse network of stakeholders, who actively participate and influence decision making around security goals. This is the best way to achieve our desired end result in transportation security?

What is your overall impression of how stakeholders affect your ability to do your job as an FSD?

In response to both of the above survey questions, as we have discussed previously, there was approximately a fifty-fifty split between positive and less than positive responses regarding the value of stakeholder involvement in joint security efforts and goal setting, or the FSD's areas of responsibility. Working with stakeholders is such an integral and significant part of a Network Manager's role, that it would be important to understand in more depth what would need to happen to have more FSDs feel positive in response to these questions. From a stakeholder and executive's point of view, there were strong feelings that broad collaborative partnerships — focused on outcomes, solutions, and a sharing of power and information — is where the future lies. In order to accomplish that, there needs to be a comfort level in positively managing a network that operates on interest-based negotiations. A network will not always be free of conflict situations, but the use of consensus building and negotiation skills will be essential for success. The TSA executives felt strongly that the use of the TSA's regulatory power will become less important in stakeholder relationships in the future, and should only be used as a last resort. Currently, the Aviation transportation mode is highly regulated, but the other transportation modes that the TSA oversees have minimal, if any, regulations to monitor and control. FSDs will need to work in a collaborative manner, using influence and personal persuasive powers to steer results. Collaboration and negotiation require more time, as well as different skill sets, to be successful. FSDs will need to become comfortable and build capacity for operating in this environment.

What percentage of time an FSD spent with stakeholders on a weekly basis was the focus of another question. Over 75% of FSDs said they spent between 10-30%, if one combines the two biggest categories of response, one might calculate an average to be approximately 20% overall. This is a significant amount of time; however, actual network managers have estimated their time spent to be closer to 40%-50% of their average week. This kind of time commitment is not minor, and with many jobs, this time commitment is

not planned for by the job description, which may make this unrealistic in the current environment. A review of responsibilities may be required as FSDs move into the world of network management.

FSDs were asked “Who they considered to be the most critical to consult about key decisions in transportation policies and programs?” FSDs responded that the top three choices were FSD staff, Area Director, and legal counsel. Following the top three, in order were Senior Field Executive, HDQ staff, stakeholders, and TSNM. What this reflects is a very hierarchical approach; stakeholders were second from the bottom, with TSNM policy shop being dead last. Stakeholders and executives, as well as the network manager model, would reflect a different priority. If, as one of our executives said, “Stakeholders are to have a skin in the game,” they must be a part of decision making and have an opportunity to have input. This type of stakeholder interaction may not have been past practice, but it is essential in the future to build trust, credibility, and cross-organizational confidence through inclusion.

The last two questions asked in this area dealt with FSD competencies and behaviors. The first was, “What do multi-modal stakeholders consider the most important competencies for FSDs to have to be successful?” The FSD responses linked very closely with stakeholders, executives, and the network manager model, as we have discussed. Next, and related, was the question, “What do you believe are the most important behaviors in order to build successful public/private relationships with stakeholders?” The prioritized top four responses were:

- building communication channels to support information sharing and collaboration cross-functionally,
- joint problem solving on common security issues, sharing timely intelligence on pertinent threats, and
- assisting with building a networked environment to support security effectiveness.

These behaviors would show an understanding of the priorities required to be successful in a network environment, and align closely with stakeholder views and desires to move to an effective network relationship. Establishing common behaviors and being open to operating in less than comfortable situations, was seen by stakeholders as

important in order to progress and make more innovative collaborative decisions. FSDs seem to have an understanding of the key elements to move toward being a network manager from their responses. However, other barriers that we have already discussed must be overcome in support of this transition.

D. THE FUTURE

A final question asked of the FSDs was, “What will be the future responsibilities of the FSD in the next five to ten years?” The top three answers were:

- Responsibility for building a multi-modal transportation security network,
- increased cross-functional security facilitation role with public and private transportation entities, and
- overall expanding mission with the DHS.

Once again, there seems to be an understanding of the end-state that needs to be achieved, but the path, skills, and tools must be clarified. Additionally, the vision and direction need to be reinforced so that movement will begin to take place to better support FSDs to move into network management behaviors and philosophies. This will allow the expectations of stakeholders, executives, and employees to become more totally aligned.

E. SUMMARY

A review of the impact of globalization on problem solving, particularly large complex problems like terrorism, demonstrates that the world is being forced to make dramatic changes to stay ahead of challenging negative consequences. A leader today must understand the scope of these complex problems, and know the impact well beyond the local environment. He must see that the future lies in broad collaborative partnerships that focus on common outcomes, solutions, and a sharing of power, resources, and information. META or Network leadership is an emerging leadership profile that can help guide us to find the best leadership for these times. An analysis of FSD responses against that profile has identified existing gaps, and areas where focused efforts can assist. Laying a plan and vision to develop a systems approach to achieve this end is needed.

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VI. RECOMMENDATIONS AND CONCLUSIONS

A. A STRATEGY FOR BUILDING LEADERSHIP CAPACITY AND EFFECTIVENESS IN THE TSA'S FSD ROLE

It seems clear that increased leadership capacity is a critical element in moving the DHS and its agencies forward to achieve the mission. The TSA and the Federal Security Director's role is no exception.

The acute threat of internationally driven and homeland-directed terrorism has changed the rules and the expectations for governmental action, interaction and willpower. Unprecedented coordination of resources, information, and expertise is required in the face of new hazards emanating from an elusive and yet active and well-organized network of hostile terrorist cells.³¹

Network leaders, and their unique outlook and skill sets, are viewed by many as the future leadership model that needs to become an imperative for successful leadership governance. The problem is that the government is not currently seeking out people with network skills. With the evolving set of literature on network leadership, the concept is becoming better known, but job descriptions, developmental programs, reward systems, and hiring practices have yet to actually embrace the changes required.

The challenge for the DHS and the TSA is to embrace the new leadership requirements, and build a culture and organizational structure that will begin to integrate this leadership concept into the fabric of the organization. The FSD position is a good candidate to use as a prototype to lead this effort because of the significant field leadership role that the FSD plays, with its broad span of control and interface with stakeholders in multiple modes of transportation. FSDs should focus on building networks through collaboration among stakeholders and across sectors in order to create a more effective and threat-focused security strategy.

³¹ Marcus, Dorn, Henderson, Meta-Leadership and National Emergency Preparedness, 42.

1. Organizational Hurdles

In order to accomplish this goal, a number of barriers identified in the FSD survey need to be addressed. Significant progress in establishing network leadership as the norm with the FSDs could be made by addressing the following organizational hurdles:

- Clarifying the FSD role and vision
- Building network leadership culture and capacity
- Revitalizing the Office of Security Operations (OSO) – Headquarters organizational structure and oversight strategies
- Developing a stakeholder engagement and collaboration framework

Recommendation Summary

	Issues	Recommendations
Clarify the FSD Role and Vision	Aligning and clarifying FSD role as network manager with TSA's strategic direction	- Review with FSDs the strategic plan and vision for future FSD role in a multi-modal network - Based on future vision, update FSD job description with enhanced roles, skills, and interfaces
Develop Network Leadership Culture and Capacity	Building a network leadership culture and capacity will require focusing on new skill sets and processes, and strategic thinking	- Develop customized leadership training for FSDs - Recruit senior leaders using new job profile of network leader - Employee development programs include network manager concepts - Implement an internal collaborative capacity assessment process - Ensure recognition and reward programs value network behavior and skills
Revitalize OSO Organizational Structure and Oversight Strategies	Developing an organizational structure and strategies that develop an internal and external network leader environment	- Review organizational design to improve functioning and ensure alignment with network and collaboration principles - Assess applicability of team-based organizational strategies to support span of control and network skill development - Use FSD performance plans to incorporate shared goals, driving collective work
Develop Stakeholder Engagement and Collaboration Framework	Developing a framework for a multi-modal network	Use selected FSDs to develop a prototype framework, guidelines, and set of processes for implementation of a multi-modal local network

2. Clarify the FSD Role and Vision

The FSD role has been evolving since the job was created in 2002, along with the TSA agency itself. In hindsight, the evolution has been driven by practical need, changes in leadership, and the process of clarifying the agency's direction and priorities over time. The terrorist threat and organizational structure have also evolved over the same timeline, influencing the TSA's security strategies. Mitigating intelligence-driven threats has become more dynamic, random and a proactive process. It is this evolution within the TSA and our understanding of our enemy that has created the concept of the network manager in transportation security. In survey comments from some FSDs, there was an identified lack of awareness regarding the TSA's strategic direction. FSDs conceptually identified the future responsibility of their job as developing a transportation sector network, but many FSDs seem unsure of what that might look like or how to actually develop a risk-based, multi-modal security network. FSDs would benefit from greater clarity regarding the TSA's strategic direction and a vision of what an end-state, multi-modal network might look like, along with an updated job description and required skill sets. These two elements would help to clarify the role of the FSD, even though the nature of the business and the threat will most certainly drive ongoing change.

3. Build a Network Leadership Culture and Capacity

Due to the rapid creation of the TSA, and an almost annual change in top leadership, the TSA's leadership culture has been defined more by a strong work ethic and work that is accomplished under extraordinary timelines and circumstances. It has only been over the past few years that introductory leadership training at the frontline levels became available, along with a locally driven mid-level development program. A senior leadership development program also began two years ago, based on the concern that turnover and retirements could leave the agency without qualified candidates. Both of these programs have laid a great foundation from which additional network development and training can be incorporated for these individuals, especially if the TSA is to become a "learning organization." The only group, generally, that has not had training to upgrade their knowledge or skill sets through the TSA's evolution is the top-

level senior field leaders, which includes the FSDs. From survey feedback regarding training that would benefit FSDs, the top two items identified were “risk management” and “building a security network.” Both of these are crucial to the future vision of the FSD role, and would require knowledge and skills development to fully meet the role requirements. The skill sets required to be a network leader are many, as has been discussed, and the gap that may exist — between what is needed to lead a network state and what currently exists — could be narrowed with a focused effort. Human Resources and leadership training and development must update their systems, including recruitment, to meet the new shape of the DHS and the TSA leadership. One of the FSD’s comments from the survey said it best: “A leadership culture is essential to continue to build on the strengths of the TSA and its future leaders.” Another FSD said, “The DHS needs to focus on providing continuing leadership training for all FSDs and their leadership teams.”

4. Revitalize the OSO Organizational Structure and Oversight Strategies

Two of the most significant barriers FSDs identified as affecting their ability to meet the mission were HDQ strategies and decision making, and the organizational structure. FSD comments clarified this further by identifying the lack of support and timeliness of OSO HDQ leadership to help with issues important to FSDs and their operations. The issues ranged from HR to facilities, and a host of others in between. The lack of HDQ support personnel was cited, as well as the span of control of the area directors, which left senior field executives as their primary contact. The lack of responsiveness with problems and communication regarding issues and decisions on the part of HDQ are clearly related issues, along with the lack of opportunity for FSD input on issues.

The organizational structure put in place approximately two years ago to improve functioning had the right elements to support a hybrid networked leadership environment, according to organizational design principles. However, an organization is more than structure; there needs to be “alignment between strategy, structure, process, rewards, and

people to achieve effectiveness.”³² This particular organizational design created broad spans of control, which had the potential to create flexibility, empowerment, lateral connections, innovation, and a participatory environment. There also was supposed to be a shared resource staff at HDQ that was to support the area directors and the field FSDs. Senior field executives (SFE) were the final addition to ensure that there was a coach available for new FSDs, and a catalyst for communication, and problem solving.

This organization had all the makings of a systems approach to a “networked FSD environment.” According to FSD feedback however, some serious issues undermined the organization’s success. First, this was a somewhat nontraditional organizational design, certainly different from the typical government organization, where traditional hierarchical organizations existed with average spans of control and typical support staffs. Additionally, the shared resources support group never took hold in supporting the area directors, resulting in very limited administrative support for the FSDs in the field. Additionally, no other changes were put in place with management or organizational processes and strategies to align the organization’s elements. Management of the organization overall continued to use traditional hierarchical methods. This left gaps in communication and processes which, over time, FSDs said, left them feeling disenfranchised from HDQ and senior leadership, instead of empowered and networked. The SFE’s new role, which was aimed at being a coach and communicator, struggled with their somewhat undefined and unstructured role, due to lack of role clarity, and being in conflict with the rest of the organization that was continuing to operate in a hierarchical mode. Per organizational design principles, this could have been an opportunity for the FSDs and OSO to begin to live in a more “laterally connected” world where FSDs could have practiced the skills of a network leader and learned about collective work in a more hybrid/networked environment. In this case, however, leadership operated in a traditional hierarchical mode, which was at odds with the less structured/shared organizational system design. In this environment, communication deteriorated between the field and HDQ, creating frustration.

³² Susan Mohrman, “Strategy, Organization, and Competitiveness: The Critical Challenge of Organizational Design,” Organization Design Workshop (University of Southern California, Center for Effective Organizations, 1998).

Based on research, organizational strategies might have been used with this organizational structure to better align the processes and create results that were more satisfying. One such strategy is the use of a team-based approach or the strategic use of teams. Both these approaches use lateral connections and collective work to build a type of soft infrastructure, or way of doing work, within organizations having a broad span of control. This approach, with the SFEs functioning as facilitators and informal leaders, could have turned the Office of Security Operations (OSO) into an organization that functioned in the hybrid/networked portion of Assistant Secretary Hawley's chart on control structures (See Appendix D). This approach could have also been used to drive integration with other parts of the internal TSA organization, such as TSNM, which is seen by FSDs today as unengaged with OSO. Most importantly, it could have moved OSO toward the networked environment on the continuum, which is the common goal for all participants.

Given the existing problems, a review of the current organizational structure is in order, including its support structures, management processes, and resourcing. This is especially true since the issues that have been created have kept FSDs internally focused vs. externally focused with stakeholders. However, any new design should continue to support a networked/hybrid environment so that the TSA's internal environment more closely matches what we expect of FSDs in the external environment with stakeholders. This approach will help develop networked skill levels, create more innovation, and ensure alignment in organizational expectations for the future.

5. Develop a Stakeholder Engagement and Collaboration Framework

Stakeholders are a major component of a network manager's daily activities. Network leaders spend approximately 40-50% of their time working in a collaborative mode with a network of stakeholders who actively participate and influence decision making around security goals. Network leaders understand that without stakeholder buy-in, which is most frequently achieved through negotiations and persuasion around goals of common interest, they cannot succeed. Managing through regulations is a last resort, and, frequently, regulations do not exist. In the FSD survey, several questions were asked

to assess the perceptions and readiness of FSDs to engage with stakeholders in the manner described above. The survey results would lead one to believe that about 50% of the FSDs support sharing decision making, and about 50% are reticent to embrace stakeholders as full participating partners. This assessment is reflected in the results of the question asking how FSDs view stakeholder's involvement in decision making to achieve the TSA's security goals. The same was true with how FSDs thought stakeholders affected their ability to do their job. About 50% felt stakeholders were "very positive" to "positive" in their impact, and about 50% thought they were only "somewhat positive" to "negative" in their impact. These opinions reflect the current perceived state of stakeholder impact on the FSD's mission. Perhaps this is not unusual, since stakeholders can be very challenging and do not always make life easier. However, the network manager needs to be armed with the right skill sets to ensure that they can engage stakeholders in a collaborative process that focuses on security priorities.

Developing a framework and an approach to establishing a productive and sustained collaborative network could be useful to all FSDs as they work toward this end. As one of the TSA executives stated, a stakeholder network needs to be developed around concrete security activities and information sharing, not lofty security or collaboration concepts. A major goal of any network leader is learning how to use practically the assets that the TSA brings to the table as an "ante," as well as those of our security stakeholders, to develop more effective, shared security. Also, how to engage stakeholders, how to become a connector, and how to get agreement on common goals and a way forward is a framework and process that needs to be developed to provide ideas that FSDs can adapt to their local situation. The thinking needs to be strategic, but much of the work, if it is to be effective, is in practical, day-to-day activities focused on intelligence-driven threats.

B. RECOMMENDATIONS FOR STRATEGY IMPLEMENTATION

Given the trends of globalization and terrorism, and the evolving study of networks across business, government, and non-profit organizations, it seems logical that we need to develop and hire our leadership to be network leaders. Homeland Security is

coming to the realization that defending the United States is really about creating shared or overlapping goals and effective networks. The transportation systems are networks in their own right, which makes the TSA's focus on networks even more practical. The issue to grapple with is the reality that transforming leadership to become skilled network leadership will not happen overnight. Building such capacity will require training and focused recruitment, and the development of a leadership culture that will exemplify the skills and characteristics of the network leadership model. Teamwork and collaboration cannot just be slogans; they need to become a way of life.

The recommendations from this study are organized around the four main organizational hurdles that have been previously identified and discussed. These include: the FSD role and vision, network leadership culture and capacity building, revitalizing OSO organizational structure and oversight strategies, and developing a stakeholder engagement and collaboration framework.

The role of the FSD as a network manager and a vision for the future must be refined and clarified so that it is aligned with the strategic direction of the TSA. Recommended actions include the following:

- Review with the FSDs the strategic direction of the TSA for the next five to ten years, and what will be the vision for their role and others as we move forward, from solely aviation to the networked multi-modal transportation world.
- Develop a revised FSD job description identifying new roles and responsibilities, and new or enhanced skill sets that will be required.
- Identify key internal organizational interface points, to promote improved integration and networking across the organization.

Building a network leadership culture and the capacity for network governance will require a change in skill sets, but also a change in the way the TSA and FSDs operate and think about their responsibilities. Recommended actions include the following:

- Develop customized leadership training for FSDs, initially addressing some of the sophisticated skill sets and knowledge required for network leaders. Develop and deliver this training in a manner that helps to close the gap between actual and

requirements. (A starting point would be to train the FSDs that have responsibility for the large metropolitan cities, where the largest local networks will exist.) The TSA needs to become a learning organization, encouraging leaders to mentor and support development.

- Ensure human resources recruitment is using the new profile of a network manager, including high-level skill sets, as senior leader positions are being filled. This should apply to key lower level positions as well.
- All employee development programs should mandatorily include network manager concepts and practical applications/experiences. All levels of the TSA should be exposed to network management principles. Assignments need to be built to allow the TSA employees to experience government, private, and non-profit organizations.
- Implement a program across key organizations in the TSA that will measure an organization's collaborative capacity. This should include assessments of strategic and individual collaboration, barriers to collaboration, metrics, and incentive and rewards systems. This will bring the focus to areas and relationships that need work in establishing the new norms of collaboration.
- Review the TSA's recognition and reward systems to incorporate areas that will value and reinforce network behavior and skills.

Developing an organizational structure and strategies is a critical step in developing a networked leadership environment. Recommended actions include the following:

- Review the current organizational design in OSO to address the feedback that has been given by the FSD population and to develop a design and associated strategies that will ensure that the organization is aligned with the network principles and skill sets. If the TSA is going to ask FSDs to engage as network leaders, it is important that they work internally, having to use and develop those same insights and skills. (This will also support security evolution and model workplace initiatives, as many of the same network skill sets are required.)

- Specifically, review the team-based organizational strategy, or the strategic use of teams as a method of providing infrastructure and organization with broad spans of control. This approach supports network skill development, and will also allow empowerment of FSDs and vehicles for feedback and participation, which the FSDs see as current issues. (See Appendix E, a prototype organizational design using teams, and derived benefits.)
- Use the new performance plans and current SES plans for FSDs to incorporate shared or overlapping goals in key areas, which will identify where there is beneficial collective work in OSO. Additionally, consider allocating a percent of the total FSD evaluation to collective work that FSDs will do for their area or for OSO HDQ during the year. This approach will replicate the principles used in a network environment, and reinforce teamwork and facilitation skills.

Developing a framework and approach for FSDs to use as they begin to develop local networks will provide the TSA and OSO with guidance that is flexible yet focused and consistent. Recommended actions include the following:

- Identify a cross-functional group with the skill sets and knowledge to develop a framework for FSDs to use as their guide to developing a local multi-modal network. It would provide information on what modes exist in the FSDs area, who should be invited to participate, possible goals that would have common value, being a catalyst, a process for collaboration/negotiation, accountability, how to integrate work with TSNM, etc. Every locality would be different, and adjustments would need to be made, but the framework would provide FSDs with the information and confidence to begin network activity. It is highly likely that more than one FSD may be involved in an area, due to the nature of transportation systems. Taking a systems approach with TSNM may allow for the best analysis of geography, and determining where network hubs make sense.

C. CONCLUSION

Network leadership is clearly the direction that homeland security and its agencies need to move if the war on terror is to be fought strategically and effectively. With

today's complex environment and the high need for sharing resources and information to combat the shared threats, leadership from all sectors must work in ways that have not been the norm. It becomes clearer every day, however, that we have so many challenges and vulnerabilities that it will have to be leadership that drives the coordination and cooperation across sectors and entities to establish an effective defense against the evolving threats. There also needs to be a sense of urgency to press leadership to create the expectations that will move Homeland Security and the TSA to higher levels of performance and away from traditional government leadership. The TSA has been one of the most progressive agencies among its peers, and continues to play a key role in deploying cutting-edge approaches to security. In this case, the TSA once again has the opportunity to lead the way by embracing the concepts of network leadership and moving it to field locations where its effectiveness can be expanded to meet the evolving threats to transportation and homeland security.

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APPENDIX A: FSD SURVEY

1. Default Section

Background



Transportation Security Administration

The purpose of this survey is to collect Federal Security Directors' views on what it takes to be successful in your jobs. The questions ask for your perspective on the skills required for success, job satisfaction, and leadership activity, among others.

The information gathered will be analyzed to help me complete the requirements for a master's degree from the Center for Homeland Defense and Security, the Naval Postgraduate School, a program sponsored by the Department of Homeland Security. All information you provide will be kept confidentially and used only for statistical analysis at an aggregated level.

Your participation in this survey is voluntary. If you have questions, please contact me directly at 202-236-8065 (cell). If you wish, you may also contact the Center for Homeland Defense and Security directly by emailing Dr. Robert Bach, my thesis advisor, at rbach20010@aol.com.

Completion of the survey should take only 10 to 15 minutes. I appreciate your willingness to participate. Your views are essential to the success of the project. I hope to use my analyses to provide suggestions to TSA on how to improve opportunities for FSDs in the future.

2. Page # 1

1. What is your gender?

2. How long have you been an FSD?

- ☐ Less than one year
- ☐ 1-2 years
- ☐ 2-4 years
- ☐ 4-6 years

3. What is your age?

- ☐ 20-29 years
- ☐ 30-39 years
- ☐ 40-49 years
- ☐ 50-59 years
- ☐ 60-or older

4. What catagory is your HUB airport?

- ☐ CAT X
- ☐ CAT 1
- ☐ CAT 2

5. What was your background before coming to the TSA?

- ☐ Law Enforcement
- ☐ Military
- ☐ Airline/Airport
- ☐ Federal Government
- ☐ State and Local Government
- ☐ Private Sector
- ☐ Other (please specify)

3. Page # 2

6. How satisfied are you in being an FSD?

- ☐ Most Satisfied
- ☐ Somewhat Satisfied
- ☐ Neutral
- ☐ Somewhat Dissatisfied
- ☐ Least Satisfied

7. In your opinion, how effective overall are FSDs in performing their jobs?

- ☐ Highly Effective
- ☐ Quite Effective
- ☐ Effective
- ☐ Minimally Effective
- ☐ Ineffective

8. In what ways could FSDs improve their performance? (Rank order Top 3 Choices)

	FIRST CHOICE	SECOND CHOICE	THIRD CHOICE
Conduct more stakeholder outreach	☐	☐	☐
Invest more time in strategic planning	☐	☐	☐
Spend more time with frontline employees	☐	☐	☐
Develop better emergency response plans	☐	☐	☐
Learn more about other modes of transportation	☐	☐	☐
Spend more time assisting HDQ develop projects/programs	☐	☐	☐
Interact more with the travelling public	☐	☐	☐
Engage in partner agreements and collaboration activities	☐	☐	☐

9. How well is the FSD's job defined ?

- ☐ Well defined
- ☐ Fairly well defined
- ☐ Somewhat defined and
- ☐ Minimally defined
- ☐ Ineffectively defined

FSD Leadership Survey

10. Do other law enforcement organizations treat TSA as equal partners in law enforcement activities?
(Select one choice)

- ☐ Consistently
- ☐ Most of the time
- ☐ Sometimes
- ☐ Infrequently
- ☐ Not at all

11. What are the major barriers that FSDs must overcome to meet their mission?

From the list below, select the top five barriers. (Rank order the top 5 barriers, 1 being the most difficult barrier, and 5 being the least difficult.)

- TSA's credibility with the traveling public
- Resource management (manpower/dollars)
- Developing effective working relationships with other agencies
- Obtaining stakeholder cooperation
- Security equipment and reliability
- Headquarter strategies/oversight and decision-making
- Developing a multi-modal stakeholder network in FSD's area
- Ineffective communication tools
- Lack of FSD technical knowledge
- Operational issues (SOP's/Training/Processes, etc.)
- Employee turnover
- Enough time for the FSD to manage the workload
- TSA organizational structure (Local/HDQ)
- Congressional legislation

FSD Leadership Survey

12. From your perspective, rank order the following functional areas, based on level of importance to transportation security: (1 being the most important, 10 being the least important) [Please enter a number in each box]

Administration	
Customer Service	
Employee/Management Development	
Intelligence Analysis	
Law Enforcement	
Screening Operations	
Security Coordination Center	
Stakeholder Relations	
Strategic Planning	
Surface/Aviation Compliance	

13. From the list below, what do you believe are the 5 most important competencies needed to be a successful FSD? (Rank order your top 5 competencies, 1 being the most important, and 5 being the least important)

Accountability	
Administrative and management	
Communication	
Decisiveness	
Flexibility	
Interpersonal skills	
Operations management	
Partnering/collaboration	
Problem solving	
Risk Management	
Service Motivation	
Strategic Thinking	
Technical credibility	

FSD Leadership Survey

14. What type of training do you believe would be most beneficial for FSDs to receive from the list below? (Rank order your top 5, 1 being the most important, 5 being the least important)

Budget Management	
Building a Security Network	
Critical Infrastructure Analysis	
Customer Service Excellence	
Intelligence	
Law Enforcement	
Managing to Performance Goals	
Manpower Management	
Modal Training-all modes	
Operational/Screening Training	
Oral and Written Communication	
Partnering/Collaboration Skills	
Risk Management	
Technology Equipment	

FSD Leadership Survey

15. What are the most security enhancing activities for FSDs to perform? (Rank order the top 5 activities, 1 being the most important, 5 being the least important)

- Being out in the operation
- Building partnerships/collaboration
- Communicating/problem solving with stakeholders
- Employee / personal development
- Incident management planning
- Overseeing administration/budget activities
- Personnel selection and placement
- Spending time with employees
- Strategic planning and organizing
- Strengthening key Industry relationships

16. The following leadership styles are used in various types of jobs and careers, which of these are most important to be effective as an FSD? Rank order the most important styles (1 being the most important and 7 being the least) [Please enter a number in each box]

- Collaborative/team
- Command and control
- Laissez-faire
- Networked
- Relationship oriented
- Situational
- Task Oriented

FSD Leadership Survey

17. For each leadership style listed below how often do you use each style on a weekly basis?

	Everyday	Frequently	Occasionally	Never
Collaborative/team	☐	☐	☐	☐
Command and control	☐	☐	☐	☐
Laissez-faire	☐	☐	☐	☐
Networked	☐	☐	☐	☐
Relationship oriented	☐	☐	☐	☐
Situational	☐	☐	☐	☐
Task oriented	☐	☐	☐	☐

18. In decision making as an FSD, who do you consider the most critical to consult about key decisions in transportation policies and programs? (Rank order top 3 choices, 1 being the most important, 3 being the least)

SFE	
Area Director	
FSD Staff	
Stakeholders	
Headquarters	
Legal Council	
TSNM	

5. Page # 4

19. What is your overall impression of how stakeholders affect your ability to do your job as an FSD? (On a scale of 1 to 5, 1 being highly positive impact, 5 being highly negative impact)

- ☐ 1
☐ 2
☐ 3
☐ 4
☐ 5

20. What percent of your week, on average, do you spend meeting or interfacing with stakeholders?

- ☐ Less than 10%
☐ 10% to 20%
☐ 20% to 30%
☐ 30% to 40%
☐ 40% to 50%
☐ More than 50%

FSD Leadership Survey

21. To what extent do you agree with the statement, "As TSA continues to mature, it will develop a diverse network of stakeholders, who actively participate and influence decision making around security goals. This is the best way to achieve our desired end result in transportation security?" (Select one)

- ☐ 1 Strong agreement
- ☐ 2
- ☐ 3 Moderate agreement
- ☐ 4
- ☐ 5 Least agreement

22. What do you believe multi-modal stakeholders consider as the most important competencies for FSDs to have to be successful? (Rank order top 5 competencies, 1 being the most important)

Accountability	
Collaboration/Partnership	
Skills	
Communication Skills	
Incident Management	
Skills	
Interpersonal Skills	
Law Enforcement	
Experience	
Networking Skills	
Operational Skills	
Problem Solving	
Sector Knowledge	
Service Motivation	

FSD Leadership Survey

23. What do you believe are the most important behaviors in order to build successful public/private relationships with stakeholders? (Rank order the behaviors below, 1 being most important, 7 being least important.) [Please enter a number in each box]

- Assisting with building a networked environment to support security effectiveness
- Assisting with development of security plans and table top exercises
- Building communication channels to support information sharing and collaboration cross - functionally
- Joint problem solving on common security issues
- Providing security resources to different transportation sector modes (Viper, BAO, screening services, training, etc.)
- Sharing timely intelligence on pertinent threats
- Understanding multiple sector modes of transportation

FSD Leadership Survey

24. What will be the future responsibilities of the FSD in the next 5-10 years? (From the list below rank order the top 3 items which you believe will occur in the future with FSD responsibilities. 1, being the item most likely to happen, 3 being the least)

Generally, overall

expanding mission
within DHS

Full responsibility and
resources

(manpower/budget)
for oversight of all
modes of
transportation

Increased cross-
functional security

facilitation role with
private and public
transportation
entities

Narrowing mission to
aviation only

More integration and
shared work with

DHS/sub-agencies
outside
transportation

Responsibility for
building a multi-modal
transportation

security network

Playing a bigger

leadership role in all -
hazard responses
within DHS

Transportation

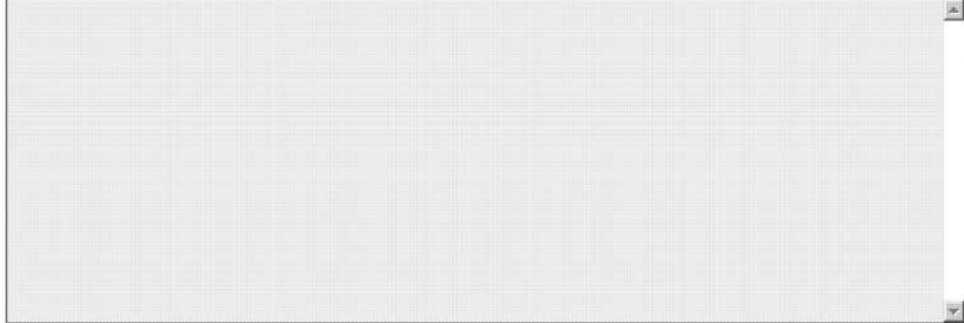
security moving back
under the DOT, major
reorganization under
new administration.

Other (Please
Specify)

6. Comments

FSD Leadership Survey

25. General comments regarding FSDs as leaders



APPENDIX B: INTERVIEW QUESTIONS

Executive Interview Questions

1. How do you envision the FSD leadership role evolving in the next 5-10 years?
What will be different?
Any examples-describe
2. Assuming the FSD role continues to be a primary leadership role in the TSA, what will it take to be a successful FSD in the future?
Characteristics
Backgrounds
Leadership style
Training
3. Do you envision FSDs continuing toward a greater level of multi-modal responsibilities?
All modes? Why?
Could other modes be given to other agencies?
Believe resources will come?
New Admin- Reorganization- Stay DHS? DOT?
4. How much should stakeholders be allowed to influence decision-making?
How do you see decision -making occurring in the future?
How will integration occur? Regulations? Focus common outcomes?
Examples?
5. Do you agree with the statement from Steven Eggers' book, Governing by Network:
"Leaders now must move outside their organizations to accomplish their missions. There is a need to reconcile a traditional top down hierarchy, built along vertical lines of authority with emerging networks, built along horizontal lines of action."
6. What implications do you see this having for FSD's in the future?
What would FSDs do differently?
Examples?
How is this affecting private companies?
Will this change the focus of the FSD responsibilities in the future? How?
7. If you were recruiting FSD's, what would be the characteristics, skills, experiences, mindsets, and attitudes you would hire, looking at the future ?

8. TSNM's organization was created to develop a "network management" organization. Is TSNM's current structure meeting your expectations? What changes would you make after a few years of experience?
9. What parts are working as planned?
What parts aren't?
How do you see the field most effectively interfacing with TSNM?
10. How do you think industry stakeholders would judge the effectiveness of the TSA organization? (On a scale of 1-5, with 1 being the most effective) What would they want to be different?
Examples?
11. What changes in the "TSA leadership" do you believe stakeholders would like to see as the TSA continues to evolve?
Examples?
12. What would you tell your successor to focus on with the TSA leadership? FSD's?
13. Where do you see 1) the TSA and 2) the DHS on the continuum of the attached chart (A to E), in moving to network management? Do you still see the end state as a form of network management? How do you define network management?
What might this look like in the TSA?
For the FSD?

Stakeholder Interview Questions

1. With whom at the TSA do you have interaction on a frequent basis?
Infrequent basis?
Who do you consider to be your key POC's?
For what things?
Contact with field operations?
2. In your interactions with the TSA, what are the topics most frequently discussed?
Would you like these contacts to be for other things? What?
How would you describe your relationship with the TSA? Compliance, partnership, Information sharing?
3. Do you believe you are able to have an influence on the outcomes and decisions regarding topics or goals of mutual interest?
What areas?
Grants?
What areas would you like to influence?
4. On a scale of 1-5, with 1 being the most positive, and 5 being the least positive. How would you describe your relationship with the TSA?
What would need to change to make it be more beneficial to you?
How do you see those changes coming about?
If there were another incident like 9/11, and it was rail (or other mode), how might your relationship change?
5. How satisfied are you with the quality of your interactions with the TSA?
Right levels?
Address your needs in a timely manner?
What would improve the quality?
6. What kind of behaviors, skills, experiences, and attitudes are most important to you when
Interfacing with the leadership of an organization like the TSA?
Examples?
Other organizations that you think are effective?
7. Do you agree with this statement about leaders:
“Leaders now must move outside their organizations to accomplish their missions? There is a need to reconcile a traditional top down hierarchy, built along vertical lines of authority with emerging networks, built along horizontal lines of action.”

8. What implications do you see this concept having on how the TSA and stakeholders (such as yourself) work together?
9. Have you seen a more networked approach developing in your interactions with the TSA? Please describe what has changed.
How has this impacted your organization?
Any related changes?
10. Overall, how do you think industry stakeholders view the effectiveness of the the TSA organization? (On a scale of 1-5, with 1 being the most effective, and 5 being the least effective)
What would make the TSA more effective?
Examples?
11. What changes in the “TSA leadership” would you like to see as the TSA continues to evolve?
Direction?
Relationship building?
Partnerships?
12. Where do you think our respective organizations are against this continuum diagram (A-E)?
The TSA?
Your company?
Others in the industry?

APPENDIX C: STAKEHOLDERS AND EXECUTIVES INTERVIEWED

Stakeholders:

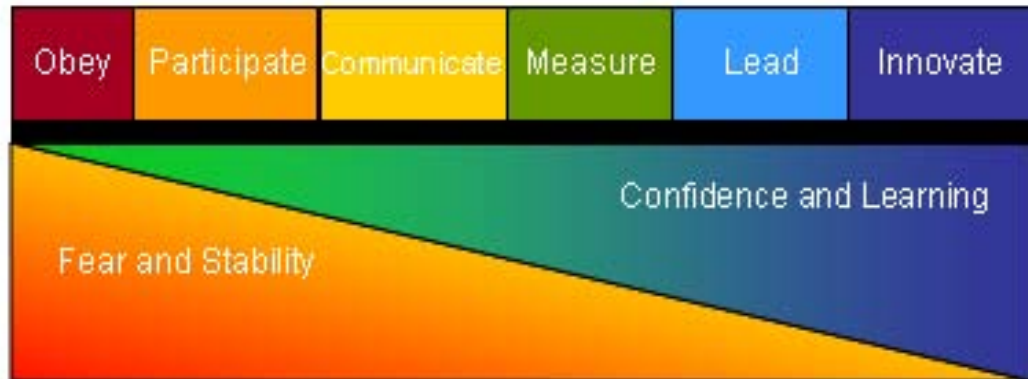
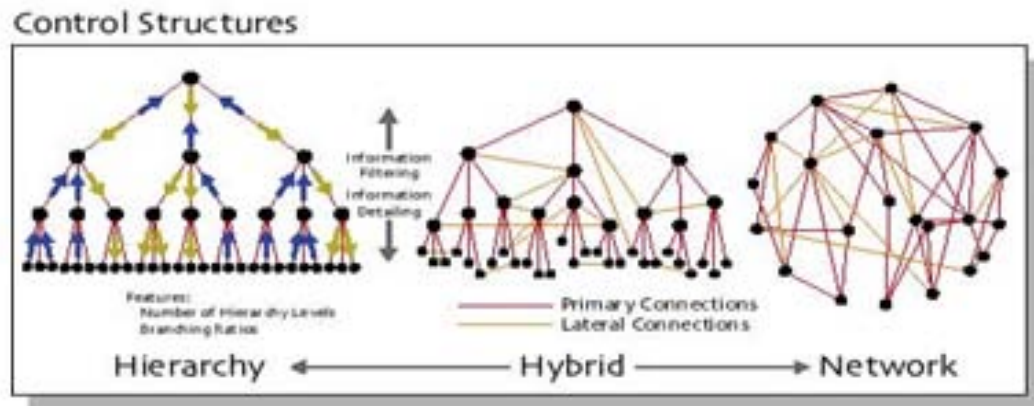
<u>Name</u>	<u>Position</u>
John Tewey	Deputy Chief of Police – AMTRAK
William Crosbie	Chief Operating Officer – AMTRAK
Michael Taborn	Chief of Police – WMATA
Dale Zehner	Chief Executive Officer – VRE
Christopher Browne	Vice President/Airport Manager MWAA – IAD
Paul Malandrino	Vice President/Airport Manager MWAA – DCA
Jacqueline Key	Director, Airport Services – Continental

Executives:

<u>Name</u>	<u>Position</u>
Kip Hawley	Assistant Secretary – TSA
Gale Rossides	Deputy Assistant Secretary – TSA
Morris McGowen	Assistant Administrator – TSA
Mark Haught	Area Director – TSA
Charlotte Peed	Stakeholder Relations - TSA

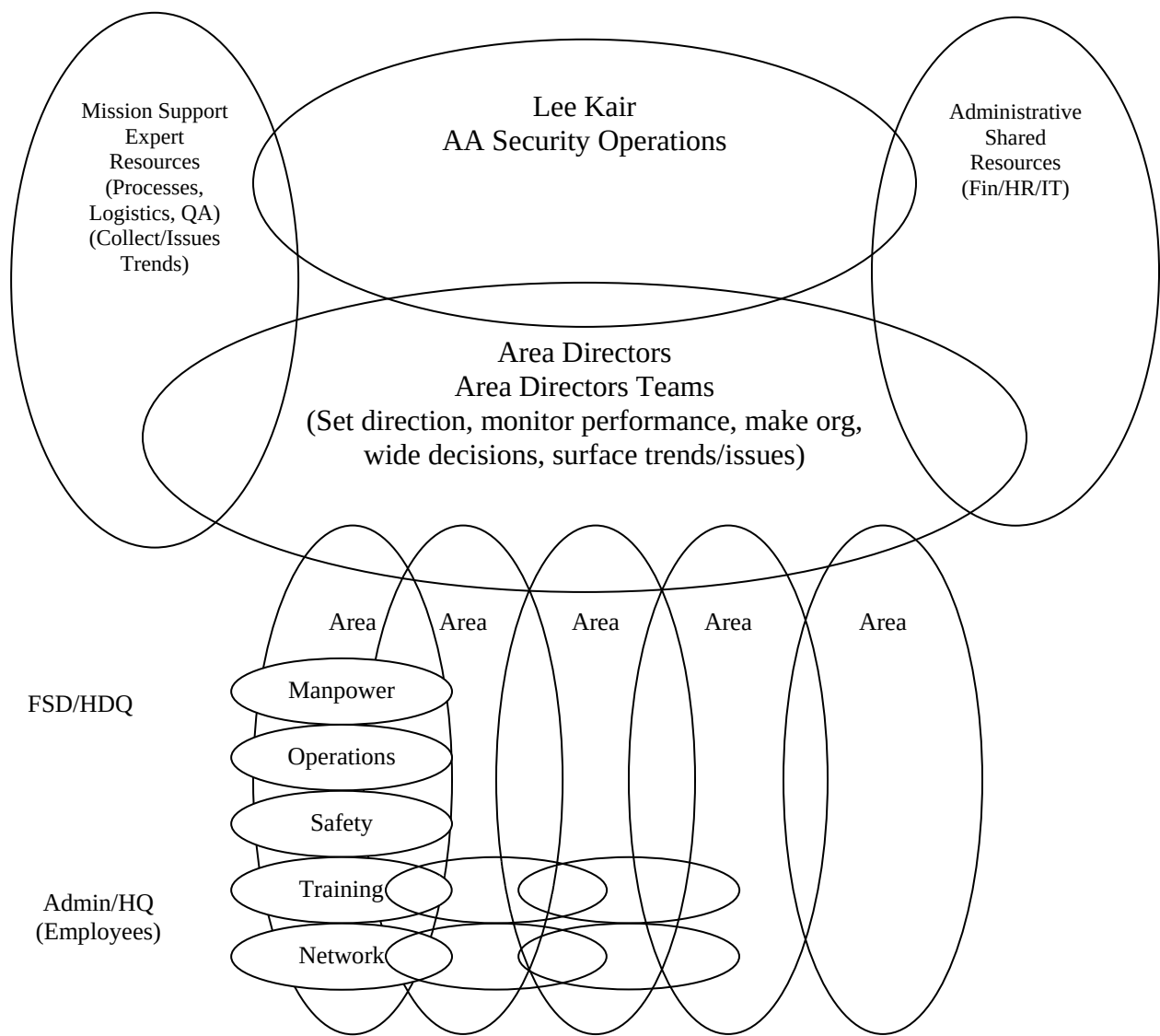
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APPENDIX D: NETWORK CONTINUUM



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APPENDIX E: ORGANIZATIONAL STRUCTURE



• Broad Span Control – Structure/Self-manage/Linkage • Strong Communication – Collaboration – Shared Goals • Collective Work • Need Clear Roles & Responsibilities & How to Interface	• Charter Developed to Define How to Work Together • Need for Consistency & Share Best Practices • Model Workplace Environment – Want Employee Involvement/Empowerment • Problem Solving Lowest Level – gain expertise
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