

INTELLIGENCE AND INTELLIGENCE ANALYSIS:

Exploring the State of Intelligence since 9/11

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For Glen Halliday

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Certificate of Authorship

I hereby declare that this submission is my own work and that, to the best of my knowledge and belief, it contains no material previously published or written by another person, nor material which to a substantial extent has been accepted for the award of any other degree or diploma at Charles Sturt University or any other educational institution, except where due acknowledgment is made in the exegesis. Any contribution made to the research by colleagues with whom I have worked at Charles Sturt University or elsewhere during my candidature is fully acknowledged.

I agree that this exegesis be accessible for the purpose of study and research in accordance with the normal conditions established by the Executive Director, Library Services or nominee, for the care, loan and reproduction of theses, dissertations and the like.

Name Patrick F Walsh

Signature

Date

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Intellectual Property Rights

This exegesis draws on copyright material from the monograph *Intelligence and Intelligence Analysis*, published in 2011 by Routledge, UK. The attached monograph, which forms part of the material for doctoral examination, is copyright to the author Patrick F. Walsh. Specifically, the right of Patrick F. Walsh to be identified as author of this work has been asserted by him in accordance with sections 77 and 78 of the *Copyright, Designs and Patents Act 1988* (UK). All rights reserved. No part of this book may be reprinted or reproduced or utilised in any form or by any electronic, mechanical, or other means, now known or hereafter invented, including photocopying and recording, or in any information storage or retrieval system, without permission in writing from the publishers.

Ethics, Bio-safety and/or Radiation Safety Approvals

The research in the monograph and the discussions of it in the exegesis involved a series of interviews with intelligence executives, managers, analysts and other experts. This schedule of interviews was approved prior to their commencement by Charles Sturt University's Human Research Ethics Committee. Following approval the Committee assigned protocol number 2009/088 in June 2009 to the research project and a copy of the approval is contained in Appendix A.

Note on Referencing and Chapter Names

Please note that there is a variation between the reference style used in the monograph and that used in this exegesis. The monograph's publisher (Routledge) required the use of the Harvard style, while Charles Sturt University uses American Psychological Association (APA) style.

Additionally, to avoid confusion between parts of the exegesis and the chapters of the monograph, the exegesis has been divided into sections.

Finally, the terms 'research' and 'the study' refer to the work presented in the monograph and not the summary of these discussed in the exegesis.

Note about this Submission

This submission for the degree of Doctor of Philosophy (PhD) by Multi-Media consists of two parts: a monograph and an exegesis.

Each is conceived of, and presented as, a stand-alone document. For instance, the Abstract (below) is an abstract *of the exegesis*, although it necessarily refers to the monograph.

Abstract

Using extensive interviews with intelligence leaders, practitioners and academics, the monograph surveys how intelligence has changed a decade since the events of 11 September 2001 (hereafter referred to as 9/11). I argue that the growing complexity, both in the post-9/11 security environment and the flurry of efforts by western intelligence communities to adapt to it, requires researchers and practitioners to reconsider fundamental questions about intelligence. The most critical of these questions are:

- *What is intelligence?*
- *What makes intelligence practice effective?*
- *Is there a discipline of intelligence?*

Each question is addressed in the research by extensive use of case studies developed from primary and secondary data, and findings made.

This exegesis complements the monograph in three ways. First, it examines the extent to which the three research questions listed above have been addressed in the monograph.

Second, it provides a link between my own reflections on professional practice as an intelligence practitioner and scholar, and the ways in which the research in the monograph can be built upon in more useful ways in the future.

Third, and most importantly, the exegesis provides evidence on how the monograph addresses successfully the five examination criteria for doctoral-level work at Charles Sturt University.

The exegesis concludes with a short reflection on the PhD journey.

Section One: Introduction to the Study

1.1 Introduction

This section provides the reader with the necessary background information to place subsequent sections of the exegesis and monograph into context. Specifically, it has three objectives. First, it provides a brief background to the research, including how my own professional experience influenced the origins and development of the monograph. The background section will also define important terminology relevant for understanding the monograph and exegesis. Second, the section defines what is meant by a ‘multi-media’ doctoral-level study and exegesis at Charles Sturt University. Third, it lists the three research questions that inform the monograph and explains their critical role in providing a coherent approach to the research project overall.

1.2 Background

The research underpinning the monograph and the exegesis took place over a three-year period. The research journey, however, started in the 1990s, when I was working in Australia’s national security intelligence community and became interested in how intelligence agencies were attempting to adjust to changes in the security environment. Like the current post-9/11 period, the late 1990s was also a period of transition in the security environment.

As discussed in the monograph (Chapters 1 and 2), the modern history of intelligence in Australia, Canada, New Zealand, the United Kingdom and the

United States is relatively short. The time frame stretches only 67 years—since the end of the Second World War. In less than a century, there have been significant changes to how intelligence as a set of practices and knowledge is both understood and applied. For example, during this period, the development of technology has enabled intelligence practitioners to focus more efficiently and effectively on threats. In particular, advances in technology have helped overcome some challenges in collection and analytical capabilities. Yet the bigger challenge for intelligence consumers and producers is understanding *how* the security environment has changed, at what rate, and the impact this is having on the ability of intelligence agencies to adapt to change.

As I moved from a practitioner to an academic role, my thinking on intelligence reform became clearer. I started to view reform from both a *contextual* and *temporal perspective*. Both perspectives could be viewed as two variables of history—moving together sometimes, and independently of each other at other times. In other words, the context in which intelligence is practised is defined by the security environment and this environment is shaped by the forces of history. For example, the bipolar system of the Cold War had shaped much of the security environment from 1945 to 1991 and, therefore, the context in which intelligence was practised. During this time, national security intelligence agencies and their capabilities had adapted well to a security environment dominated by two superpowers—the US and the Soviet Union. In the immediate post-Cold War period, however, the relationship between context and time was less clear, partly because the security environment was transitioning from a bipolar one to something more fluid. Arguably, it was only

in the post-9/11 period that clearer boundaries of a new security environment started to evolve—one dominated more by non-state actors or ‘global outlaws’ than by inter-state rivalries. While it was becoming clearer that there were large changes under way in the security environment, this meant that the *context* in which intelligence was being practised also needed to change. But again in the first few years after 9/11, it was difficult to assess with any accuracy how much intelligence agencies in Australia, Canada, New Zealand, the UK and the US were changing. It was even less clear whether the pace and direction of change was optimal in meeting the new security challenges.

The flurry of post-9/11 intelligence reform activity in these countries suggested, of course, that there were a lot of changes going on inside intelligence agencies, but the significance of these was less clear initially. Were these changes profound or likely to be merely superficial, short-term policy responses to politically driven intelligence reform agendas? Did the depth and pace of intelligence reform in Australia, Canada, New Zealand, the UK and the US five years after 9/11 suggest a changing approach to intelligence? Was the immediate post-9/11 intelligence reform agenda sufficiently significant that it needed a reconceptualisation by practitioners and scholars of how intelligence should be applied in a changing security environment? If so, in what ways?

In addition to wanting to make sense of how both changing contextual and temporal dimensions were impacting on intelligence reform post-9/11, my research was motivated by the fragmented nature of intelligence scholarship and practice. As discussed in the monograph (Walsh, 2011a, p. 14), the post-Cold War period was marked by the security environment becoming more

fluid, which saw a blurring of the boundaries between foreign and domestic security issues. Yet many intelligence scholars were still writing about ‘separate worlds’ of national security and policing intelligence, rather than identifying where the synergies lay between them and the consequences of these for understanding post-9/11 intelligence reform (see, for example, Gill & Phythian, 2004; Ratcliffe, 2008). In 2008, the two strands of interest discussed above—a desire to locate the post-9/11 context of intelligence practice and to address a continuing fragmentation of intelligence practice and research—prompted me to pose the three research questions discussed in the monograph. Before proceeding further with their discussion, however, it is important first to define some key terminology.

1.3 Key Terminology Defined

This section will not duplicate the full list of terminology explained in the monograph; however, there are some terms that require clarification for understanding the structure and boundaries of the monograph and the exegesis. They are also words whose meanings remain contested by some academics and practitioners. The key terms are: *intelligence*, *national security intelligence*, *policing intelligence*, *emerging intelligence practice* and *security environment*.

1.3.1 Intelligence. In my two decades as a practitioner and academic, I have never found complete agreement among colleagues over the meaning of the term *intelligence*. The variations in definitions in a sense ‘mirror’ the fragmented field discussed above, and my observation is reflected in the subject literature (for example, Kent, 1949, p. 3; Scott & Jackson, 2004, pp. 2–7; Sims

& Gerber, 2005). Despite such difficulties, a definition was needed for this study.

The definition needed to have wide applicability, and be one that could be adopted across both the traditional practice areas (national security and policing) and emerging practice areas.¹ In other words, the definition needed to be one that would unify the disparate practice contexts of intelligence rather than serve to demonstrate further variations across these contexts. In Chapter 1 of the monograph, after a historical survey of key developments in national security and policing, I ask what makes intelligence distinctive compared to other information used in decision-making support.

At the end of the chapter, I suggest that one way ‘intelligence’ can be defined is by examining a set of characteristics that, over time, have contributed to delineating a broad ‘intelligence tradition’. The analysis suggests that three characteristics define intelligence: the *security environment*, *secrecy* and *surveillance*.² I argue that these characteristics have ‘been fundamental to defining historically what intelligence is, compared to other similar activities, such as research, data analysis, information collation and report writing’ (Walsh, 2011a, p. 29).

Defining intelligence using these three characteristics only is not a complete approach. In another recent publication, I reflect further on this idea of an ‘intelligence tradition’. I argue that the *context* in which the word is used

¹ In the monograph, I describe traditional practice areas of intelligence as being comprised of ‘national security intelligence’ and ‘policing intelligence’. An argument could easily be mounted that ‘military intelligence’ should also be included under the banner of ‘traditional practice areas’. However, a conscious decision was made not to include military intelligence in this study. The rationale for this decision is explained further in the discussion of methodology in Sections 5 and 6 of this exegesis.

² These terms are defined in the monograph; see Chapter 1, pp. 29–32.

must also be examined in trying to define intelligence (Walsh, 2011b, p. 109). While it is important to define the *common characteristics* of intelligence, it is also critical not to lose sight of the role intelligence has played in *different* and *specific* practice contexts such as national security and policing intelligence. For example, as noted in Chapter 1 of the monograph, while changes in the security environment have resulted in an increasing blurring between what is meant by ‘national security intelligence’, ‘policing intelligence’ and ‘foreign or domestic intelligence’, such terminology may still be useful in defining intelligence practice in different specific contexts.

1.3.2 National security intelligence. National security intelligence is defined in the monograph as ‘intelligence collected, analysed and disseminated for decision-makers in the support of the security of the state’ (Walsh, 2011a, p. 10). As discussed in the monograph, ‘security of the state’ is not meant to imply a narrow perspective, whereby intelligence is used exclusively to prevent or prosecute wars between states. It also means intelligence that is used to support ‘the security of individuals *within* and *between* states’ (*ibid.*). This definition of national security intelligence promotes a wider, holistic view of what now constitutes both the ‘national security agenda’ and ‘national security intelligence’.

1.3.3 Policing intelligence. In contrast to ‘national security intelligence’, my definition of ‘policing intelligence’ is less explicit in the monograph. Similar to national security intelligence, I argue that policing intelligence can also be broadly defined by ‘the intelligence tradition’ I described. However, developing a ‘one size fits all’ definition for all policing

intelligence contexts in Australia, Canada, New Zealand, the UK and the US is difficult—given variations across these countries in relation to both historical origins and number of policing agencies. For example, the US has approximately 18,000 and Canada 380 policing agencies. Such diversity within and across policing communities, and differences in both the deployment and level of intelligence capabilities within these communities, makes a common definition of policing intelligence difficult.

Even in a small country such as New Zealand—with only one national policing agency—strong local and regionalised policing cultures have historically produced variations in that country’s police intelligence capabilities.

In summary, how intelligence is defined in the policing context remains hotly contested. For the purpose of this research, however, I have confined my definition of policing intelligence to mean intelligence practised in those policing agencies with traditional powers of arrest rather than others that could be included, whose principal functions are enforcement or regulatory powers (for example, revenue, and customs agencies) (Walsh, 2011a, p. 17).

1.3.4 Emerging intelligence practice. This term captures how intelligence is being practised in other contexts that are not national security or policing environments. It classifies an increasing trend in intelligence practice since 9/11, whereby the interpretation of complex threats is no longer the sole responsibility or even within the capability of agencies working in the traditional intelligence practice context. The term underscores a need for academics and practitioners to understand a number of developments occurring

under its banner, as these are increasingly important to improving decision-making outcomes on complex security issues. Greater insights into emerging intelligence practice issues will also break down some of the silos existing between traditional and emerging practice areas. In the monograph I recognise that the word ‘emerging’ is vague, yet it is still useful in

... describing an increasingly large number of public and private sector agencies, which are now developing intelligence capabilities to better inform decision-making. Emerging intelligence practice areas can also include agencies where intelligence is not a new addition to business processes, but can describe an environment where intelligence is not yet well coordinated or integrated into decision-making. Hence, the focus is on practice areas in agencies, where intelligence is either new and/or its application to tactical, operational and strategic decision-making remains under-developed compared to the traditional intelligence practice areas discussed in Chapter 1. (*ibid.*, p. 34)

1.3.5 Security environment. The last key term I will define here is ‘security environment’. As noted above, I argue that this term is the first characteristic of the ‘intelligence tradition’—a tradition common to both national security intelligence agencies and intelligence in the policing context. But its usage in the monograph is broader than just how national security or policing agencies would describe their own operating environment. It is meant to be applicable also to emerging intelligence practice areas—whether they are operating in the private or public sector. The term underscores a key objective in the monograph, which is to examine in a holistic way the changes in ‘intelligence’ and how it is being conceptualised since 9/11.

‘Security environment,’ I argue, is a better term than, for example,

‘criminal environment’ or even ‘threat environment’ for defining the broader context in which a range of ‘players’ (some private and others public) are involved in intelligence activities. It is a more overarching view of the expanding number of security risks and threats faced by governments, the private sector and individuals. The term also seeks to be more inclusionary, by promoting the need for intelligence practitioners and decision-makers to assess the common risks they seek to manage albeit in their different practice contexts.

1.4 Doctor of Philosophy by Multi-Media Format at Charles Sturt University

This doctoral submission is comprised of the monograph, *Intelligence and Intelligence Analysis* published by Routledge in July 2011 (hereafter referred to as the monograph), and this exegesis. The *Academic Manual* of Charles Sturt University (CSU), ‘Section H1 Progress, Supervision and Assessment Regulations theses and other examinable research works’, lists a number of variations for completion of doctoral study. Students can complete doctoral research in the traditional way, but also via publication and in multi-media form. A Doctor of Philosophy (PhD) by publication can have different meanings depending on the tertiary provider’s own requirements as defined in course descriptions. Badley (2009) defines a PhD by publication as one

... awarded to a candidate whose thesis consists entirely or predominately of refereed and published articles in journals or books, which are already in the public domain. (p. 331)

This usage, however, is more consistent with CSU's description of a PhD by multi-media, which at CSU includes, among other things (for example, novels and artworks), *books that are underpinned by original and significant research*. Charles Sturt University's academic requirements for completion of a doctoral study by multi-media are defined in the relevant academic regulations (Section 2.4.1.2) as follows:

Sub-section 2.4.1.2.1 Doctor of Philosophy

A doctoral candidate is required to undertake original and significant research on an approved topic, resulting in a new body of work(s) which are presented by exhibition, performance, installation, electronic form, or other appropriate form. The work(s) presented will normally be supported by documentation that demonstrates the underlying evolution of the work(s) and a piece of critical writing/exegesis which places the work(s) into an historical and contemporary context. Candidates for the award of a Doctoral degree must demonstrate advanced theoretical and methodological knowledge and the research should make an original and significant contribution to knowledge or understanding. (CSU *Academic Manual*, 2011, p. 11)

1.5 The Role of the Exegesis Defined

It is helpful first, however, to explain the general role of an exegesis by using the analogy of a Greek temple. This analogy was developed by Maxwell and Kupczyk-Romanczuk (2009, p. 140), who discuss how work used in professional doctorates or other non-traditional doctorates can be likened to the various columns of a Greek temple. Using their analogy, I argue that in the case of the monograph, each chapter with its underpinning research could be viewed as representing a separate column. The exegesis itself represents the pediment (or roof of the temple), which normally extends beyond the columns. The role of the exegesis, therefore, is to extend the research beyond just the chapters (the

columns) of the monograph to provide a coherent overarching outline of where the research begins, its conclusions and where it now needs to go.

The exegesis, in other words, provides the necessary link between various research outcomes specified in the monograph and how they relate to broader questions in the field. Another important function of the exegesis (pediment) is that it extends past the monograph by providing an opportunity for the researcher to self-assess critically both the research experience and its significance for theory and practice. Returning again to the image of a Greek temple, the pediment (exegesis) and columns (research in the monograph) are supported by a solid base, namely the foundation that Maxwell and Kupczyk-Romanczuk (*ibid.*) argue gives the work credibility. In this case, the doctoral work by multi-media—a product of both the monograph and the exegesis—sits on a foundation of my 12 years’ experience as both an intelligence practitioner and an academic teaching and researching across the intelligence field.

Within this general understanding of the role an exegesis plays, this exegesis has three specific objectives. First, its role is to show thematically how different research outcomes across the monograph’s chapters contribute to answering the three central research questions listed below. (Its role, then, is not to provide a detailed overview of all key findings in the monograph.) Second, the exegesis documents the evolution of the work and provides an opportunity for me to reflect on the research journey and how it has shaped my understanding of the field from both a practitioner and a researcher perspective. Third, it demonstrates how the knowledge and research outcomes in the monograph make an original and significant contribution to knowledge and

understanding in the field. More specifically, it demonstrates how the monograph meets the five examination criteria for a doctoral-level study at Charles Sturt University detailed below. Each examination criterion will be addressed in a separate section of the exegesis, with each section title reflecting the respective criterion:

- (a) the candidate's understanding of the field of study (Section 2);
- (b) the originality of the work embodied in the ... [monograph] (Section 3);
- (c) the significance of the ... [monograph] as a contribution to knowledge in the field of study (Section 4);
- (d) the adequacy of the research methodology—for example, the construction of hypotheses, the analysis of data, the arguments advanced to support conclusions (Sections 5 and 6); and
- (e) the worthiness of the ... [monograph] for publication (Section 7). (CSU *Academic Manual*, 2011, p. 22)

The above sections are book-ended by an introduction (Section 1) and conclusion (Section 8).

Before turning directly to the examination criteria, it is important to discuss briefly the rationale behind the three research questions that are the central unifying ideas in the monograph.

1.6 Rationale for the Research Questions

The three research questions had their genesis long before I began my research for the monograph in 2008. Elements of them were already forming in

my mind by 1999, when I was working as an intelligence practitioner in both the national security and policing intelligence contexts. In particular, as a transnational security analyst working in Australia's Office of National Assessments (ONA), I became interested in how different intelligence practice contexts (for example, national security and policing intelligence) worked together on common security issues.³ During this pre-9/11 period, I was also interested in how a growing menu of transnational security issues such as terrorism, arms trading and illegal immigration might redefine intelligence practice. Additionally, I was interested in the role of new 'intelligence players' that were becoming involved in transnational security issues, such as immigration and customs departments, as Australian governments sought an increasingly 'whole of government' policy response to these issues.

By 2006, and now working as an academic, my desire to understand how intelligence was changing increased. The events of 9/11 only heightened my view that both practitioners and academics needed to reflect more consistently (and not just after landmark government reviews) on what the role of intelligence now is and how to make it more effective. My teaching of policing and security analysts, both in Australia and overseas, was also influential in reflecting further on other major issues, including to what extent intelligence can be viewed as a discipline or profession.

Although the above questions seemed to be important, it was not until 2008—well after the publication of seminal documents such as the 9/11

³ The Australian Office of National Assessments was established in 1977. It is Australia's national security intelligence assessment agency, responsible for providing assessments on various political, strategic and economic matters to the Prime Minister and the National Security Committee of Cabinet.

Commission Report and the Flood Report, both in 2004—that the importance of the three research questions became clearer in my mind.⁴ During this time, it seemed that a number of reform initiatives had taken place across the ‘Five Eyes’ intelligence communities.⁵ However, such activity by policy-makers and legislators did not provide answers to the questions posed earlier in my professional life; rather, the suite of reform measures just made the need for answers to these questions even more pressing. In particular, the dramatic reforms to the US intelligence community sharpened the need for academics and practitioners to discuss both how the role of intelligence was changing, and what was needed to make it more effective and professional.

Another issue that became clearer, both from a practitioner and an academic perspective, seven years after 9/11 was the growing fragmentation of the intelligence field. While there was, from a policy and a practitioner level, a developing rhetoric about national security and policing intelligence capabilities becoming more ‘fused’, the reality demonstrated that fusion was still a work in progress. From a policy-maker’s perspective, the idea of having all relevant agencies working on common problems in the one location appeared to be an appealing antidote to the pre-9/11 situation, where

⁴ The Flood Report (2004) was commissioned by the Howard Government to inquire into the effectiveness and accountability of Australian intelligence agencies. The Report was initiated following political and public concerns over the intelligence supplied to the government on the nature of weapons of mass destruction allegedly possessed by the former Hussein regime in Iraq.

⁵ *The ‘Five Eyes’ intelligence communities* is a descriptor used by the national security intelligence agencies of Australia, Canada, New Zealand, the UK and the US. It describes a special relationship that intelligence agencies of each of the five countries have shared since the end of the Second World War. This relationship has been built around formal and informal agreements that allow each country to share signal and human intelligence gathered with other ‘Five Eyes’ member countries. For the purposes of this exegesis, I also use the term ‘Five Eyes’ at times as a shorthand way to refer to the national policing agencies of these countries, which share intelligence as well—though in its strictest sense, the term refers to the national security intelligence communities of each listed country here and not also their policing communities.

information was less shared; however, ‘real fusion’ (or non-superficial fusion) is a challenge. The monograph explores some of the reasons why fusion remains difficult, including organisational cultural issues and the governance arrangements that underpin bringing different intelligence agencies together (Walsh, 2011a, pp. 134–135).⁶

Another aspect which reinforces this fragmentation from an academic perspective is current research and publication efforts, which tend to focus on either national security, policing or military intelligence issues, rather than on identifying practice issues that are *common* across these ‘sub-fields’. This is not to suggest that research that focuses on one area of intelligence practice is not useful or necessary. A key argument in the monograph, however, is that more work needs to be done to bring these ‘sub-fields’ together. I argue in the monograph that the growing complexity of the security environment—one which does not privilege ‘policing’, ‘national security’ or ‘military’ intelligence—demands a rethink of how intelligence is conceptualised and practised.

Part of this rethink should entail a more holistic and cross-disciplinary treatment of the current ‘practice silos’ in the ‘discipline’ in order to meet effectively the challenges of the security environment. The growing complexity of the security environment, where global threats are local and local ones global, also suggests that more holistic, fused approaches to intelligence may be the way forward in managing many of them. This approach, however, also

⁶ Another barrier to effective fusion, and one not explored in the monograph, is the lingering impact the 2008 Global Financial Crisis has had on many ‘Five Eyes’ policing and security agencies and their ability to participate fully in fused intelligence environments. In summary, less effective fusion may simply result in more fragmented intelligence capabilities just at the time when tight national budgets would make fused responses to various threats in some cases more cost effective in the longer term.

requires an assessment on whether current intelligence arrangements (both core intelligence processes and their supporting enabling activities) within and across intelligence communities are effective and adaptable to future changes in the security environment.

1.6.1 Theoretical framework. Although I first developed an interest in exploring the three research questions in the context of a monograph in 2008, I did not start with a preferred approach to theoretical development or a theoretical perspective that would be ‘tested’ against the data collected. As argued elsewhere in the exegesis (see Section 5: Research Design), there are few robust theories on many of the intelligence reform issues discussed in the monograph. Given the open nature of the research questions, I did not want to be too prescriptive by selecting one theory that informed the research design or methodologies. As discussed further in Section 5, the exploratory research design and methodologies applied in the monograph did show upon completion of the research that I had produced a good example of grounded theory.

Grounded theory can mean different things to different researchers (for example, Charmaz, 2000, pp. 105–117; O’Leary, 2010, p. 101; Robson, 2002, pp. 190–193), though a commonality in all definitions seems to be that researchers ‘work inductively to generate theories strictly from the data collected’ (O’Leary, 2010, p. 101). In other words, any ‘theory’ developed from the research is *grounded* in the data collected in the study. Grounded theory was developed by sociologists Barney Glaser and Anselm Strauss in part as a reaction to the stance taken in the 1960s by many of their colleagues, who

insisted that studies ‘should have a firm “a priori” theoretical orientation’ (Robson, 2002, p. 191).

Grounded theory is not just an approach to theoretical development; it also helps the researcher systematically collect, analyse and compare data from the field to identify emerging theory across the study. As discussed in more detail below, the study’s research design and methods were not based initially on a grounded theory approach. However, the application of both design and methods did show that I had produced a good example of grounded theory, particularly in the research on what components are important for building effective intelligence frameworks.

1.7 Research Questions

The three research questions addressed in the monograph are:

1. What is intelligence?
2. What makes intelligence practice effective?
3. Is there a discipline of intelligence?

These three questions served as unifiers of my thinking over a decade of examining what researchers need to investigate in the intelligence field. Each is sufficiently general to be relevant to each sub-field: national security, policing and emerging practice research.

1.8 Conclusion

This concludes Section 1. In Section 2, I will discuss my understanding of the field, which is the first examination criterion.

Section Two: Understanding the Field

2.1 Introduction

The intelligence studies field is broad, and scholars have yet to determine its boundaries. As noted in the monograph and above, mapping the edges of the intelligence field has become more difficult a decade since 9/11. What can now confidently be described as ‘national security’, ‘policing’, ‘foreign’ or ‘domestic’ intelligence lacks precision as the security environment moves beyond issues of state sovereignty (war and peace) to sub-state issues (civil wars and poverty) and ‘global outlaws’ or non-state actors (terrorists, arms traders, piracy and digitally enabled criminals).

The complexity of trying to ‘map’ the intelligence field is worked through in Chapters 1 to 3 of the monograph (*Traditional Intelligence Practice*, *Emerging Intelligence Practice* and *Intelligence Capacity*, respectively), which define its field of study and provide a critical survey of the literature. This includes an examination of where modern intelligence (defined as that which has evolved since the end of the Second World War) as a field of inquiry and practice originated and where it may be heading. The reasons why the field would benefit from further research in these areas are well articulated in the monograph and in later sections of the exegesis, so there is no need to repeat them here.

2.2 Reconceptualising the Intelligence Field since 9/11

While Chapter 1 argues that national security and policing intelligence may represent an ‘intelligence tradition’ (Walsh, 2011a, pp. 29–33), the growth in non-state and transnational security issues post-9/11 suggests such terminology is no longer adequate in describing the full application of intelligence to such issues. This further suggests that narrow Cold War era and early post-Cold War perceptions of national security and policing intelligence are no longer adequate to define the scholarly field of intelligence. The widening security environment has resulted in new ‘players’, or what I refer to as emerging practice areas, becoming involved in intelligence in diverse areas such as: corrections, bio-security, anti-corruption, regulatory environments, revenue, and the private sector. This development suggests that a re-think of what intelligence *is* and *does* is overdue and will be important in further defining what constitutes the ‘field of study’ in the future.

2.3 Fragmented Practice and an Expansion in Emerging Intelligence

Contexts

How intelligence capabilities in emerging areas (Chapter 2) or new contexts (Chapter 3) are being applied represent significant knowledge gaps in the intelligence field, and will continue to challenge our understanding of the field of study both from a scholarly and a practitioner’s perspective. An extensive synthesis of the literature in Chapters 1 to 3, and an analysis of the intelligence frameworks (see Chapters 4 to 6), suggests that intelligence practice is fragmented within and across communities in Australia, Canada,

New Zealand, the UK and the US. Additionally, while intelligence scholarship has grown rapidly since 9/11, evidence suggests that the academic field also remains fragmented.

A brief survey of the intelligence literature over the past decade shows that intelligence scholars have tended to contribute to one aspect of the field—for example, policing intelligence or an area of national security intelligence (Gill & Phythian, 2006; Johnson, 2012; Ratcliffe, 2008)—rather than examining the field in a more holistic sense. This is not to suggest that authors have not discussed the broader intelligence field. This has particularly occurred around the issue of terrorism (Borodeur, 2008; Innes, 2006; Sheptycki, 2009). But there is still a lack of focus in the literature on how established sub-fields such as national security and policing intelligence can learn more from each other.

There is even less publicly available work examining ‘lessons learnt’ across sub-fields that could help practitioners build communities of practice to solve common problems. In other words, the current research agenda is still not generating evidenced-based studies from established intelligence sub-fields aimed at improving the field as a whole. This may be starting to change, however, with some researchers asking how best practice and challenges in other social sciences can help us understand and address critical issues within intelligence analysis such as improving analytical judgments and organisational processes (Fischhoff & Chauvin, 2011; Marrin, 2012a; Svendsen, 2012). This is encouraging, as the outcomes of such research—even if researchers focus only

on a policing or national security issue—are likely to provide evidence of where improvements can be made to benefit other sub-fields of intelligence.

Chapters 1 to 3 of the monograph (collectively titled *Applying Intelligence*) provide a survey of where the field of study has been and, in the discussion of emerging intelligence and intelligence capacity building, where it needs to go.⁷ However, from a general perspective, the discussion in Chapters 1 to 3 does raise the question of where else the field might be heading and how widely it can be defined. These questions are very relevant to addressing the three research questions listed above and remain important beyond this particular research project. Chapter 2 (*Emerging Intelligence Practice Areas*) argues strongly for a broadened definition of both intelligence and its practice. Bio-security and corrections are just two areas where intelligence practice can be useful to outcomes in traditional practice areas, and vice versa (Walsh, 2011a, pp. 36–53). However, further research is required to evaluate the intelligence capabilities of a range of other emerging practice areas not discussed in the monograph and their applicability to traditional practice areas, and vice versa. These areas are discussed in Section 2.4.

2.4 Further Development of Emerging Intelligence Practice Areas

The potential areas for further investigation are far reaching and could include: business intelligence,⁸ cyber security, and bio- and nano-technology. Some aspects of business intelligence were discussed in the monograph, in the

⁷ For a discussion of emerging intelligence practice, go to Chapter 2, pp. 34–69. For a discussion of intelligence and capacity building, see Chapter 3, pp. 69–88.

⁸ The term *business intelligence* is often used interchangeably with *competitive intelligence*. Both terms describe business analytical processes that help monitor competitors in the marketplace, as well as provide strategic foresight of new rivals and their plans.

context of analytics (*ibid.*, p. 246); however, further research should be done in this area, particularly to examine whether advanced analytics may improve collection and analytical capabilities in the traditional practice areas of national security and policing intelligence. Further cases could be made for the intelligence field developing research into the other technological areas discussed above, particularly the cyber security context. Intelligence research on technology issues, however sensitive, will require working with the private sector to better identify threats and risks, and improve intelligence capabilities. Cyber security and cyber crime have become more pressing issues for policy-makers, and the recent investments in the US, Australia and elsewhere in strategies to combat cyber security issues underscore the need for a greater public/private research agenda in these issues.⁹

Similarly, another area that may help define the field in the future is forensic intelligence. Forensic intelligence is defined by Ribaux *et al.* (2003) as: ‘...the accurate, timely and useful product of logically processing forensic case data ...’ (p. 50). This definition emphasises the role of forensic data, rather than how it is used more broadly within intelligence systems and processes. Nonetheless, it does highlight the potential importance of a wealth of forensic data (for example, shoe marks, fingerprints, DNA and glove marks), which could be more usefully integrated with mainstream policing and national security intelligence databases.

⁹ For example, both the Australian Government’s *Cyber Security Strategy* (2009) and the more recent US Department of Defense’s *Strategy for Operating in Cyberspace* (2011) are noteworthy in their emphasis on partnerships between public and private sector agencies in dealing with a range of cyber-related threats.

However, a key challenge for a developing forensic intelligence field will be how to build reliable matching and retrieving algorithms that allow police and national security intelligence practitioners to harness forensic data efficiently with new or existing intelligence databases. More generally, as argued in the monograph's discussion of bio-security, the intelligence field also needs to harness more effectively sources of scientific knowledge in other relevant areas, including epidemiology and chemistry.

The discussion of other emerging practice contexts above underlines important areas where the intelligence field should be progressing. The applicability of such specialised areas to existing intelligence practice contexts (such as policing and national security) offers exciting and new areas for intelligence-related research. Such research will also redefine scholarly understanding of the field of study. However, some caution needs to be exercised about how wide the intelligence field can be stretched, to ensure the result is not simply more confusion about what is and is not considered intelligence.

Despite the need for additional research in the areas discussed above, many academics and practitioners will remain unclear about where the boundaries of the field are located. Policy-makers will also continue to articulate their own views on what they see as 'the intelligence community' or 'effective intelligence' in the post-9/11 security environment, and this will also likely contribute to further confusion among scholars.

Additionally, any persistent lack of clarity between researchers and policy-makers about how to define, assess and improve intelligence functions

and the roles and skills of practitioners, particularly analysts, may impact in the longer term on the level and quality of decision-making support provided by intelligence. This is of concern, though I would argue that a greater responsibility for growing the consensus of what intelligence *is* should fall to intelligence academics, rather than policy-makers. While we should take any opportunity to improve policy-makers' understanding of intelligence, particularly from research outputs, intelligence for many of them is merely one support service to their decision-making and not their main *raison-d'être* or interest. Therefore, it is up to academics, if the will is there, to map the future boundaries of the field, and to reflect this back to policy-makers. A research agenda that emphasises practical ways to bridge the gaps in understanding and influence between scholarship and practice (Marrin, 2012a) will most likely have more resonance with policy-makers.

2.5 Conclusion

This concludes Section 2. In Section 3, I will discuss how the study makes new and important contributions to the intelligence field (thereby addressing the second examination criterion—‘the originality of the ... [monograph]’).

Section Three: The Originality of the Monograph

3.1 Introduction

There are a number of examples of originality in the study that make new and important contributions to the intelligence field. Before discussing these further, however, it is important to define ‘originality’ for the purposes of this exegesis. Originality means different things to different disciplines, and so it remains difficult for both postgraduate students and examiners to agree on how it can be best demonstrated in doctoral work. Originality in doctoral research literature has been defined in a number of different ways (see, for example, Murray, 2006; Park, 2005; Phillips & Pugh, 1996, p. 61; Winter, Griffiths & Green, 2000, p. 35).

Murray (2006) provides an extensive list of characteristics that can be summarised into the following: ‘*a reinterpretation of previously known material, the creation of new knowledge/bringing new evidence, working across disciplines, importing methodologies, or looking at new areas in the discipline*’ (p. 59; emphasis added). Murray’s list of characteristics is comprehensive. In the following paragraphs, I will use each of the italicised terms as headings to focus on broad areas where the monograph demonstrates an original contribution to the intelligence field.

The key example of originality in the monograph is the decision to make a holistic examination of different sub-fields given the increasing synergies between them. This approach is still uncommon in the literature.

While some researchers have examined various aspects of intelligence reform post-9/11 by exploring national security and policing intelligence together (see, for example, Gill & Phythian, 2006), these studies have not focused in any detailed way on the significance of commonalities or links between different practice contexts, or the emerging practice areas addressed in the monograph. A bringing together of developments across diverse areas in the field is critical—first, because it will result in the generation of knowledge that is applicable to all areas; and second, because a synthesis of developments in different intelligence contexts can promote better practice in each.

3.2 Reinterpretation of Previously Known Material

The main evidence for meeting this criterion in the monograph is located in Chapter 1 (*Traditional Intelligence Practice*). Chapter 1 explores the history and evolution of national security and policing intelligence. Both sub-fields are examined first separately and then together to provide a synthesis of areas each has in common. A number of commonalities between national security and policing intelligence and their implications for practitioners and researchers are identified. These commonalities are referred to in the monograph as an ‘intelligence tradition’.

As discussed above, there is an increasing number of volumes now available that describe the history and evolution of either national security or policing intelligence issues (see, for example, Andrew, Aldrich & Wark, 2009; Mitchell & Casey, 2007; Newburn, 2003; Ratcliffe, 2009). However, it is the monograph’s defining of an intelligence tradition common to *both* national

security and policing intelligence (despite other differences in these sub-fields) that represents a novel reinterpretation of current narrow and siloed conceptions of national security and policing intelligence. This approach is more important than merely making sense of the heritage of contemporary intelligence practice. The historical synthesis (in Chapter 1) provides a platform on which to evaluate how, in the future, quite different intelligence practice areas may adapt their practice of the three elements in the intelligence tradition (secrecy, surveillance and the security environment) as they confront new challenges in the security environment.

3.3 Bringing New Evidence

The ten chapters contain a range of new evidence both from primary data I collected and in the form of an extensive synthesis of secondary data sources. This evidence relates to how intelligence capabilities and techniques are being used in a range of different practice contexts such as corrections (Walsh, 2011a, pp. 36–41), bio-security (*ibid.*, pp. 46–62), intelligence capacity building (*ibid.*, pp. 69–88), intelligence frameworks (*ibid.*, pp. 91–151), leadership and management methodologies (*ibid.*, pp. 152–187), analytical innovations (*ibid.*, pp. 235–253), education, ethics, legislation (*ibid.*, pp. 187–210), and theory and research (*ibid.*, pp. 283–299). The specific data sets collected and assessed will be discussed in detail in Section 6 of the exegesis. For now, the important point to note is that the three questions directing the research required the collection and analysis of *new* evidence for two reasons.

First, primary data collection was critical to demonstrating how traditional intelligence practice is changing. Second, and more importantly, there is a dearth of publicly available literature showing how the newer areas of intelligence application (emerging and intelligence capacity building) are helping to redefine the field. Overall, the main rationale for primary data collection was that much of the evidence required was of an official or potentially sensitive nature, and therefore not publicly available.

3.4 Working across Disciplines

Another significant area that demonstrates originality in the monograph was the emphasis placed on evaluating the cross-discipline links between the intelligence field and a range of areas from the social sciences and humanities, including but not limited to international relations, history, criminology, psychology, sociology, development theory, business, leadership and management. For example, significant space was devoted in Chapter 8 to locating the scholarly heritage of other disciplines and how they have helped define the intelligence field. While researchers working on different aspects of intelligence have made links between intelligence studies and, for example, psychology (Hatlebrekke & Smith, 2010; Heuer, 1999), this monograph provides a more *extensive* discussion of the significance of a multitude of cross-discipline links than has appeared in other literature. The only other scholar in recent times who has in any focused way examined what intelligence can learn from other disciplines is Stephen Marrin (for example, Marrin, 2012a). In particular, Marrin and Clemente's influential 2006 article on how the

intelligence field could use the medical profession to conceptualise the way forward to becoming a ‘profession’ is a good example of the kind of cross-disciplinary research approach advocated in the monograph.¹⁰

The point of originality here is not just that the monograph brings together a number of other disciplines that may be relevant to intelligence; rather, it is that the discussion seeks to make cross-disciplinary links *more explicit* in order to strengthen the research and practice agenda of the intelligence field in specific areas. For example, the discussion in Chapter 8 of intelligence analysis argues that a greater understanding of this term, both from practitioner and theorising perspectives, must draw on, where relevant, cross-disciplinary research perspectives. This cross-disciplinary approach will also result in a more explicit and proactive generation of new intelligence knowledge. For example, psychology theory on decision-making is directly relevant to understanding how intelligence analysts and the consumers of their products perceive the value and relative accuracy of information. In summary, what is new is the monograph’s demonstration of how a broader range of cross-discipline areas are *intrinsically bound* to intelligence studies, and how they can be brought more consciously into a new research agenda for the intelligence field.

¹⁰ Additionally, at the time of writing, Marrin (located at Brunel University, UK) organised (in collaboration with the University of Mississippi) the conference, *Understanding and Improving Intelligence Analysis: Learning from Other Disciplines* in July 2012. The objective was to examine similarities between intelligence analysis, journalism, and other fields including medicine, the social and behavioural sciences, history and historiography, anthropology, as well as their common challenges, and what intelligence analysis can learn from these.

3.5 Importing Methodologies

There are also a number of examples throughout the monograph that show how methodologies imported from other disciplines or research contexts have been applied to the research in the monograph in original ways. However, the terms *discipline* and *methodologies* both require defining before we address this particular criterion of originality. I define discipline as ‘the set of rules, training, behaviour or conduct required to accomplish a branch of learning’ (Walsh, 2011a, p. 272). As noted in the monograph, I define methodologies quite broadly. Using O’Leary’s (2007, p. 85) definition, I argue that methodologies include the ‘frameworks or paradigmatic assumptions that are used to conduct research on intelligence analysis, plus techniques and tools for collecting data for this kind of research’.

One key area that demonstrated the innovative use of methodologies from other disciplines was the application of the fragile states and development literature—in particular, capacity building and governance research (for example, Eade, 1997; Gunnarsson, 2001) to develop a new concept of ‘intelligence capacity building’ (Walsh, 2011a, p. 73). Another important example of using imported methodologies was the application of classic decision-making psychology to analytical and intelligence consumer decision-making (*ibid.*, pp. 237–238).¹¹ Although one could argue that the work of Richards Heuer (1999) heralded the importance of cognitive psychology in understanding the role of cognitive bias in analytical decision-making, it has only been recently that researchers have applied specific psychological

¹¹ Here I am defining the ‘intelligence consumer’ as the client for the intelligence product prepared by the analyst.

methodologies in an experimental sense to examine the impact of bias on analytical outcomes (see, for example, McDermott, 2011; Wastell, Weeks & Duncan, 2009).

A final example of importing a methodological area to the study of intelligence is the discussion of bio-security in Chapter 2 (Walsh, 2011a, pp. 46–62). In this chapter, I discuss the role epidemiological modelling could play, in combination with structured analytical tools (already used in national security intelligence contexts), to help analysts better understand what ‘signposts’ might appear with certain bio-security threat scenarios, including bio-terrorism and bio-crimes (*ibid.*, pp. 238–239).

3.6 Looking at New Areas in the Discipline

The monograph also contains a number of examples of originality in terms of identifying new areas in the discipline. These examples can be divided into those areas that have been previously unexamined in the literature, and those where a new contribution has been made to existing areas of intelligence research.

3.6.1 Previously unexamined areas. Discussion of new and emerging areas in the intelligence field is distributed throughout the three sections of the book (*Applying Intelligence, Understanding Structures* and *Developing a Discipline*). For example, Chapter 2 (*Emerging Intelligence Practice Areas*) introduces not only a new terminology (‘emerging practice areas’) to the field, but also for the first time evaluates the intelligence processes, structures and

functions of the areas identified, and how they need to become more integrated into traditional intelligence practice.

For example, in relation to the two examples of emerging practice areas discussed in Chapter 2 (corrections and bio-security), their intelligence processes are evaluated by investigating how intelligence capabilities are used as well as by assessing how government policy changes have impacted on intelligence practice in both contexts (*ibid.*, p. 34). In addition to evaluating broad intelligence processes, structures and functions in the bio-security and corrections sectors, the research in the monograph provides an evaluation of specific threat and risk issues in these emerging fields (for example, gangs, terrorism, bio-terrorism and bio-crime), where further integration with traditional national security and policing areas would provide better decision-making support across government (*ibid.*, pp. 36–62).

Similarly, Chapter 3 (*Intelligence and Capacity Building*) is another original contribution to the field. As discussed earlier (see Section 3.5, above), I have drawn on the mainstream development studies literature, together with primary research from two contemporary case studies, to create a new sub-field of *intelligence capacity building*. This sub-field, with its focus on building effective intelligence capabilities in fragile states, currently does not exist in the literature.

Such building remains difficult for a number of complex and interrelated reasons including political and legal institutions and corruption. Researchers and policy-makers from western liberal democracies who work in the intelligence capacity building area will also likely be dealing with ‘new or

emerging democracies’ with significant security governance issues (*ibid.*, p. 84). Additionally, research in this area will remain sensitive, and reliable access to data from ‘the field’ in many fragile states may prove difficult for donor countries, let alone independent researchers.

Further exploration and research, however, in areas such as anti-corruption, accountability, and reform of political and legal institutions, will assist further theorising on intelligence capacity building. The existing literature on intelligence and democratisation will also likely assist in developing better criteria for measuring the effectiveness of intelligence capacity building in fragile states (Bruneau, 2001; Holt, 1995). In the context of intelligence capacity building, a range of cultural factors also require addressing and these are summarised below in Section 4.

The other new and original area examined in the monograph is the identification of what makes an intelligence framework effective. In Chapter 5 (*Intelligence Models and Frameworks*), I provide some examples of both intelligence models and frameworks (Walsh, 2011a, pp. 93–95). While the terms are similar, I argue in the monograph that ‘frameworks’ is a more useful and holistic way to capture all the intelligence *structures* and *functional* components that are important in evaluating what makes any intelligence agency or community effective. With the exception of, perhaps, the UK National Intelligence Model (NIM), most descriptions in the literature of intelligence processes have focused either on the broad cycle of intelligence production, or—as in the case of Ratcliffe’s 3I model—on how intelligence

functions in a broader decision-making process.¹² The monograph argues that it is not just the core intelligence processes that are important, but also the broader organisational and community structures that support them.

The question of what makes an effective intelligence framework is addressed over two chapters (4 and 5).¹³ In these chapters, five case studies provide some tentative observations that are useful for answering this question. The UK NIM has been thoroughly studied since its inception in 2000 (for example, Maguire & John, 2004; Ratcliffe, 2008). However, the other four frameworks discussed (the two US fusion centres, the Canadian Criminal Intelligence Model, the New Zealand Police Intelligence Framework, and the Australian Crime Commission's Project Sentinel) have not been written about before. Given the sensitivities around intelligence research, particularly using non-historical case studies, their inclusion is an achievement in itself.¹⁴

There may well be additional frameworks that are gaining traction, particularly in national security contexts, but they have not been made available publicly, even since publication of the monograph. The frameworks discussed in Chapters 4 and 5 are also interesting in demonstrating a 'blending' of national security and policing approaches, and showing how intelligence agencies and communities are trying to adapt to the evolving security environment. The assessment of each framework discussed in Chapter 5 (Walsh, 2011a, pp. 131–151) provides a unique insight into the strengths and weaknesses of each. This assessment also highlights a new and important area

¹² Ratcliffe's 3I model portrays the intelligence process as the product of three processes (interpretation, influence and impact). The model is explained in the monograph (see p. 94).

¹³ Chapters 4 and 5 are called *Intelligence Models and Frameworks* and *Building Better Intelligence Frameworks*, respectively.

¹⁴ For a discussion of each framework, see Chapter 4, pp. 95–130.

of research in the field that can help build better intelligence structures and processes. This new area of research is the examination of *currently operating* intelligence frameworks as contemporary case studies, rather than exploring *historical* ones.

Another important factor underlining the originality of the approach taken in Chapters 4 and 5 relates to the analysis of the five case studies. I develop a new theoretical framework of the intelligence cycle and its supporting structures, which I refer to in the monograph as ‘Figure 5.1: Components of an effective intelligence framework’.¹⁵ For ease of reference, Figure 5.1 has been reproduced below as Figure 1. As discussed in the monograph, the critical point about Figure 5.1 is that it integrates the functional or *process* activities of the intelligence cycle (which I refer to as core intelligence processes) with the *supporting* environment (which I refer to as key enabling activities).

The core intelligence processes are tasking and coordination, collection, analysis, production and evaluation. These processes ‘work’ on the security environment, but are supported by five key enabling activities: *governance, information communication technology, human resources, legislation and research*. This theoretical framework provides other researchers and practitioners with a holistic tool with which to evaluate other intelligence frameworks—whether they are in national security, policing or emerging practice contexts.

¹⁵ Figure 5.1 can be viewed on p. 148.

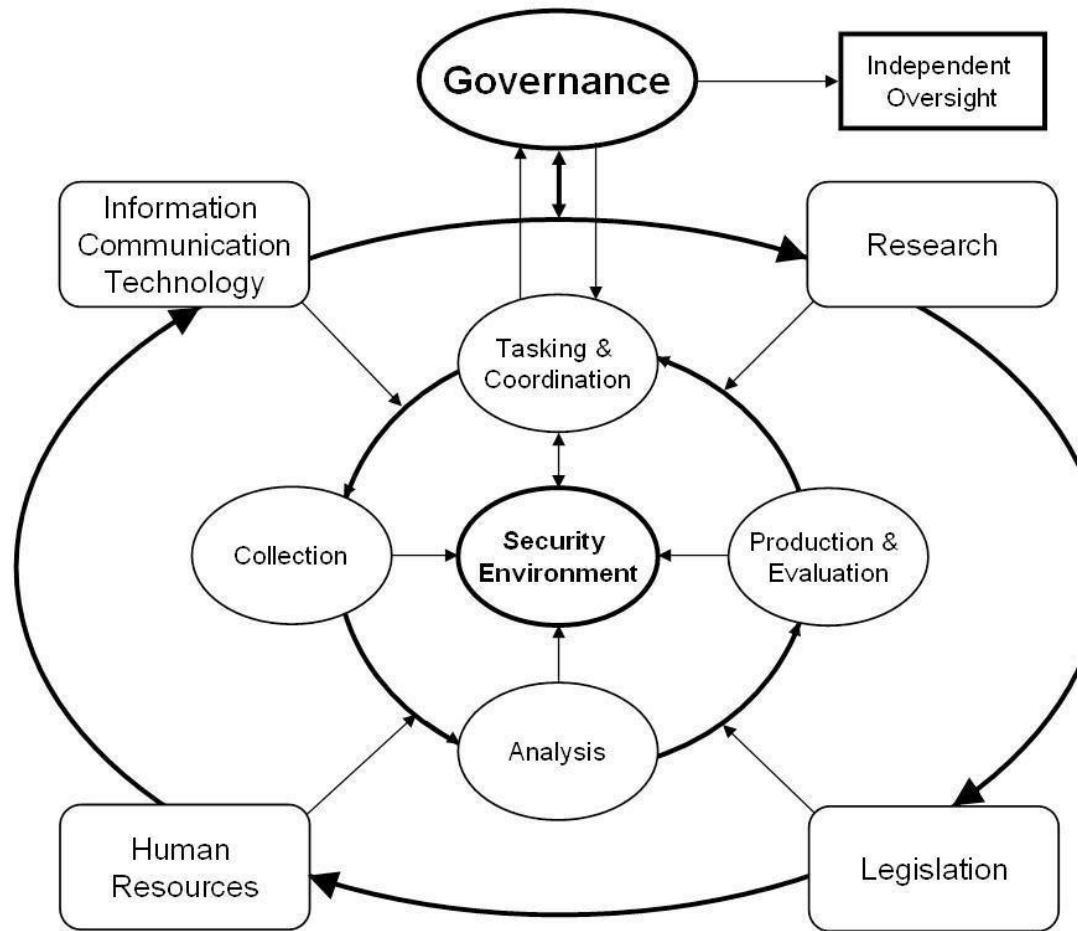


Figure 1: Components of an effective intelligence framework
(Walsh, 2011a, p. 148)

3.6.2 New contributions to existing areas. There are several other new contributions to existing areas of the discipline. These include performance management, strategic intelligence and risk assessment issues. Discussion of performance management issues in the literature is not new. As noted in the monograph, over the past decade there has been an increasing focus on various aspects of performance management by national security and policing agencies (see, for example, Moore, Krizan & Moore, 2005; Vito, Walsh & Kunselman, 2005). What is new in the monograph, however, is that it draws on new performance management strategies being used or developed by senior intelligence managers (for example, the Suspicious Activity Reporting and Strategic Management System in the US), and examines how they compare with existing models such as COMPSTAT.¹⁶ At the time of publication, these strategies had not been previously documented outside the spheres in which they operate.

Additionally, the monograph breaks new ground in the area of risk management and intelligence. For example, the Priority Rating System being developed by Victoria Police (Australia) is both a risk management and priority rating tool, which will have a profound impact on how this agency manages resources and integrates strategic intelligence with operational intelligence.¹⁷ None of this data is available in the public arena, and its evaluation in the monograph provides a good foundation to further develop existing theory and practice in performance and risk management.

¹⁶ For a detailed discussion of the suspicious activity reporting and strategic management system, see pp. 177–186.

¹⁷ For a discussion of the Victoria Police Priority Rating System, see pp. 173–175.

There are also other areas in the monograph that contribute in new ways to existing areas in the intelligence field. The areas of data mining, analytics and sense making are not new in national security intelligence or in the business sector. However, in the policing field they are relatively new from both a theorising and a practice perspective. The monograph provides a new treatment of them in the policing intelligence context, particularly by drawing on primary data that critically evaluates how they have been used.

Through the case studies on the Australian Crime Commission's Fusion Centre and Suspicious Activity Reporting in the US policing context (Walsh, 2011a, pp. 127, 180), I evaluate how data mining and analytics are being used in two contemporary contexts. The analysis of these case studies and textual analysis of material on the Abdulmutallab affair (see *ibid.*, p. 252) indicates that significant problems in the application of analytics remain. In particular, managing the large amounts of data and synthesising these with other information sources to produce timely and meaningful intelligence remains a challenge in policing and other intelligence contexts. It is likely that further insights from business intelligence and competitive analysis sectors will help build more effective analytics capabilities in the traditional intelligence practice areas of policing and national security.¹⁸

Other new contributions to the field are located in Chapters 9 (*Intelligence Education and Professionalism*) and 7 (*Ethics and Legislation*). One important new contribution to the professionalism and education area is the

¹⁸ Davenport and Harris (2007) describe businesses with competitive analytics as those which have the following four characteristics: (1) analytics are supported by a strategic, distinctive capability; (2) the approach to and management of analytics is enterprise-wide; (3) senior management is committed to the use of analytics; and (4) the company makes a significant strategic bet on analytical approaches to business (see Davenport & Harris, 2007, p. 23).

development of an education strategy (Walsh, 2011a, pp. 264–268). Drawing on the evaluation of primary and secondary data, the monograph develops specific elements of an education strategy that intelligence agencies and communities could develop further to improve, at a strategic level, teaching, learning and continuing professional development of intelligence analysts. The interviews conducted in this area of education and professionalism did show that in many agencies and communities across the ‘Five Eyes’ countries a number of improvements have been made in the training, education and professionalism of intelligence analysts (*ibid.*, pp. 273–282). Also evident was a growing awareness and implementation of more strategic approaches. For example, since the publication of the monograph, the national intelligence community in Australia has developed a community-wide education advisory committee known as the National Intelligence Training Committee to advise the community on education. Nonetheless, it was clear from the research that, more than a decade after 9/11, further work is needed in national security, policing and emerging areas to address *systematically* the educational and broader professional requirements of analysts.

Similarly, Chapter 7 (*Ethics and Legislation*), while providing updates on issues such as coercive interrogation and the politicisation of intelligence, also provided two new additions to the intelligence literature. These are in the areas of ethics and the broader accountability of intelligence oversight mechanisms. Specifically, the ethics discussion focuses on the issue of WikiLeaks, which started to gain prominence towards the end of my writing the monograph (*ibid.*, pp. 210–218). The accountability issue relates to what I see

as the growing fragmentation and potential duplication in oversight mechanisms that have developed in the intelligence communities of Australia, Canada, New Zealand, the UK and the US (*ibid.*, p. 232).

The WikiLeaks discussion adds a new dimension and contribution to research on intelligence practice and ethics. It also provides new and wider perspectives on intelligence reform. Since the monograph was submitted for publication other volumes have come out on WikiLeaks (for example, Domscheit-Berg, 2011; Leigh & Harding, 2011). These contributions, however, are more insights into the personality of WikiLeaks' founder, Julian Assange, rather than scholarly attempts to address ethical debates about intelligence practice. Additionally, unlike the monograph, they are not focused on evaluating critically the literature to determine how the WikiLeaks episode might change the effectiveness of intelligence practice and debates about ethics. However, since the monograph's publication some literature focused on the impact of WikiLeaks on intelligence *and diplomacy* is starting to emerge (Page & Spence, 2011).

The examples provided previously (in Sections 3.3 to 3.6) also underscore another important contribution of the monograph, which is to help further establish intelligence studies as a discipline in its own right.

3.7 Additional Sources of Originality

The original contributions listed above also together represent a new critique of the field a decade on from 9/11, a critique that concludes that intelligence as a discipline for practice and research remains fragmented. This

has consequences for how we define intelligence, assess its effectiveness, and determine the extent to which it is a distinct discipline ready to confront an increasingly complex security environment. This central argument of a fragmented field came out strongly in much of the primary research conducted across different themes in the monograph.

In order to address this fragmentation, the study also offers two new theoretical perspectives, both of which can help guide a more cohesive intelligence research agenda in the future. The first perspective is the distinction between traditional intelligence and emerging intelligence practice. This distinction provides a new theoretical perspective that will help scholars and practitioners address more effectively the three central research questions in this study.

Second, as discussed above and summarised in the monograph as Figure 5.1 (components of an effective intelligence framework), the research offers a new theoretical framework. The framework was constructed on the analysis of data collected from five case studies. While the framework is still a work in progress, it provides researchers and practitioners with a new and more dynamic way to capture the essential components of intelligence (referred to in the monograph as *core intelligence processes*), and the structures and other processes that support the essential components (referred to as *key enabling activities*). This model does away with the somewhat static and false view of intelligence traditionally represented as a cycle working like a factory assembly line on its own. The model demonstrates that intelligence as a service industry never works in a vacuum, and identifies the structural components upon which

it relies—components that have not been properly conceptualised in existing models in the literature.

3.8 Conclusion

This concludes Section 3. In Section 4, I will discuss how the study makes a significant contribution to the intelligence field (thereby addressing the fourth examination criterion—‘the significance of the ... [monograph]’).

Section Four: The Significance of the Monograph

4.1 Introduction

In this section, I provide evidence of how the study makes a significant contribution to the intelligence field. Before demonstrating how it meets this examination criterion, it is necessary to clarify how I use the term *significance*. Similar to the word *originality*, ‘significance’ can have different meanings in the scholarly world. Here, I adopt a modified version of higher education academic Graham Badley’s definition. Badley (2009, p. 338) argues that there are three main yardsticks for measuring the ‘significance’ of a publication submitted by a candidate for the award of a PhD. These are that the candidate: *achieves the goals set out in the work, adds consequentially to the field and opens additional areas for further exploration.*

Reflecting on Badley’s three criteria, there is clearly a similarity between the examination criteria for establishing ‘significance’ and the characteristics of ‘originality’ discussed in the preceding section. For example, Badley’s second criterion (‘adds consequentially to the field’) is arguably equivalent to a number of originality characteristics discussed in Section 3 and occurs as a result of doing original research that brings new evidence or examines new areas in the discipline. Nonetheless, I would argue that there is some daylight between the terms *significance* and *originality*. In the latter, the objective is to outline how different research areas underpinning the monograph meet broad characteristics of originality. In the former, the aim is to answer the

‘so what?’ question—or *why* are these various examples of originality significant?

The objective in this section, then, will be to show how the various conclusions in the monograph are significant in themselves and for the field of intelligence—thereby demonstrating how the monograph meets the three criteria for significance identified by Badley.

4.2 Achieves the Goals Set out in the Work

An assessment of whether the objectives of the study were achieved rests on the extent to which the monograph answered the three research questions listed in its introduction.¹⁹ I argue that each question was answered as a result of a carefully chosen flexible, qualitative research design. I define ‘research design’ as the overarching plan adopted by the researcher to address research questions. The research design provides a framework in which the most appropriate methods are selected to collect and analyse relevant data in order to answer the research questions (see Section 5). The design used in the monograph enabled a diverse range of practice contexts beyond just the national security and policing sectors (that is, both traditional and emerging practice areas) to be captured in the one volume. This, in turn, provided a richer set of data that could be used to address all three research questions. In other words, the design was a deliberate attempt to answer the three research questions through a broader prism of intelligence practice than was possible just

¹⁹ The three research questions underpinning the monograph are: (1) What is intelligence? (2) What makes intelligence practice effective? (3) Is there a discipline of intelligence?

by relying on answers generated from the policing or national security contexts alone.

Second, the research design synthesised insights from a number of senior intelligence leaders, managers and practitioners across the ‘Five Eyes’ communities, who are less accessible to the academic community, but are in many cases the architects of the intelligence reform processes discussed in the monograph. All three methods used in the research design (the semi-structured interviews, document analysis and case studies) were critical in gaining a contemporary and detailed understanding of a range of themes that go to the heart of the three research questions. An in-depth discussion of the research design and methods used is the focus of Sections 5 and 6, but the data generated from the interviews and case studies, in particular, are significant as they are not available in secondary and non-official studies.

Third, the qualitative research design provided an ability for me as a former practitioner and now researcher to ‘value add’ to the primary data collected. I was able to reflect on my own professional experience to ‘test’ sources of data coming from the field. This ongoing reflection was important throughout the research journey. It helped confirm in my own mind the appropriateness of the three research questions, and provided an additional way to sense check that each question was being addressed fully.

In summary, the overall focus of this research was to *understand*, rather than *explain*, what factors might inform these questions. Hence the answers generated to each research question cannot, in any strict positivist or empirical sense, be seen as definitive (Walsh, 2011a, p. 299). The open-ended nature of

the research questions required a flexible, qualitative research design that could develop, incrementally and thematically, answers to the three questions.

The design allowed different thematic areas across the three sections of the monograph to contribute data and insights, which in turn allowed a richer understanding of the factors that are important in answering each question. For example, the case studies discussed in Chapter 2 (corrections and bio-security), provided important insights into all three research questions—particularly the first two. Moreover, the answers provided in the monograph contributed significantly to putting more precision around the research questions themselves. Given that the field of ‘intelligence studies’ is still emerging, any ‘precision building’ in this fledgling field that helps it articulate more accurately the critical questions to explore is a significant achievement in itself. The research, therefore, sought to develop greater accuracy in defining the basic terminology used in phrasing the three research questions. This process then resulted, eventually, in more refined answers, which in turn led to further knowledge generation and better practice. In the following sections, I will briefly explore how each research question was addressed specifically in the monograph.

4.2.1 Research question 1: What is intelligence? Much of the historical analysis of national security and policing intelligence in Chapter 1 contributed to a greater understanding of what makes intelligence unique compared to related fields of knowledge management, research or data analysis. A synthesis of the secondary data in this chapter led to a conclusion that ‘intelligence’ can be conceptualised more clearly by studying the evolution of

the ‘three components of an intelligence tradition’ (*ibid.*, pp. 29–33). It was also argued that this intelligence tradition was likely to be important in defining what intelligence *is* for emerging intelligence practice areas as they confront new challenges in an ever-evolving security environment.

While I argue that there may be no single one-size-fits-all definition of intelligence that applies in all contexts, this attempt to use the concept of an intelligence tradition to distil what is *unique* about intelligence provides researchers and practitioners with at least a theoretical ‘stake in the ground’. This concept can then be used to evaluate how future changes in intelligence practice contexts impact on our understanding of what intelligence is.

The intelligence tradition concept, however, does not remove all the epistemological difficulties in studying intelligence. Such difficulties relate to what is ‘knowable’ in the field and were raised in this study. The answer to this question depends on how intelligence is viewed at its most fundamental level—as an art, science or a combination thereof (Marrin, 2012b, p. 529; Walsh, 2011a, p. 295).

4.2.2 Research question 2: What makes intelligence practice effective? The key examples of how the research provided answers to the second research question are discussed in Chapters 4 and 5. Both chapters include a large volume of primary data collected from a diverse set of national security and policing agencies across the ‘Five Eyes’ intelligence communities.

As noted earlier, the analysis of the five intelligence framework case studies (particularly in Chapter 5) contributed substantially to answering this research question by more clearly delineating (via semi-structured interviews

and case studies) the *common characteristics* required in order for an intelligence framework to be effective. These characteristics can be classified broadly into two categories: *effective core intelligence processes* and *key enabling activities*. In the monograph they were laid out as a theoretical framework that can be tested further by academics and intelligence leaders in the field.

4.2.3 Research question 3: Is there a discipline of intelligence? In

relation to the third research question the primary and secondary data collected for Chapters 7 to 10 clarified a number of issues relevant to answering this question. This data was useful in confirming my preliminary views about how best to capture the important issues behind the third research question. Data analysed in these chapters suggested that the descriptor ‘intelligence discipline’ rather than ‘intelligence profession’ was a more accurate reflection of reality in the intelligence field.

Additionally, after reflecting on the data collected in interviews across the ‘Five Eyes’ intelligence communities and my own teaching in this area, I came to the conclusion that there may even be more than one discipline of intelligence and intelligence analysis given the still evolving and diverse set of skills, practices, theories and issues across different intelligence fields such as national security, policing and the business sectors (Walsh, 2011a, p. 272). For example, in the discussions on intelligence education and professionalism (Chapter 9), I define the intelligence discipline as a loose body of knowledge, though with specific branches of learning, training, and behaviour and conduct required to gain this knowledge (*ibid.*, p. 302). This loose and diverse body of

intelligence knowledge does not represent a ‘specific’ vocation such as law or medicine, which has a prescribed body of knowledge existing exclusively for it (*ibid.*).

The research findings here are consistent with the work of other scholars who have investigated whether the intelligence field is a profession or otherwise. Marrin and Clemente (2006) have devoted time to this issue, and argue that although intelligence analysis has developed aspects of professionalism, there is still a long way to go. Additionally, I argue in Chapter 9 that there are several attributes of professionalism that require further development in the intelligence discipline in order to provide clearer boundaries for its practitioners and researchers, and for it to become a profession in the future.

The areas requiring further development include: education, continuing professional development, career structure, professional association, community engagement and research (Walsh, 2011a, p. 272). In summary, Chapters 7 to 10 develop important insights, which led me to conclude that intelligence is a discipline rather than a profession. The significance of this answer goes beyond mere academic semantics. Providing additional evidence to clarify where the current and critical challenges are in this area of emerging intelligence professionalism will enable policy-makers, intelligence leaders and researchers to work more effectively to resolve them.

In the preceding paragraphs, I have argued that the monograph as a piece of research achieved its goal of answering the three research questions and that this was possible due to the flexible research design adopted in the

study. In the next section, I will demonstrate how the monograph's research design allowed disparate themes and data to be brought together in a way that adds consequentially to the field.

4.3 Adds Consequentially to the Field

The second criterion I use to demonstrate the significance of the monograph as a doctoral study by multi-media is the extent to which it adds *consequentially to the field*. As noted earlier, determining how consequential the research is relates both to how *original* it is, and the extent that it has or will make an *impact* on the field. Hence in this section, I will again refer to some of the original aspects of the research discussed in Section 3, but the focus here is to evaluate the impact of this research. There are two broad areas of the monograph where theory and practice meet—the theoretical intelligence framework, and the inclusion of the traditional and emerging intelligence practice aspects of the field. I argue that these two areas are the most significant contributions to the field, and where the impact of the research will be most consequential in the longer term. This is because the field is still lacking good theoretical frameworks within which to conceptualise and build better intelligence systems and processes.

The inclusion of emerging intelligence issues is particularly significant, as noted earlier, because the growing complexity of the security environment demands a more holistic approach to intelligence practice that better integrates traditional with emerging practice areas (*ibid.*, p. 2). I also recognise, however, that the study has only recently been published; hence its actual impact on the

field cannot yet be determined with any precision. Yet these two areas, from a theorising and practice perspective, offer potential further contributions to the field by me and other researchers.

4.3.1 New theoretical framework. As discussed in Section 3, and in the monograph, the most important and significant contribution of the study is to produce a new theoretical framework that allows researchers to determine more holistically what factors working together make intelligence practice effective (see Figure 1 in Section 3). This framework arose out of the analysis of data from the five case studies. Since submission of the monograph for publication, I have also reflected further on various aspects of the theoretical perspectives underpinning the intelligence framework depicted in Figure 1. This has included incorporating helpful insights from senior intelligence practitioners that have further developed my thinking about the framework. For example, at the 2011 annual Australian Institute of Professional Intelligence Officers conference, the intelligence manager from Western Australia Police used the framework as part of his discussion of reforming intelligence processes in that agency.

In a series of lectures in March 2011, I also presented the framework to practitioners and academics across Australia. I have discussed the framework and other aspects of the monograph in the US at the International Association for Intelligence Educators' seventh annual conference held in Washington, DC in June 2011 (Walsh, 2011d), and have presented research findings to New Zealand academics and practitioners in November 2011 at presentations

sponsored by the New Zealand Institute of Intelligence Professionals (Walsh, 2011e).

All these interactions with academics and practitioners have provided me with further insights on how the framework could be refined. Additionally, since publishing the monograph, I reflected further in a peer-reviewed article on the critical role of *governance* in the framework and expanded on how this role facilitates other enabling activities and processes in any intelligence framework (Walsh, 2011c, pp. 59–90).²⁰ In summary, all these activities since the publication of the monograph have resulted in further development of the theory underpinning the intelligence framework. The discourses in print and during public exchanges discussed above have also generated greater interest by practitioners, both in Australia and in the other ‘Five Eye’ intelligence communities, in the theoretical underpinning of the intelligence framework. Hence I argue that this further development of the intelligence framework, beyond the initial study, demonstrates one way in which the research is starting to have an impact beyond the initial confines of the monograph.

4.3.2 Traditional and emerging intelligence practice. As noted above, I argue that the second most important contribution of the monograph is the inclusion of the traditional and emerging intelligence practice aspects of the field in the one study. The three research questions are the central unifying ideas in the monograph. The primary data collected to answer these broad

²⁰ I define governance as the most crucial of the five key enabling activities that support effective intelligence processes. It consists of attributes such as sustainable leadership, innovative and adaptable doctrine design, effective coordination and integration of intelligence structures and functions, high-quality strategic intelligence capabilities, highly developed risk and threat assessment tools, and evaluation. For a more detailed discussion on governance in the monograph, see Chapter 5, p. 149.

questions was extensive and diverse compared to other more recent monograph-length works or peer-reviewed articles, which have traditionally focused on national security or policing intelligence issues (for example, Gill & Phythian, 2006; Ratcliffe, 2008).

Put simply, it is the depth and diversity of primary data collected and analysed in this study across the full spectrum of themes in traditional and emerging intelligence practice areas, which in and of itself highlights a second significant contribution of the work. The number of case studies used in the study and drawn from primary data also highlights the depth and diversity of this study and the wider contribution it makes across the field. Additionally, many of the case studies are not historic, but reflect current and ongoing developments in intelligence practice across Australia, Canada, New Zealand, the US and the UK. Their currency for understanding ongoing intelligence reform in these countries is another significant contribution.

4.3.3 Comparative approach of the study. In addition to the above two most significant contributions made by the monograph, there are a number of other important impacts the study makes in the intelligence field. For example, there has not been in the field, thus far, a research project which takes a comparative approach between Australia, Canada, New Zealand, the US and the UK in exploring intelligence practice in emerging areas (such as corrections and bio-security), and integrates this with an examination of intelligence in national security and policing intelligence practice. Many of the case studies (particularly those case studies comparing five intelligence frameworks) show how dynamic intelligence reform is in these countries. The impact of such ‘live’

case studies is they provide new evidence of challenges and progress in intelligence reform within and between the ‘Five Eyes’ intelligence communities. This, in turn, provides opportunities for practitioners and scholars to reflect further on what is good intelligence practice and how to make improvements.²¹

So, the significance of the comparative approach taken in the monograph lies both in the *breadth* of the issues covered across national security, policing and emerging practice areas, and in the greater *opportunities* this then provides to develop theory and improve practice by learning from a wider number of different intelligence contexts.

4.3.4 Creating opportunities for further research beyond national levels of intelligence practice. Leading on from the discussion above, another important impact the monograph makes is in the opportunities it provides to develop theory and improve practice at the different geographical and decision-making levels within which intelligence operates. For example, the articulated research and education strategies (see Chapters 9 and 10) provide both researchers and practitioners with practical strategies or ‘road maps’ by which they can make further contributions to the intelligence field regardless of where they are located in it—local, national, international, national security, policing or emerging areas.

While a large amount of the analysis in the monograph is focused on intelligence issues at the *national* intelligence agency or *community* level, there is also discussion examining local and regional developments. For example,

²¹ See Chapter 4, pp. 91–129.

discussions based on the Priority Rating System used by Victoria Police (Australia) and the Strategic Targeting and Resource Selection (STARS) used by the Vancouver Police Department (Canada) (Walsh, 2011a, pp. 173, 250) demonstrate how local-level intelligence practice can also showcase good practice that is applicable to addressing the three research questions.

These examples are also relevant to improving intelligence practice at national and international levels. For example, discussions on the role the Los Angeles Police Department (LAPD) has played over the past few years in developing a suspicious activity reporting system in the US, and the role of the Los Angeles Sheriff's Department (LASD) in trying to improve intelligence capability in the local correctional environment, demonstrate the influence local intelligence capabilities can play in developing intelligence reforms relevant at national and international levels. In summary, another aspect underpinning the significance of the monograph is that it showcases examples of good intelligence practice on a range of levels, thus making the relevance and potential impact of the research wider than a project which focuses on only national, regional or local perspectives.

4.3.5 A holistic approach to the study. Another important aspect of the wider approach adopted in the monograph is that the data collected during the research project seeks to address three broad questions, which are equally relevant to all sub-fields of intelligence: national security, policing, and emerging practice areas. Hence, much of the discussion and analysis of themes relating to the three research questions has broader relevance and significance beyond one sub-field. The broad nature of the three research questions, and the

diverse data collected to answer them, was also significant in providing a research approach that reduced the current fragmentation of knowledge and practice across the intelligence field. While it is too early to assess what impact a holistic approach will have on the intelligence field, it does potentially offer a new and wider perspective in which to scope out research in the intelligence field. The approach is recognition that more can be understood about intelligence practice by casting the net wider than one sub-field.

This is not to suggest that all the research across the diverse themes in the monograph is equally relevant or significant to each sub-field. As discussed in Chapter 1 (*Traditional Intelligence Practice*), there are some differences in approaches between national security and policing intelligence methodologies, and in the kind of decision-making outcomes these methodologies support (*ibid.*, pp. 7–34). For example, an obvious difference between national security and policing intelligence decision-making outcomes is that the latter is geared primarily towards arresting and prosecuting offenders. Similarly, in the diverse practice contexts that I have labelled ‘emerging intelligence practice areas’ different collection and analytical methodologies are deployed, again depending on the context (for example, business intelligence, a public compliance area or corrections).

While a large private sector company may use advanced data mining techniques—not out of place in a national SIGINT agency—there are clear differences in the way the data has been collected in each case, even though, as argued in the monograph, since 9/11 it is becoming more difficult to discern

where the boundaries of some these differences lie.²² This is particularly the case with developments in policing intelligence during the last decade in the ‘Five Eyes’ intelligence communities, where more proactive intelligence collection methodologies, similar to those used in national security agencies, have emerged (Borodeur, 2008).

However, despite historical, methodological and cultural differences between sub-fields in the intelligence discipline, the three research questions in the study provide a foundation from which to address common challenges across these diverse sub-fields. Moreover, the answers to each research question provide a greater understanding of what constitutes good practice across *all sub-fields*. In particular, as discussed earlier, the discussion and analysis of the five intelligence frameworks provide an important medium not only for bringing together disparate areas of intelligence practice, but also for finding commonalities and looking at the evidence for what constitutes effective intelligence practice in different agencies and communities (irrespective of whether they are national security and policing models).

4.4 Identifies Additional Areas for Further Exploration

The third defining characteristic of significance is whether the monograph demonstrates additional areas for further exploration. I argue that this characteristic is important because the *impact* of good research in the field should be felt longer term. What areas in the research project can be built upon, or what new areas does the research now open which were not previously

²² SIGINT, or signals intelligence, is collected by the interception of various forms of electronic communication sources, including telephone and internet.

known? One area I argue which may produce a useful research agenda is the structure and reform of intelligence organisations.

As explained in Chapter 5 of the monograph, an effective intelligence framework operating either at the agency or community (or both) level requires a series of interrelated functions to occur (*the core intelligence processes*), which are embedded in a bigger foundation or structure that supports these processes (*the key enabling activities*). Since the monograph's publication, I have been developing the effective intelligence framework further, illustrated above in Section 3. In particular, I am currently exploring other disciplines in the social sciences and humanities, such as sociology, anthropology, political science and leadership theory, to further define aspects of the intelligence framework as well as understand more clearly how components interact within the framework.

As noted earlier, the design of the framework was the result of the analysis of the five case studies in Chapter 5. During the research, I did not draw on other disciplines either to inform its design or to explain how its components interact. But after publication of the monograph, it is clear that further development of the framework is needed and other disciplines may be useful in this regard—particularly in defining how various aspects of the framework interact with each other. Next, I will discuss briefly four discipline areas—sociology (structural functional perspectives), political science, organisational theory and leadership theory—which may assist in opening up additional areas of the intelligence framework for further exploration.

4.4.1 Discussion of structural functional perspectives. The structural functional literature in sociology and anthropology is one area that may assist in developing the framework. There is no one coherent structural-functionalist intellectual tradition to draw on (Craib, 1992); however, there are works from sociologists such as Talcott Parsons (Parsons, 1975) and Robert Merton (Ritzer, 2011) that are applicable to further theory building on effective intelligence frameworks. Parsons and Merton both examined aspects of social theory, such as the social roles of individuals, their socialisation, and how these factors impact on social stability (Craib, 1992). Their work requires further consideration, but there does seem to be some value in considering how intelligence practitioners are socialised within changing intelligence agencies, and how the social role of practitioners impacts on the structural and functional components of an intelligence system over time.

Similarly, the work of political scientists such as Gabriel Almond and Bingham Powell, who introduced a structural-functionalist approach to comparing political systems (Almond & Powell, 1966), may be applicable to developing the intelligence framework further. They argued that in order to understand a political system, it was necessary to understand not only its institutions (or structures), but also how these institutions function. This broad theoretical approach is similar in some respects to my theorising about what constitutes an effective intelligence framework. Instead of the structures that Almond and Powell argue exist in a political system (for example, political parties, interest groups and branches of government), the ‘intelligence system/structure’ (or framework, as it is described in the monograph) consists

of the *key enabling activities* (governance, ICT, human resources, research, legislation). How these activities function within any intelligence system can be found in their interactions with the *core intelligence processes*.

Additionally, after the monograph was published, other literature from the political science field, such as Hammond's examination of the historical bureaucratic hierarchies of the US intelligence community, has become available (Hammond, 2010). This work may also be relevant to further refining the intelligence framework I developed in the monograph, although Hammond seems to be focusing on only one part of the intelligence framework, namely the creation of a 'master data set' for all agencies to use. In contrast, I argue that research in this area of building better structures or frameworks needs to take a more holistic view of intelligence processes and structures—of which data and collection is only one aspect, albeit an important one (*ibid.*, p. 717).

4.4.2 Discussion of political science perspectives. Additionally, I have been reflecting on how to better define specific aspects of the framework. In particular, I now think that the critical role of 'governance' requires further development. As noted in the monograph, it is the most important of the *five key enabling activities*—acting much like a conductor in an orchestra by coordinating other *key enabling activities* and *core intelligence processes* in any intelligence framework. Since publishing the monograph, I have been reviewing the political science, leadership and organisational change literature in order to further explore the role of governance in my framework. For example, Stoker's work on governance theory presents an organising framework that maps how various political actors and institutions interact in a

dynamic process of governing. Stoker (2002) defines ‘governance as ultimately being concerned with creating the conditions for ordered rule and collective action’ (p. 18).

Using Stoker’s definition of governance, further research in this area may show how ‘ordered rules and collective action’ change in the governance arrangements of intelligence agencies and communities (*ibid.*). Stoker (*ibid.*) also lists ‘five propositions’ to further develop governance theorising, including the importance of ‘autonomous self-governing networks of actors’ which is also relevant to research on intelligence frameworks, particularly in assessing how political leaders and other stakeholders (discussed above) are influencing the governance arrangements of intelligence frameworks since 9/11. While further reflection is required on Stoker’s governance theorising, initial exploration of it, particularly its relevance to the external and internal dimensions of governance issues, shows that it may be useful for building adaptable and viable intelligence frameworks that produce better outputs for decision-makers.²³

4.4.3 Discussion of organisational theory perspectives. In addition to the political science perspectives discussed above, there is also a large and diverse body of organisational theory that may be applicable to refining further various components of the effective intelligence framework developed in the monograph. Organisational theory is a ‘broad church’ and it is difficult to discern accurately its boundaries, given that theoretical perspectives are

²³ As noted in Chapter 5, governance has both external and internal dimensions. The internal dimensions include attributes such as sustainable leadership, innovative and adaptable doctrine design, effective coordination and integration of intelligence structures and functions, high-quality strategic intelligence capabilities, highly developed risk and threat assessment tools, and evaluation. The external dimensions include sustained policy focus on reform of intelligence structures and functions, active participation in intelligence collection, priority setting, and tasking and coordination.

contested. Similar to intelligence studies, it has been influenced by other disciplines such as economics, engineering, biology-ecology, cultural anthropology and cultural studies.

My surveying of the organisational theory literature is still in the early stages, so areas that may be helpful in developing the intelligence framework further have not yet been firmly identified. Nonetheless, there are strands in the literature, particularly in areas such as organisational change and reform, communication and learning, that may be useful in the intelligence context (for example, Lewin, 1951; Weber, cited in Roth & Wittich, 1968/78). In particular, Weber (*ibid.*, pp. 240–241) sees organisational change as a change in culture that originates with the introduction of new ideas by a charismatic leader; change at lower levels within an organisation becomes routinised due to the respect with which the leader is viewed by workers.

Weber's (*ibid.*) notion of the 'charismatic leader' driving organisational change may be useful in understanding further the role leaders play in developing and entrenching reform in some intelligence agencies or even communities. In several of the case studies of intelligence frameworks detailed in the monograph, it was clear that there was at least one leader who—if not always charismatic—was certainly influential in implementing a new blueprint for intelligence in their agency.

Since publishing the monograph, some key change agent leaders that I interviewed (such as those in the US Federal Bureau of Investigation [FBI] and the Royal Canadian Mounted Police [RCMP]) have left their respective agencies, which raises the question of what effect their absence might have on

their reforms gaining traction and promoting lasting organisational cultural change.

Other useful areas of organisational theory relevant to work on the effective intelligence framework in this study, and intelligence reform more widely, can be found in how organisations learn both in the private and public sectors (Levitt & March, 1988). One focus in the organisational literature since the early 1990s has been on how private sector organisations have been managed. Some theorists have argued that entrepreneurial management approaches or principles in private sector agencies have produced advantages that may be applicable and beneficial to their public sector counterparts. Organisational theorists such as Osborne and Gaebler (1992) argue that the potential, almost unique, benefits available to private sector organisations are based on distinct differences between the private and public sectors. They argue:

[The] private sector tends to be better at performing economic tasks, involving replicating successful experiments, adapting to rapid change, abandoning unsuccessful or obsolete activities and performing complex or technical tasks. (pp. 45–46)

The implementation of the National Performance Review by the Clinton Administration in the US is one example of a political leader attempting to create a more ‘entrepreneurial culture’ in the public sector—a culture inspired by the private sector and one defined as ‘constantly learning, innovating and improving’ (Wilson, 2000, p. ix). In the monograph, the influence of organisational theory is demonstrated in discussions about policing intelligence reform during the late 1990s in the UK. As discussed, private sector

organisational theory had a profound influence on politicians' creation of *new public sector managerialism*, which arose in the UK public sector in the 1990s. It asserted that just as there were 'efficiency dividends' in business, so could similar benefits be generated across the UK civil service, including in the policing and security sectors. This concept became a major driver for reform of policing intelligence in the UK during the same period (Walsh, 2011a, p. 19). Whatever the latest management nomenclature that is branding public policy-making in the 'Five Eyes' intelligence communities, it is likely that drives for efficiency dividends—a key characteristic of new public sector managerialism in the 1990s—will continue to inform government decisions about funding intelligence agencies post the Global Financial Crisis.

4.4.4 Discussion of leadership theory perspectives. In the leadership literature there are also some promising theoretical areas, which, like organisation theory, are a synthesis of different social science perspectives, including organisational theory, psychology, organisational culture and political science. A recent edited collection of leadership theory by Bryman, Collinson, Grint, Jackson & Uhl-Bien (2011) provides a comprehensive guide to the breadth and multidisciplinary intellectual heritage of leadership theory. Some of the more well known theoretical perspectives in leadership studies are *positive leadership*, *leadership and organisational culture*, *adaptive leadership* and *transformational leadership* (Bryman *et al.*, 2011). There is insufficient space here to provide a detailed description of each of these leadership theories. Rather, I will briefly discuss the potential relevance of three perspectives (organisational culture, adaptive leadership and transformational leadership) to

extending the theorising in the monograph on building effective intelligence frameworks.

Leadership and organisational culture theoretical perspectives are diverse and therefore difficult to define simply. For example, some theorists argue that leadership approaches in organisations are much more strongly influenced by organisational culture than the leader's ability to challenge or change existing cultures (Alvesson, 2011, pp. 151–164). Adaptive leadership has gained traction in leadership/management education since the 1990s, with key proponents including Heifetz, Linsky & Grashow (2009). They describe adaptive leadership as the practice of mobilising people to tackle tough challenges so that organisations can thrive (Heifetz *et al.*, 2009, p. 13).

What is not clear in the theoretical approach to leadership of Heifetz *et al.* is how broad observations of leadership characteristics in public or private organisations underpin a coherent approach to leadership theory. Thus adaptive leadership, while sparking a great deal of interest in the literature, still lacks empirical evidence. Beyond merely describing a set of characteristics which may help leaders adapt their organisations, there does not appear to be much systematic evaluation of these characteristics to assess their significance in more than one or two cases.

In contrast, other approaches such as transactional and transformational leadership are more empirically supported. Transactional leaders guide and motivate their followers in the direction of established goals by clarifying role and task requirements, and transformational leaders inspire followers to go beyond their self-interests for the good of the organisation. Transformational

leaders possess charisma and are therefore capable of having a deep effect on their followers. (For more on the differences between these leadership styles, see Burns, 1978.) By way of an example of their empirical support, a number of studies of US, Canadian and German military officers have suggested that transformational leaders were evaluated as being more effective than their transactional counterparts (Bass & Avolio, 1990, p. 23). Additional evidence also indicates that transformational leadership is strongly correlated with low staff turnover rates, higher productivity and higher employee satisfaction (see, for example, Bass & Avolio, 1990; Keller, 1992, pp. 489–501).

Transformational leaders usually also have charisma, and their personalities and actions influence their subordinates to behave in certain ways. Richard Branson of the Virgin Group, the late Steve Jobs, CEO of Apple, and Jeff Bezos, founder and CEO of Amazon.com, are considered by many as examples of transformational and charismatic leaders. In the leadership literature there is an increasing body of evidence showing correlations between charismatic leaders and high performance and satisfaction among followers (Conger & Kanungo, 1998; Menon, 2000; Rowden, 2000).

4.4.5 Summary of issues common to each. The discussion above shows that there are important areas raised in the monograph, such as the intelligence framework, which can be refined and expanded upon in the future by using a range of cross-disciplinary approaches to research. However, there are obviously clear limitations to the transferability of some cross-disciplinary approaches discussed to theorising about an effective intelligence framework as discussed in the monograph. For example, the application of organisational

theorising focusing solely on private sector organisations does have limits when studying public sector organisations such as intelligence agencies (Wilson, 2000). Business organisations are driven ultimately by different variables: the market, profits, and survival against competitors. In contrast, public sector organisations have to provide a service or products regardless of whether they are seen by governments and taxpayers as effective or ‘profitable’.

The executives of businesses in the private sector also have more manoeuvrability than government agencies in terms of reforming their organisational structures. There may be shareholders to keep happy, but the need to adapt in order to increase profits against market competitors is in contrast to their public sector counterparts, who are constrained by competing political interests and short political electoral cycles that can stifle organisational reform.

Likewise, using leadership theory to better understand how to reform the structure of intelligence organisations, or to improve leadership and management capabilities in such organisations, also has its limitations. As discussed above, the leadership theoretical field is diverse and many of the approaches lack empirical evidence—making them more difficult to apply to the intelligence context. Additionally, along with other social science methodologies, it remains difficult to access data (in the form of interviews with intelligence leaders and managers) to reliably test such theories.

While the application of such cross-disciplinary approaches cannot yet result in any definitive or normative theory on effective intelligence

frameworks, they may in the interim assist practitioners and intelligence leaders to learn and adapt their intelligence agencies and communities for the better.

4.5 Ability to Continue to Contribute to Knowledge in an Independent Way²⁴

In this last section on the overall significance of the monograph, I will focus on demonstrating how the work demonstrates *my* ability to continue to contribute to knowledge as an independent researcher. This relates to the aspect of the doctoral examination process concerned with assessing whether the author of the doctoral study demonstrates the potential to become an independent researcher beyond the research apprenticeship that such studies represent.

During my nine-year career as an academic I have published several articles and book chapters on various aspects of intelligence (Walsh, 2005, 2007, 2009, 2011a, 2011b, 2011c, 2012a), which demonstrate my skills as an independent researcher. I have also shown an ability to sustain and extend research skills developed during this period by being a chief or associate investigator in three research grants dealing with aspects of intelligence analysis.²⁵ These milestones demonstrate an existing ability to research independently.

²⁴ This section could be interpreted as requiring discussion of the contribution of the monograph itself to knowledge in the area. However, this has been discussed previously in the exegesis; hence, the focus settled on for this section.

²⁵ Details of the three grants (with my role in each explained in brackets) are as follows:

- V. Herrington and P. Walsh (2006) (Associate Investigator—CSU Small Grant), *Where the Bloody Hell Are We? The National Intelligence Analysis Survey—Charting Developments and Directions in Intelligence Analysis in Australia*;
- P. Walsh (2007) (Chief Investigator), *An Evaluation of the AFP's Transnational Crime Network in Samoa: Effectiveness and Sustainability*; and

The recent publication of my first monograph indicates an ability to contribute to knowledge by designing and executing multiple research methodologies and then producing a sustained and coherent analysis. In particular, the various stages in writing a sole author monograph demonstrate this point. For example, the book outline was reviewed anonymously and independently by experts in the field. While the publisher did not provide me with detailed feedback by the reviewers, they did share with me some of the reviewers' general comments and observations. These included assessments by the reviewers that the 'book concept' had something 'new' to say, and was capable of making a useful and new contribution to the field (B. Willan, personal communication, 10 July 2008).

Towards the end of the monograph project, further evidence became available of my ability to contribute independently to knowledge in the field. A willingness at this stage to receive, reflect and respond constructively to both positive and negative comments about content is indicative of confidence in my research skills, tempered with the understanding of limitations and the value of seeking input from peers. For example, comments from notable intelligence academics such as Peter Gill and distinguished writers and practitioners such as Mark Lowenthal on the back sleeve of the monograph provide evidence that my work has significance and underlines its potential (and therefore my potential as a researcher) to continue to contribute to knowledge as an independent researcher. Finally, in August 2011 (two months after publication), I received additional formal feedback from Jerry Ratcliffe, an academic who has written

• P. Walsh (2011) (Chief Investigator—Australian Future Forensics Innovation Network Grant), *The Development of Image Pattern Matching Technology for Graffiti Tags and its Integration into Intelligence and Investigation Strategies*.

widely on intelligence-led policing. Ratcliffe (personal communication, 14 August 2011) described the monograph as a ‘thoughtful and thorough Examination’ of a range of critical areas in intelligence.

Another way I can demonstrate the ability to contribute to knowledge in an independent way is by the *impact* the monograph’s research has on the intelligence field. As noted earlier, the overall ‘significance’ and ‘impact’ of research outputs are not the same thing. Significance is also a product of the originality and design of the research, and whether the work opens up further opportunities to expand knowledge. A study can make an impact but not provide longer-term opportunities for further progression of the field. However, given this monograph is focused on academics and practitioners, the *impact* of the research is another important issue to consider when addressing the overall significance of the monograph.

Arguably, there should also be a causal link between the ability to conduct research independently and having that contribution recognised and utilised by other researchers and practitioners in the field. While ways of evaluating such impact have varied, both in format and perceived success,²⁶ an important part of most such attempts has been citation rates, particularly in global databases such as *Scopus*, *Thomson Reuters* and *Ebsco*. Given the monograph has been in publication for just over 16 months, there has been little opportunity for its impact to be reflected in citation rates across electronic

²⁶ For example, in Australia and the UK various attempts have been made to evaluate formally the impact of government-funded research in higher education institutions. None of these initiatives has resulted in a complete ‘fit for purpose’ system for measuring research impact. In Australia, the Excellence in Research for Australia Initiative (ERA) assesses research quality within Australia’s higher education institutions using a combination of indicators and expert review by committees comprising experienced, internationally recognised experts. In the UK, the Research Assessment Exercise (RAE) has played a similar role, though as of 2014 it will be replaced by the Research Excellence Framework (REF).

journals and databases. This is not surprising, given the time it takes for new publications to be brought to the attention of the academic community via formal review in journals, and then cited in subsequent writings, especially given the time lags between submission of articles to refereed journals and their eventual publication.

However, I am aware of four new publications (Evans, Herrington, Walsh & Kebbell, 2012; Prunckun, 2012a, 2012b, in press) that have cited the work. Additionally, in June 2012 the monograph was reviewed by the Central Intelligence Agency (CIA)'s journal, *Studies in Intelligence*. The reviewer concluded that it was a unique contribution (Peake, 2012, p. 47). I have also published another book chapter and a peer-reviewed article, both of which expand on some aspects of research in the monograph (Walsh, 2011b, 2011c), thus distributing aspects of the monograph to a wider audience. Measuring impact, however, is not just a product of citation rates—it can also be demonstrated in other contexts such as seminars and conferences. Since the publication of the monograph, I have given a number of public seminars in all states of Australia, major cities of New Zealand and in Washington, DC. Details of these seminars and conferences have been provided (see Section 4.3.1); and, as discussed earlier in the case of Western Australia Police and Victoria Police, they have resulted in various insights from the intelligence framework being incorporated into both agencies' practice.

Another indicator of my potential to contribute to knowledge in an independent way has been the ability to feed various aspects of the study's findings into my postgraduate teaching, particularly the key subject I teach:

JST493 National Security and Intelligence Issues (CSU, 2012). This inclusion has broadened my students' perspectives on a number of issues, including but not limited to: intelligence reform, emerging intelligence practice, intelligence management issues, intelligence sharing and information security. Most of my students are practitioners, and so their exposure to new perspectives from the monograph also contributes to promoting a greater evidence-based approach to their practice. (Indeed, the exposure *per se* to the monograph demonstrates to them the importance of engaging with relevant research to inform their practice.) The ability of the researcher to feed their research back into their teaching is another sign of contributing to knowledge as an independent researcher.

Finally, the release of the monograph has sparked some interest by the Australian media and the Australian Government's Joint Standing Committee on Law Enforcement in Australia—both of which are also indications of research impact in the wider community. Since publication, I have given radio and television interviews on issues related to the monograph.²⁷ These media invitations are another indication of my ability to make an independent contribution.

In July 2012, I was invited to make a submission to the Australian Parliament's Joint Standing Committee's Inquiry into the Use and Sharing of Criminal Intelligence (PJCLE, 2012; Walsh, 2012a). I was subsequently invited to appear before the Committee Members in November 2012 (Walsh, 2012b).

²⁷ ABC TV, *Capital Hill*, television interview, 20 July 2012; ABC Regional Radio, radio interviews on ten-year commemoration of the 9/11 attacks, September 2011.

In both the written submission and testimony given to senators and members of parliament, I drew heavily on the research in the monograph.

4.6 Conclusion

This concludes Section 4. In Sections 5 and 6, I will discuss the study's research design and research methods (thereby addressing the fifth examination criterion—'the adequacy of the research methodology').

Section Five: Research Design

5.1 Introduction

In Section 5, I describe the research design used in the monograph to address the research questions and the rationale for their selection. In the following section (Section 6), I will describe and justify the methods and tools used to collect and analyse the data in the monograph. Before discussing the study's *research design* it is important to define first how I distinguish this term from *research methods*, since both are, as pointed out by David and Sutton (2004, p. 134), intrinsically linked yet distinct from each other. O'Leary (2010) defines *research design* as 'the plan for conducting the research project that includes: *methodology*, *methods*, and *tools*' (p. 89).

The *methodology* is the overarching framework that 'provide[s] the strategies and grounding for the conduct of the study' (O'Leary, 2010, p. 88). The methodology selected is dependent on the types of questions the researcher seeks to answer. Once a methodology has been decided for a research project, the researcher adopts various techniques or *methods* that can be used to collect and analyse data relevant to answering the research questions (*ibid.*, p. 89). Methods of data collection include interviewing, surveying or observation, while methods of analysis may include 'quantitative strategies (i.e. statistics) and qualitative strategies (i.e. thematic exploration)' (*ibid.*). Finally, the *tools* used in a research design are 'the devices used in the collection of research

data, for example, questionnaires, observation checklists and interview schedules' (*ibid.*).

For the remainder of Section 5, I will explain the research design, describing only briefly the methods and tools used, since these will be the focus of Section 6.

5.2 Research Design

5.2.1 Flexible, qualitative research methodology

Research questions. The broader context is to *explore* and *understand* (deeply and thematically) the three research questions, namely what is intelligence, what makes intelligence practice effective and is there a discipline of intelligence? As discussed in Section 1, the rationale for exploring these questions was to understand how intelligence practice has changed since 9/11. What now is different about the context in which intelligence is practised, do scholars and practitioners need to reconceptualise what is meant by 'intelligence', how do we know if it is effective, and are we seeing a professionalisation of intelligence? The three research questions provided a concise way of drawing these various questions together so that answers could provide a coherent understanding of the relevant issues.

A burgeoning academic discourse developed five years after 9/11 relating to some topics relevant to the research questions. For example, concepts such as intelligence failure and reform quickly became popular research topics for scholars to explore shortly after 9/11 (for example, Hulnick, 2008; Rovner & Long, 2005; Zegart, 2007). Though such studies provide

insights relevant to each of the three research questions, they are mostly general or descriptive, and lack a deep exploration of a number of matters likely to contribute to intelligence failure, reform and effectiveness. These matters include aspects of *intelligence processes and structures* and the configuration of intelligence frameworks, training, ethics, leadership and management factors. It became obvious at the start of this project that the three broad research questions could only be answered by consideration of a number of the matters that had not previously been attended to in the literature. This broader approach would in turn generate additional theoretical perspectives for future research.

Research approaches. While some intelligence-related topics have been explored using quantitative approaches—for example, the cognitive influences on intelligence analysts and evaluating ‘hot spot’ analysis on crime reduction (Ratcliffe, 2008; Wastell *et al.*, 2009)—the vast majority of areas explored in the study, and indeed in the intelligence field, are under-researched and/or poorly understood. This is one reason why they cannot readily be addressed using quantitative research designs—that is, there are still too few coherent variables to measure or that can be controlled in any experimental sense. An additional reason that militates against quantitative designs, as Marrin (2012a) points out, is that ‘intelligence studies are not very theoretical compared to the more established disciplines of political science or international relations’ (p. 398).

Therefore, given the broad nature of the three research questions, and the kind of in-depth data required to address them, a flexible, qualitative study

using interviews, document analysis and case studies was the best methodological fit for the study. By ‘flexible’ I mean a qualitative research design that included detailed methods and a ‘rigorous approach to data collection, data analysis and report writing’, yet was not fixed from the start like most quantitative studies (Robson, 2002, p. 166). I wanted a research design that could evolve if necessary once the data were collected.

Additionally, the large and broad number of themes that needed to be explored in order to answer the research questions showed that a flexible, qualitative research methodology—one that would allow theory to be generated from the methods and tools—was appropriate. This last point was particularly important in selecting the methodology for the study. As a researcher, I wanted a systematic approach to understanding what is going on in different intelligence contexts—not just from secondary sources, but also from participants working in these contexts. Explicit in this approach, therefore, is that the intelligence managers/practitioners interviewed for this study may have different views on a range of issues being explored than myself or perspectives sourced from secondary data. Therefore, a methodology was needed that could accommodate the possibility of diverse perspectives from research participants; in particular, a methodology that would not approach the research questions with a predetermined theoretical framework or theoretical context. The broad nature of the three research questions also flagged that it could not be known at the start of the project which data sets would answer specific questions. The objective was to select a methodology that would allow the relevant data to be collected and then use the subsequent data analysis to guide how data could be

used to answer each question. Different data collection and analysis methods used in the study could then also help develop theoretical perspectives on a range of issues relevant to addressing each research question.

This methodological approach fits with the definition of grounded theory, which Lamp and Martin (2007) define as follows:

The original aim of grounded theory method was to develop a research methodology which would systematically derive theories of human behaviour from empirical data. Grounded theory method seeks to discover what is going on. Typically it is applied to texts obtained by interview, observation or other data collection methods. Explicit in the use of grounded theory method is data collection from participants who may have different views of the phenomena being studied, and which must be accommodated in the development of theory. (p. 2)

Given that I did not consciously pre-select grounded theory as the methodology for the study, I will not discuss it further here. I simply note that it is clear from Lamp and Martin's quote, and with hindsight, that a grounded theory approach evolved later out of the flexible, qualitative methodology selected for the study.

Boundaries of the research. Notwithstanding the need for a flexible, qualitative methodology for this study, its boundaries also needed to be articulated. The three research questions are deliberately broad, but in order to ensure depth was not sacrificed in the interests of breadth in relation to data collection and analysis, three key boundaries circumscribed the research and the monograph. The first was that interview participants would be limited to leaders and managers rather than others such as analysts working in intelligence agencies. Some data were collected from leaders and managers who also

worked as analysts, but in all of these cases the participants' primary role related to their oversight or managerial responsibilities.

The second boundary was to address the three research questions using data collected from the 'Five Eyes' intelligence communities only. As a former intelligence officer and now academic I have developed good relations with individuals working across the intelligence agencies of most 'Five Eyes' countries. These links provided early and logistically easier access to potential research participants than trying to build from scratch similar contacts in other regions such as Asia or Europe. The similar liberal democratic systems of government and close historical relationships among member countries of the 'Five Eyes' intelligence community were also attractive from a methodological perspective. They allowed an exploration of similarities, yet also provided scope to explore different approaches to intelligence practice—useful in answering the research questions.

Third, the study's scope was limited to national security, policing and some emerging areas of intelligence practice; specifically excluded were the military and private sector intelligence contexts. This was because the scope of the project was already ambitious, and it was not practical or doable in the time frames available to expand the use of the data collection and analysis tools into these other areas.

5.2.2 Methods and tools. The flexible, qualitative research design used three data collection techniques to answer the study's research questions: *semi-structured interviews*, *document analysis* and *case studies*. These methods used qualitative strategies such as thematic analysis to analyse the collected data.

Using O’Leary’s (2010) definition of research tools as ‘the devices used in the collection of research data’ (p. 89), I used both interview schedules and the textual and thematic analysis of secondary data sources. Data analysis was an ongoing and iterative process throughout the research project. Section 6 will explain in greater detail the rationale for the selection of the three methods of data collection and how research tools were used to analyse data.

5.3 Credibility and Integrity of the Research Design

Another important aspect in selecting the flexible, qualitative methodology was to ensure that that this research design promoted research that had both credibility and integrity. O’Leary (2010, p. 43) provides a list of nine indicators that are useful in checking that post-positivist methodologies (such as the ones used in the monograph) result in research that has credibility and integrity.²⁸ These are *neutrality, subjectivity with transparency, authenticity, dependability, transferability, auditability, legality, morality* and *ethicality (ibid.)*.

Neutrality and *subjectivity with transparency* refer to the extent to which ‘subjectivities have been acknowledged and managed’ (*ibid.*). Given the exploratory, qualitative research design adopted in the study, I made a conscious effort to select both semi-structured and unstructured data collection

²⁸ Adherents of post-positivist methodologies reject the positivist approaches to social science research, which try to emulate the core principles of the approaches seen in the physical sciences. Positivists argue that the complexity of the social world can be reduced down to hypotheses that are testable using experimental methods to reveal one single truth or generalisation. Post-positivists argue that there is no single knowledge or truth that can be revealed from the social world. Post-positivists use methodologies that recognise that the social world is complex and while knowledge is obtainable, this knowledge can only be obtained by gaining a deeper understanding of the social phenomena rather than attempting to measure one or two variables in an experimental sense. See Robson (2002, pp. 16–44) for a more detailed discussion of the differences between positivism and post-positivism.

and analytical methods. These methods used in combination with an open and honest interviewing manner reduced interviewer subjectivity. In terms of transparency, I made the objectives of the study clear to interview participants and clarified how their insights would be used (both as part of the informed consent process). I also mentioned to interview participants that my only agenda was to explore themes that would assist in answering the three questions. In other words, I was not coming to the interviews with a predetermined view on the semi-structured questions being asked or, indeed, on interviewees' own practice. These actions also facilitated greater transparency and neutrality in the way the research design was applied in the monograph.

Authenticity, according to O'Leary, relates to the extent to which the 'true essence has been captured' (*ibid.*). Authenticity was addressed in the monograph by checking, where necessary, that different data sources were being captured in an accurate way in order to avoid any misinterpretation of textual data. For example, the research design's use of both semi-structured interviews and document analysis methods helped authenticate the conclusions and insights reached from each of these sources. During and after interview sessions I also discussed and clarified with interview participants any potential areas of misunderstanding arising from interview transcripts.

Dependability as defined by O'Leary refers to the extent to which 'methods are approached with consistency' (*ibid.*). The exploratory nature of the three research questions and the methods used to answer them make it unlikely that another researcher would necessarily arrive at the same results. Access to the same interview participants, time allocated for interviews, the

availability and levels of expertise of participants are all factors which may impact on the consistency of results should another researcher attempt to collect the same data. Nevertheless, the methods selected were applied consistently and systematically throughout the monograph and thus addressed the research questions in a dependable manner.

Transferability according to O’Leary relates to ‘whether findings and/or conclusions from a sample, setting, or group lead to lessons learned that may be germane to a larger population, a different setting, or to another group’ (*ibid.*). The selection of the three methods discussed above, together with the comparative and holistic nature of the study, have provided conclusions—particularly in discussions of the five intelligence frameworks—transferable to policing and national security agencies not studied and to other emerging intelligence practice contexts. However, given the range of difference across intelligence contexts, it is difficult to draw a definitive conclusion as to that transferability.

Auditability is defined by O’Leary as the extent to which the ‘research can be verified’ (*ibid.*). When developing the research design for the monograph I was aware of the critical importance of clearly articulating why methods were selected and how they were applied to data collection, analysis and generating findings so that other researchers could attempt to replicate and reproduce my findings. The discussion on methods in Section 6 provides a detailed and clear description of how findings were generated to allow for audit by others.

The last three of O’Leary’s research credibility factors are *legality*, *morality* and *ethicality* (*ibid.*). I will discuss all three together as they all go to answering the question of whether ‘research participants were treated with integrity’ (*ibid.*). From the early development of the research design I was mindful of the need to ensure that the research process did not breach any laws in Australia or in the other ‘Five Eyes’ intelligence countries. This is a real consideration in any intelligence research where specific national security laws exist to control the dissemination of classified and sensitive information. To address this issue I employed methods that allowed me to focus on extracting non-classified and non-operational information from participants. Throughout the project I had no evidence to suggest that any participant provided information that, lawfully, they should not have disclosed.

Moreover, the formal human research ethics application process at Charles Sturt University also helped me scope out the moral and ethical obligations in applying the specific data collection methods. These obligations involved ensuring that participants were treated with respect and that I remained open and honest about the aims and objectives of the research. More specifically, key areas for attention were: informed consent, avoiding harm to participants, and ensuring confidentiality and anonymity (O’Leary, 2010, p. 41). Informed consent was obtained by research participants reading the information sheet (see Appendix B) and then signing the informed consent sheet (Appendix C). Research participants’ identities were protected by referring to them generically as ‘an intelligence manager’ or ‘an analyst’, unless a respondent gave me permission to quote them by name. Any insights gathered

from participants were kept confidential and physically located securely in my password-protected electronic files. Harm to participants was also avoided by synthesising individual answers with a range of other answers in the monograph prior to publication.

5.4 Limitations

In this last section, I reflect on the anticipated limitations arising from the application of the research design and describe how these were managed. All research designs once selected by a researcher result in some anticipated limitations to their study. Common limitations to all research are access to data, time constraints and funding issues. These issues not only can result in limitations on the research but also influence its overall credibility and integrity. In order to mitigate the limitations from selecting a flexible, qualitative research design, I employed strategies to manage issues impacting on research credibility and integrity in the monograph (see Section 5.3). Nevertheless, I recognise that regardless of what strategies were employed to uphold the credibility and integrity of the research, this study does have its limitations.

In addition to time and funding constraints, these limitations have to do with the willingness of participants to be forthcoming on all issues, access to potential participants, and the generalisability of data collected and analysed. I will discuss these only briefly here as there are dealt with more extensively in the context of how the research methods, data collection and analysis were used in the monograph (see Section 6).

On the issue of participants' willingness to be forthcoming on all issues, I believe that the persons interviewed were generally happy to answer most questions. The kinds of questions being asked were, as discussed in Section 6, not about sensitive or operational matters. Nonetheless, as a former intelligence officer I recognise that there is often a narrow line between what is acceptable for discussion and what is 'off-limits', and sometimes this line is not clear. On reflection, there was information that I would like to have obtained from participants that sat on this blurred line. It is also possible that access to insights from participants of a classified nature may have provided even richer insights in some areas, though without access to this information it is difficult to know this with certainty.

It is precisely the fact of these areas of more sensitive information, where participants were not able to be forthcoming, that would have placed some limitations on the richness of the data collected. I do not believe, however, that this was a significant limitation on the application of the research design used in the monograph; nor can I envisage any alternative design that could have overcome this limitation. Strategies including obtaining informed consent from the participants, building trust, and approaching more than one participant from the agency concerned assisted in reducing the impact of this limitation.

The remaining two sources of limitations arising from the research design—access and generalisability—are related to each other and so I will discuss them together. These issues will be discussed in greater detail in Section 6, as they also impact on the reliability and validity of methods selected in the

study. However, in the broader context of the research design selected for the study, it was important to ensure that a depth and breadth of data was collected to answer the three research questions. The amount and quality of this data was also relevant to being able to generalise from analysed results and assist in theory building.

While I argue that the research design allowed the ‘data collection net’ to be cast wide and deep, I was not able to access *all* agencies in *all* intelligence communities across the ‘Five Eyes’ countries. Time and funding constraints precluded this. Despite this, good access in the agencies selected, the spread of interviews, and the development of case studies across the range of issues did ensure transferability of many results and generalisability of select ones such as intelligence frameworks.

5.5 Conclusion

This concludes Section 5. In Section 6, I will discuss the research methods and tools used to collect and analyse data in the study. This section will also include justifications for each method used in the study and any impacts these may have had on the overall reliability and validity of results.

Section Six: Research Methods, Data Collection and Analysis

6.1 Introduction to Research Methods Used in the Study

This section will discuss the three methods used in the study, including the justification for each, how they were used to collect and analyse data, and their impact on the overall reliability and validity of results. The section will also discuss the ethics process in the context of the semi-structured interview phase.

The selection of the three methods (semi-structured interviews, document analysis and case studies) allowed for a deeper understanding and exploration of issues relevant to answering the three research questions. The three methods also provided a more meaningful/multifaceted and extended understanding of various aspects of intelligence themes, practices and policies than could have been investigated by using only one. For example, the ability to address research questions 2 and 3 (*what makes intelligence practice effective and is there a discipline of intelligence*) would have been limited if not for the collection of rich data and insights from *both* practitioners and the scholarly literature.

The selection of the three methods, however, should not be confused with a mixed methods approach to data collection or analysis. A mixed methods approach is one that ‘employs qualitative and quantitative approaches in a single study’ (O’Leary, 2010, p. 127). This study uses exclusively three qualitative methods for data collection and analysis. As discussed below, the

choice of the three methods, together, helped triangulate data sources better than using only one method.²⁹

6.2 Ethics

Before describing how and why the three methods were used in the study, I will describe briefly the ethics process that underpinned the data collection phase. In Section 5.3, I described how the entire study was based on ethical, legal and moral principles that contributed to results that had both credibility and integrity. Discussion here is therefore limited to a brief description of the ethics approval process prior to commencing data collection, particularly the semi-structured interview phase of the research. Prior to that phase (described below), an ethics application for this research was submitted to Charles Sturt University's Human Research Ethics Committee and subsequently approved by the Committee (protocol number 2009/088) in June 2009 (see Appendix A). As part of the ethics review process, information sheets and consent forms were also produced (see Appendices B and C), which explained the research to potential participants and allowed them to provide their consent for being involved in the project.

²⁹ In this exegesis, I use O'Leary's (2010) definition of triangulation, which is: 'using more than one source of data to confirm authenticity of each source' (p. 115).

6.3 Justification of Methods

6.3.1 Semi-structured interviews. Selecting interviews as one of the three methods was a good fit for a study that was interested in participants' perceptions of a range of issues discussed in the monograph, such as the 'effectiveness' of intelligence organisations, systems and processes. Given the potential sensitivities around issues such as intelligence effectiveness, interviews afford participants privacy to speak with candour without the fear that their comments (particularly any negative ones) will be vetted by their corporate hierarchy. Interviews allow individuals, in many cases, to be more frank with their responses than they may have been in focus groups, or with an outsider observing their activities over a day or more.

Semi-structured interviews, in particular, were selected as they fitted the broad exploratory nature of the three research questions. In the context of an intelligence agency, using semi-structured interviews also helped build rapport between the researcher and participant when discussing potentially sensitive issues related to intelligence practice, thus increasing the potential for honest and in-depth answers. Data from the semi-structured interviews were used throughout the monograph, but were particularly useful in the following areas: intelligence frameworks, management issues and intelligence capacity building.

6.3.2 Document analysis. The second method used in the monograph is defined here as the systematic analysis of a wide variety of secondary data. It was the most appropriate method for surveying the historical developments in national security and policing intelligence in Chapter 1 and the interdisciplinary discussion of intelligence analysis in Chapter 8 (Walsh, 2011a, pp.

235–253). Although I could have asked interview participants questions on the historical development of intelligence system and processes, the limited time frames of interviews was best used in obtaining understandings of current or planned developments in their agencies. Robson (2002, p. 358, Box 12.4) points out the advantages and disadvantages of document analysis, including content analysis—which is a more structured and quantitative analysis of what is in a document.

One key advantage listed by Robson is that ‘documents are unobtrusive and can be used without imposing on participants; they can be checked and re-checked for reliability’ (*ibid.*). Document analysis is very commonly used in history and sociology to cross-check sources from interviews (Robson, 2002, p. 350). Document analysis was particularly important in triangulating primary data sources in various areas such as bio-security, corrections, ethics, legislation and intelligence frameworks. Document analysis allowed a cross-check of data on these areas that arose from the interviews.

6.3.3 Case studies. There are differing opinions among researchers about what constitutes a case study (Ragin & Becker, cited in Babbie, 2007, p. 298). Robson (2002, p. 181) and Hakim (cited in Shaw, 1999, p. 135) list several types of case study used for various purposes, including those which focus on an individual, community, events, and studies of organisations and institutions—the latter two being the types of case studies used in the monograph.

While the semi-structured interviews and document analysis provided a broad and diverse array of insights relating to the three research questions, I

also wanted to explore some of these more richly and deeply. For example, there are a number of topics explored in the monograph which go to answering research question two (what makes intelligence practice effective?). The question was answered in part by exploring factors that make effective intelligence frameworks) (Walsh, 2011a, pp. 131–151) and others that examined how to make intelligence capacity building more effective (*ibid.*, pp. 69–88).

The use of a case studies approach in addition to the other two methods allowed me to extrapolate in these topic areas *beyond insights from one individual interview or historical document* to understand intelligence reform issues from the broader organisational and cross-organisational level. The access to key individuals currently working in these case areas, particularly the architects driving the development of new intelligence frameworks discussed in Chapter 5 of the monograph, helped me construct broader generalisations and theory building.

The use of current case studies from intelligence agencies was preferable to the use of participant observation or ethnographic approaches. Both the latter methods require collection and analysis of data from organisations or cultures by a researcher able to be immersed in their settings for extended periods of time. This was not possible due to my time and the security constraints that govern the interactions of intelligence agencies with external researchers.

In this study, the role of the case studies method is exploratory and descriptive, not explanatory. The logic in a qualitative case study approach,

such as the one used in the monograph, is to seek analytical generalisations not from sample size, but more on the replication of results. As Yin (1994) argues, the important point in building analytical generalisations from qualitative case studies is that ‘each case must be selected so that it either (a) predicts similar results (a literal replication) or (b) produces contrasting results but for predictable reasons (a theoretical replication)’ (p. 46).

6.4 Data Collection

6.4.1 Semi-structured interviews. In total, 61 interviews were conducted progressively across Australia, Canada, New Zealand, the UK and the US from 2009 to 2010. Of these, 45 were face-to-face and 16 were via email or telephone. Participants were asked questions relating to a number of different themes that were relevant to addressing all three research questions; themes included intelligence reform, ethics, training, doctrine, and management issues. (See Appendix D for a list of interview questions.)

There were three broad criteria for selecting potential interview participants. First, they needed to be senior managers or executives working in either policing or national security agencies in Australia, Canada, New Zealand, the UK or the US. Second, I was also looking for a mixture of participants from national and local settings. Third, decisions on interviewee selection were also made based on the potential participant’s accessibility, and the limited time frames I had available to conduct interviews. The bulk of the interviews took place in a six-month period while I was on sabbatical in mid-2009. It took a similar time frame before 2009 to access potential participants from across the

‘Five Eyes’ countries—particularly those occupying senior or executive positions in US and Canadian agencies. Most of the North American interviews also needed to be completed during a three-week trip to North America.

The majority (40) of the face-to-face interviews were completed in the participant’s workplace, with some requiring follow-up questions via email. The remaining five face-to-face interviews were conducted in public meeting places. In most cases, a participant’s name was not used in the monograph unless they agreed in writing prior to publication; however, most did not want their observations attributed back to them by name and/or agency. Therefore, attributions of data sources were linked back to an individual and their agency by using general descriptions. For example, instead of revealing the person’s name, I described them as, for instance, a senior intelligence analyst at the Metropolitan Police (UK) or an executive intelligence leader at a US federal government agency. Additionally, interviews were not recorded as most participants expressed concern about this given their current employment in an intelligence agency or as a public official. However, notes were taken by the researcher and transcribed after each interview. Given the sensitive interview context, this less intrusive approach also helped build trust between the researcher and the participants.

Building trust and rapport needed to be a fundamental part of the overall interview plan in order to gain access to the relevant insights of currently serving intelligence practitioners. Therefore, I was compelled to accept the conditions upon which participants would agree to be interviewed. As a former intelligence officer, I am also aware of the sensitivities and constraints that exist

in currently serving officers speaking publicly about work-related issues. There are also legislative requirements that constrict the kind of information intelligence officers can release publicly. Arguably such restrictions are likely to have impacted to some extent on the overall reliability/validity of the data, and this is discussed below.

6.4.2 Document analysis. A *plan* for the collection of data from relevant documents was drafted, but additional material on a range of topics was accessed right up to when the chapters were being drafted (see Appendix E). This plan took into account the fact that some important seminal government reports may be relevant to more than one of the three research questions. Other important aspects of the plan were to ensure a good spread of documents across the ‘Five Eyes’ countries, and to assess the credibility of all sources. Strategies to assess credibility included ensuring a full saturation of data sources in topic areas, checking for authenticity of data for inherent bias, and the triangulation of data to confirm the authenticity of each source.

Documents were collected mostly from libraries, journals, official agency websites and newspapers. Most were also freely available to the public, though a smaller number were official (but not classified) documents provided to the researcher with permission by some agencies visited during the semi-structured interview process described above. Documents were organised according to chapters and also thematically, and stored in electronic folders located on my computer.

6.4.3 Data collection. The selection of specific case studies on the themes of leadership/management, corrections, bio-security and intelligence capacity development was decided originally using the ‘book outline’ submitted to the publishers. At that stage, the objective was to have case studies in every chapter. The function of these was to reflect and evaluate (using academic *and* practitioner sources) both what is good intelligence practice and what factors are most important in addressing the three research questions.

The strategy used for collecting data for the case studies was therefore driven by the three research questions and the thematic structure of the monograph; but it was also to some extent an iterative, exploratory and opportunistic process. Some of the 11 case studies were deliberate choices, and others were opportunistic as data were collected from the interviews and document analysis. For example, in comparing the five intelligence frameworks it was a deliberate choice to select either security and policing agencies or multi-agency arrangements across the ‘Five Eyes’ intelligence communities that had influence across local, regional and national levels. In contrast, the selection of other cases studies, such as the FBI strategic management system, was opportunistic, arising out of the analysis of data collected from various semi-structured interviews (Walsh, 2011a, pp. 181–186).

The final amount and content of data used in the case studies was a product of logistics (accessibility, timings and funding) and the opportunistic identification of additional participants during the data collection phase with relevant insights for developing case studies. As discussed previously, I knew some individuals working in intelligence agencies in Australia and other ‘Five

Eyes' intelligence countries (some of whom were participants in the study) and these contacts were used to secure access to other participants who were potentially useful in developing the case studies.

6.5 Data Analysis

6.5.1 Analysis of interview data. After completion of the interviews, I began a first-level analysis of interview transcripts using chapter titles initially to organise data. This simple approach allowed for a further organising, cataloguing, selection, comparison and determination of themes that were likely to be useful in one or more chapters of the monograph. The relevance of several themes identified from the interviews to answering the research questions was then evaluated by comparing them to data extracted from the other two methods (document analysis and case studies).

6.5.2 Analysis of document data. Similar to data collected from the interviews all secondary data from document analysis were synthesised initially under relevant chapters. Using the original chapter structure detailed in the 'book outline', I was able to identify appropriate themes from documents most useful to answering the three research questions. As the number of documents assessed grew, and the analysis of other data sources (semi-structured interviews and case studies) progressed, I was able to further code information from documents to get a more accurate analysis of themes that would be relevant to addressing the research questions.

As with the interview transcripts, the coding of themes was completed manually. Having a well-developed structure to the monograph and a small

number of interviews made it unnecessary to resort to a qualitative analytical software package such as NVIVO to identify and analyse themes arising from the data. A manual manipulation of qualitative data using Word instead of a specialist program such as NVIVO provided more flexibility in the coding and re-coding of themes. As Robson (2002, p. 462) points out, one of the downsides of using programs such as NVIVO is that it can be difficult to change analytical themes once they have been established. For a list of themes used in answering the three research questions, see Appendix F.

6.5.3 Analysis of case study data. The process followed for analysing data used for developing the case studies was similar to that described for the other two methods. Data for case studies were first organised thematically under chapter outlines in the monograph. This initial clustering of themes was refined further as I explored specific issues potentially relevant to the case studies. Later, data from the interviews and document analysis helped further to develop the case studies and also to assess their relevance to answering the research questions. At this stage, it was possible to code ‘like themes’ and issues as units of analysis that were relevant within and across case studies. This analytical approach assisted in providing a conceptual and theoretical coherence to the developing case studies. For example, all five intelligence frameworks case studies were evaluated using the same coding criteria for data collection and analysis (see Chapters 4 and 5). These were: *tasking and coordination, collection, analysis and intelligence production, and strengths and weaknesses*. These criteria became the ‘units of analysis’ used in the case studies.

6.6 Impacts on Reliability and Validity

In the remaining sections, I discuss the extent to which the methods adopted impacted on the overall validity and reliability of the results in the monograph. I will restrict the discussion to issues that arose using the interview and case study methods as I did not see any arising from applying the document analysis. I conclude, however, that in each case there was no appreciable impact on either the overall *reliability* or *validity* of the results in the monograph. Before discussing these issues, it is important to define how I will use the terms *reliability* or *validity* in the discussion.

6.6.1 Defining *reliability* and *validity*. These terms remain difficult to define in qualitative studies such as the one applied in the monograph. Despite these difficulties, and as discussed above in Section 5, O’Leary (2010) suggests that *all research projects*, regardless of whether they are positivist or post-positivist informed methodologies, should share common characteristics of credibility and integrity. These characteristics have been discussed above, but include things like managing subjectivities and assessing whether the methodology has been approached with consistency. The question is not so much whether positivist/quantitative or post-positivist/qualitative research methods are more credible than the other; the issue is how one defines characteristics of credibility when using each of these methods. O’Leary (*ibid.*, p. 114) suggests that debates over the credibility of qualitative studies can arise when such studies are assessed inappropriately using positive/quantitative criteria—including terminology such as ‘reliability’ and ‘validity’.

Other scholars argue that these terms have been applied too rigidly by researchers, who use quantitative fixed designs with narrow conceptions of reliability and validity that are not appropriate to the ‘conditions and circumstances required in flexible, qualitative enquiries’ (Robson, 2002, p. 170). Punch’s (2006) definitions are an example of the rigid interpretation seen in quantitative studies when using these two terms. Punch (*ibid.*, p. 155) refers to *reliability* as the consistency of measurement or the ability to gather similar results if the same data set was retested by another researcher. He defines *validity* as the extent to which what is studied can be ‘measured’, and the truth and accuracy of any findings or conclusions that can be drawn from the data (*ibid.*). Punch’s definition of reliability is workable in the context of the qualitative research methods used in the monograph; however, his definition of validity is less appropriate for use in this study. In a qualitative research context, ‘truth’ and ‘accuracy’ are difficult things to be sure of (Robson, 2002, p. 170).

I disagree with O’Leary’s perspective above, which implies that certain criteria such as ‘reliability’ and ‘validity’ can only strictly apply to positivist/quantitative methodologies rather than also to the post-positivist/qualitative context. I argue that there are other additional characteristics that assist in evaluating the validity of qualitative studies. For example, Holliday (2002, p. 8) lists three criteria (*choice of social setting, choice of research activities* and *choice of themes and focuses*) that can be deployed as sources of validity in qualitative research. Holliday breaks his first

criterion (*choice of social setting*) down further into both ‘the feasibility and how substantial the study was’ (*ibid.*).

In the discussions below on the reliability and validity of the methods used, I define reliability using Punch’s definition and adopt Holliday’s criteria for assessing validity in the monograph.

6.6.2 Reliability

Semi-structured interviews. The selection of *semi-structured interviews* for collecting and analysing data did highlight some unanticipated issues that could impact on the reliability of results. As noted above in Section 5.4, there were also some anticipated issues that can impact on reliability of interview results. These include the participant’s willingness to be forthcoming, the influence of time and funding constraints, and the extent to which I was able to generalise from interview data. Given these points have already been made, in this section discussion is focused on the kinds of issues that became more apparent *during and after* the interview data collection and analysis stage and how these impacted on the reliability of the research.

These issues included the impact of interview rapport, job mobility, interview bias and the level of expertise of interview participants. The ability of the researcher to generate a good, personal rapport with participants—one that facilitates trust and openness between both—is essential. However, I acknowledge that collecting qualitative data via interviews is both a personal and a dynamic process. Another researcher may strike a different rapport with participants and gain more or less information than I did. In Section 5.4, I explained the importance of the informed consent process in creating trust and

transparency during interviews. In addition to this, I also advised participants of my previous experience as an intelligence officer and explained that the focus of my questions was not on gaining operationally sensitive information from them. I believe that being candid about my professional background and the nature of the information required ensured the participants were more trusting and forthcoming than they may have been.

Job mobility—for example, in and across intelligence agencies and communities—is an additional factor influencing the ability of another researcher to gather the exact results I obtained from interviews conducted in 2009–2010. During publication of the monograph, I became aware that some of the executives and managers interviewed for this research had retired or moved to different positions in their agency. Job mobility, therefore, would impact on another researcher’s attempt to replicate entirely my interview results. While it is difficult to control or resolve such factors completely in social research, most interview participants remain in their current positions—therefore, I do not think job mobility impacted greatly on the reliability of the results.

The third issue is interview bias—both in how participants are selected and the sorts of biases participants communicate during interviews. In Section 5, I discussed the strategies I adopted to minimise interview bias—including using multiple interviews from the one agency and triangulating data with secondary data sources to look for the effects of bias on individual interview transcripts. Organisational biases, however, were one type of bias that did show up during and after interview data collection. For example, in the US, it was clear during interviews of local and state police that some were frustrated with

and unenthusiastic about the FBI's intelligence collection efforts since 9/11. I evaluated carefully the various transcript comments on this matter to assess whether they were throw-away lines based on inter-agency rivalries or had some accuracy to them.

A broader sample size (61) interviews did assist in making such biases explicit. Interviewing more than one participant from the one agency also allowed me to cross-check whether statements represented traditional agency rivalries and distrusts, or were based in fact. Nonetheless, despite being able to detect some organisational biases from interviews, it is not possible for the researcher to be aware of all of them. On balance, though, the deliberate large sample size for interviews and triangulating this data with other interview and secondary sources did reduce the effect that organisational bias played in the overall interview results.

The fourth impact on reliability arising from interviewee selection was participants' *level of expertise*. During the data collection phase, it became clear that some interview participants were more knowledgeable about various aspects of intelligence reform within their agency or across an intelligence community than others. Where I concluded there were knowledge gaps on issues, topics or themes, as much as possible I used other sources in the same agency either to fill them or to evaluate their significance. This was not always possible, though secondary sources from documents helped to fill some gaps as well.

However, upon further reflection after the monograph was published, further strategies could have been employed to address all four issues

discussed. For example, additional interviews from lower-level managers in the agencies targeted or other agencies not included may have addressed some of these issues. However, time constraints for data collection may have precluded the adoption of such strategies. The amount of time granted by a senior leader or manager for an interview is not something a researcher can easily influence.

Case studies. The 11 case studies developed in the monograph were constructed from data collected from the interviews and document analysis. Both methods produced reliable results. It seems logical, therefore, that case studies as constructed in the monograph are also reliable and that another researcher should be able to arrive at a similar assessment on the case studies. The only point I would make on the reliability of case studies is that they are dynamic examples of intelligence reform across the ‘Five Eyes’ intelligence communities, particularly the intelligence frameworks. Time moves on and other bureaucratic initiatives may have taken these case studies in different directions since the publication of the monograph. It becomes difficult for another researcher to ‘measure’ the same social context or case if policy initiatives change after publication.

6.6.3 Validity

Semi-structured interviews. Using Holliday’s (2002, p. 8) first two criteria for valid qualitative research (*choice of social setting* and *choice of research activities*), I identified some issues during the interviews that may have had some impact on the validity of results. None of these issues, however, was so significant as to impact greatly on the validity of data or analysis using this method.

For example, I was mindful that the general and open-ended nature of the interview questions, which focused on the themes in the monograph (for example, intelligence frameworks, emerging practice issues, education and training), and not on specific operational matters, may have impacted on the validity of some results. I felt during some interviews that it was a balancing act between getting a broad understanding of a reform process and not crossing the line of operational sensitivities. In some circumstances, gaining further insights into how reforms impact generally on operational activities may have resulted in a greater understanding of various issues and themes. Given constraints on some participants in providing additional contextual commentary to their answers, the validity of a few participants' statements required further testing. In some cases this was possible through additional interviews or by examining secondary sources; in others, however, further research is required to validate more fully the data from these interviews.

Despite not being able to question participants on operational matters, I argue that the impact of this on the validity of the overall results was not large. The underlying focus of the monograph was to answer the three broad exploratory research questions—not to test specific, narrow hypotheses drawn from themes or hypotheses based on single operational cases. In other words, research questions were to be addressed by providing a holistic broad-brushstroke understanding of how intelligence reform has been applied since 9/11 and the extent to which such reforms constitute good practice.

The selection of interviews as the principal source of primary data for the monograph remained the most valid choice for extracting relevant insights

for answering the research questions. Using Holliday's *choice of social setting* perspective, interviews were the most feasible, efficient and effective way to collect data on a range of diverse themes relevant to answering the research questions (*ibid.*). The 'culture of secrecy' within intelligence agencies and the need to build trust as an 'outsider' within these agencies makes other data collection methods such as surveys or participant observation difficult if not possible without the relevant security clearance.

From Holliday's *choice of research activities* perspective the selection of interviews produced valid results (*ibid.*). Divulging my background in intelligence prior to interviews and conducting them exclusively as one-on-one sessions allowed trust to build between researcher and participant. For interview participants this allowed them to speak more candidly than they otherwise may have in focus groups or in writing comments on a survey.

In addition to interviews being the most feasible way to collect the data required, this method also resulted in a substantial amount of data being collected—making for a richer study. The 61 interviews conducted for this study across various agencies in Australia, Canada, New Zealand, the US and the UK provided good access and enabled me to draw broader conclusions on a range of intelligence reform issues to assist with theory building. This approach also provided sufficient depth to assess variations within and across countries.

Case studies. The only issue impacting on results from using the case study method relates to sample size. The limited *number* of case studies across the study (11) means that the evidence collected of course does not in any quantitative or explanatory sense demonstrate a sufficient representativeness of

all insights discussed in the monograph. While it is important to flag the overall limited sample size, I do not see this issue as a significant limitation of the qualitative case study method chosen for the study. As Yin (1994) argues, we need to be careful not to confuse ‘the distinction between analytical generalisation and statistical generalisation as the method of generalising the results of the case’ (p. 31).

The case studies provided a valid representation of the data used to construct them, as much of this data had already been validated during the collection and analysis processes for the interviews and document analysis. The restricted ‘social setting’ of intelligence agencies prevented the development of case studies on various aspects of practice by direct observation. Given also the open-ended exploratory nature of the three research questions, the development of case studies using interviews and document analysis was the most feasible application of this method. This approach also enabled a deeper synthesis of many themes than what interviews or documents could do alone and allowed for generalisability and theory building in some areas, particularly in the five intelligence frameworks.

The selection of a comparative approach to the case studies also contributed to the validity of the case study results. If the monograph addressed the three research questions by exploring only one or two case studies from one country, or one intelligence community rather than across the ‘Five Eyes’ intelligence countries, the results would have been less valid. In the monograph, a broader selection of agencies in some ‘Five Eyes’ countries may have assisted further in validating trends, themes and issues arising from various case studies.

However, the substantial amount of data collected from the other two methods is of sufficient quality and quantity to justify the conclusions reached in the case studies.

The trends, themes and issues of various case studies arose initially from the chapter outlines, and their significance was later validated by data emerging from the interviews and document analysis. The holistic perspective taken from the outset (combining national security, policing and emerging practice contexts), and the comparative case study approach, also showed that themes discussed in the case studies were representative of broader changes in the 'Five Eyes' intelligence communities. However, the full significance for developing further theorising on the various intelligence themes discussed in the monograph, most notably building better frameworks, only occurred after a full analysis of all data was complete.

During the analytical stage of the research, triangulating data sets from interviews and document analysis also assisted in validating generalisations being made from the case studies. Cross-checking of the data also assisted in improving the validity of analytical generalisations by being able to interview more than one key officer in the agency concerned, or comparing answers provided on one theme across different agencies. A good example of my 'sense checking' of data validity can be found during interviews of the senior Counter-Terrorism commander of LAPD on the development of a then new suspicious activity reporting (SAR) system for terrorism. (For a discussion of SARs, see Walsh, 2011a, pp. 177–181.) If I had based analysis of the SAR initiative solely

on this interview, I would have gained an overly optimistic assessment of its progress and effectiveness.

However, other interviews within LAPD, and in different agencies such as the New York Police Department (NYPD) and the New Jersey State Police (NJSP), provided a more accurate (valid) assessment on the level of capability this new initiative represented. Similarly, I would have gained an inaccurate perspective of organisational attitudes by the RCMP to the Canadian Criminal Intelligence Model (CCIM) if interviews were restricted only to relevant intelligence staff in the RCMP headquarters in Ottawa, and not additionally those in the regional office of the Vancouver RCMP. The ability to triangulate data sets on different questions also helped resolve many ambiguities in data and increase the overall validity of case studies and other results.

6.6.4 Summary. The semi-structured interview and case study methods used did raise some challenges for the overall reliability and validity of the study. Despite these, the methods adopted were appropriate to addressing the three research questions.

In most cases, the semi-structured interviews generally resulted in a small yet consistent set of data and analysis on a range of themes across the monograph. Interviews were also targeted at those senior managers most likely to provide detailed and firsthand knowledge of various intelligence reform measures, particularly in the five case studies of intelligence frameworks.

The objective of the study, as discussed earlier, was not to collect a *large sample size*, but to extract from a manageable sample a more in-depth understanding of the relevance of the many themes discussed to addressing the

three open-ended research questions in the monograph. The results are still valid based on the qualitative research design, which was to understand/explore the three research questions rather than explain or answer them definitively.

6.7 Conclusion

This concludes Section 6. In Section 7, I will discuss the study's publishability (thereby addressing the sixth examination criterion—'the worthiness of the ... [monograph] for publication').

Section Seven: Publishability

7.1 Introduction

The monograph was published in July 2011 by Routledge—a leading international publisher specialising in criminology and intelligence studies.³⁰ The ability to attract a well-regarded global publisher is from the start a strong statement of the monograph’s publishability. Moreover, the various publication milestones (peer review, editing, typesetting and proofreading) were all times when the monograph’s publishability was being reassessed, and so provide additional evidence both of its overall merits and its being objectively identified as meeting the criteria for publishability.

In particular, the initial blind peer review process in 2008 assessed the book proposal positively. This was an anonymous process, but the publisher relayed some general reviewer comments back to me indicating that the reviewers saw merit in the monograph’s methodological approach and were keen to see a product that intended to look more widely at intelligence reform—not just in policing or national security (B. Willan, personal communication, 14 April 2008). The publisher also commented positively on the proposal—indicating that they were interested in this work as it ‘ would examine reform issues not just from the Australian perspective, but also included insights from the US, Canada, the UK and New Zealand’ (B. Willan, personal communication, 10 July 2008).

³⁰ See Routledge website for details of publisher and the monograph:
<http://www.routledge.com/books/details/9781843927396/>

The remainder of this chapter will focus on providing additional evidence on the publishability of the monograph.

7.2 Sources of Publication Reviews

7.2.1 Formal reviews. At the time of writing this exegesis, the publication has been peer reviewed formally by six scholars/practitioners in addition to the researcher's PhD supervisors. For example, just prior to publication respected intelligence scholars Mark Lowenthal and Peter Gill formally reviewed the monograph, and their comments were included on the back sleeve. Lowenthal stated that the monograph

... was a unique and long-needed approach; Walsh has made a real contribution to the intelligence canon. (Lowenthal, cited in Walsh, 2011a, back cover)

According to Peter Gill:

This is a thought provoking and comparative analysis. Discussing intelligence structures and processes both in the national security domain and beyond, it develops a research strategy for more effective and resourced intelligence that will be of much interest to practitioners and researchers alike. (Gill, cited in Walsh, 2011a, back cover)

Additional reviews have been published (Peake, 2012; Prunckun, 2012a, 2012b) or are in press (Prunckun, in press). For example, in June 2012, the CIA's journal, *Studies in Intelligence*, reviewed the monograph and concluded that it made a 'unique contribution' (Peake, 2012, p. 47).

It is expected that additional peer reviews will become available as we move into 2013, and the monograph becomes more widely disseminated and, therefore, critiqued by peers.

7.2.2 Informal reviews. Additionally, a number of informal reviews of the monograph by leading intelligence practitioners and scholars have been sent to me via email since publication of the monograph. For example, leading criminal intelligence scholar Jerry Ratcliffe has reviewed the monograph (see his comments above in Section 4.6). More recently, the Deputy Director of the College of National Security at the Australian National University, David Connery, described the monograph as ‘comprehensive and far superior to other Australian offerings on the subject’ (personal communication, 16 March 2012). In July, Adam Svensden, a researcher at the Centre for Military Studies, University of Copenhagen, described the monograph as ‘impressive’, and said that the ‘breadth of the approach taken towards the study of intelligence is most refreshing as intelligence research sometimes can get too overwhelmed both by sector interests and the big players’ (personal communication, 20 July 2012). In August, Professor of Intelligence and Security, Jennifer Sims, commented in an email to me and a colleague in the Department of Homeland Security (DHS) that the monograph was ‘exceptionally good’ (personal communication, 21 August 2012).

7.2.3 Summary. The formal and informal reviews of the monograph to date, together with the interest shown in it from scholars and practitioners (Section 4.6), provide evidence of the fact that the monograph is being viewed

as a piece of research that is indeed publishable and, moreover, will take its place in the intelligence field.

7.3 Publishability Criteria

Whether research is publishable means more than a work finding a medium for publication. Key criteria indicative of whether research is worthy of publication relate to the *relevance* and *impact* that a published work will have on the field in the medium to longer term. To what extent does the published work contribute knowledge to priority areas in the field beyond what is merely ‘faddish’ or popular? Further, will this knowledge have an impact on the field over the longer term? Other criteria include ‘originality’, ‘significance’ and ‘impact’. The meanings of these attributes, however, are contestable and difficult to define. Moreover, individual reviewers of published research may argue for different criteria for assessing the longer-term ‘worthiness’ of research products, perhaps based on national government research priorities.

Shaw and Green (2002) provide a list of criteria for assessing research publishability, which, though not exhaustive, broadens the number of attributes useful for considering whether a written product may be worthwhile to the field in the longer term. In addition to listing impact, originality and significance, they also include criticality, leading edge and topicality as key factors in assessing the overall publishability of research (Shaw & Green, 2002, cited in Badley, 2009, p. 331). I will not repeat discussion of Shaw and Green’s originality and significance criteria, as evidence was provided earlier on how

the monograph meets these (see Sections 3 and 4, respectively). The remaining discussion here will be restricted to Shaw and Green's other criteria: criticality, impact, leading edge and topicality.

Criticality means crucial, decisive or extremely serious, and this criterion is largely subjective both from the researcher's and the readers' perspectives. Arguably, a dispassionate consideration of a number of the themes and issues discussed in the monograph, such as intelligence reform, analytical training, or developments in emerging intelligence practice areas, would identify them as crucial to better decision-making support and avoiding future strategic surprise. Shaw and Green (*ibid.*) suggest that another important aspect of criticality involves the results of research being published as soon as possible to ensure their relevance, utility and impact on improving the field. The monograph demonstrates this aspect in the fact that it was written in one year and published in July 2011.

On Shaw and Green's second and third criteria, *leading edge* and *impact*, I see a link between the two. As discussed above, impact is a product of significance and originality. In other words, research is likely to have a limited impact if it is not original or does not make a significant contribution to one or more areas of the field. Impact, however, is also linked to the extent to which the research is leading edge or at the forefront of the research agenda for the field. Given that I argue in the monograph (see Chapter 10) that there is no commonly agreed upon research agenda for the intelligence field at this time, it follows that it is difficult to make a case for whether the research is at the forefront of any such agenda (and, therefore, 'leading edge'). Moreover, it is

similarly difficult in the social sciences to get agreement among scholars even in the same field on how to rank research outputs, including labelling any of them as possessing characteristics such as ‘leading edge’. As the monograph becomes more widely reviewed it is likely that senior academics in the field will make their own assessments on what aspects of the monograph represent ‘leading edge’ research. While it is also a little presumptuous for the researcher to list areas that he assesses as meeting the criterion ‘leading edge’, I would argue that the theoretical model developed for building effective intelligence frameworks (Walsh, 2011a, p. 147) and the comparative nature of the research could meet this criterion.

The final publishability criterion listed by Shaw and Green is *topicality*, or research that is of current interest. Like the other criteria discussed above, this one also lacks precision and is likely to change with context: topical to whom—other scholars, policy-makers or the media; topical in what circumstances—immediately after a significant security breach; topical on the basis of what is likely to be funded and published? In Australia, in the years immediately following 9/11, the Australian Research Council was increasing its pool of funding for counter-terrorism research, and so many in the academic community were refashioning their research projects to conform to that priority and so ensure they had this element of topicality when seeking funding. The point here is that topicality should not be narrowly defined by the short-term political expedience of funders or grant recipients.

Using, then, a broader understanding of topicality, such that the term refers to relevance or currency for those with a stake in the topic itself, I would

argue that the monograph includes a number of intelligence issues and themes which remain topical more than a decade after 9/11 and likely will continue to do so into the future.

These issues include intelligence failure, fusion, intelligence education, analytical methodologies, building better agencies and communities, and the ethical dimensions of intelligence.

Overall, though, other criteria (mainly originality, significance and impact) are likely to be more important in assessing the publishability of research. With all these criteria, however, the ultimate assessment of publishability rests on garnering further expert evidence via peer reviews and citation rates in 2013 from colleagues and practitioners. While I continue to monitor the impact of the monograph on research consumers, the other measure that I think is important when considering publishability is to have produced something both practitioners and scholars in the field (and related fields) *want* to read, in order to be both informed and educated—and that is, most importantly, as Winter *et al.* (2000, p. 30) suggest, sufficiently explicitly speculative or original as to command respectful peer attention.

Section Eight: Conclusion

8.1 Overview

This exegesis documents evidence demonstrating that the monograph meets all five examination criteria for the degree of PhD by multi-media at Charles Sturt University. Each examination criterion listed in Section 1 has been addressed fully in the monograph. In summary, the study demonstrates a broad and deep understanding of the literature and current developments in the intelligence field, particularly emerging practice areas and the links between national security and policing intelligence. Each chapter in the monograph provides evidence of a number of areas where an original contribution to the intelligence field can be demonstrated. New reinterpretations of work, new evidence and new theoretical modelling have been produced. Significant contributions to knowledge, particularly in the development of case studies on several themes in the monograph, can be demonstrated (see Section 4). In particular, the theoretical framework for building effective intelligence frameworks provides the field with an evidence-based approach to intelligence reform founded on a structural functional approach to theorising.

The appropriateness of the methodological approach (Section 5) used to address the monograph's three research questions has been established. The chosen research design is indicative of an advanced understanding of research processes and limitations. The methods used to collect data from senior intelligence officers and architects of the various reforms (semi-structured

interviews, document analysis and case studies) were most appropriate for collecting data against which to assess good intelligence practice.

In the remainder of this section, I summarise how each research question was answered, and then conclude with some final reflections on the research journey.

8.2 Research Question 1: What is Intelligence?

This was an ambitious yet important question to pose in the study, as it seeks to understand and locate the current boundaries of the field in an increasingly complex and dynamic security environment. While the study could not provide a definitive answer to this question, the monograph contributes to bringing more critical reflection to the question in what I describe as ‘the post-post-9/11 security environment’. Attempting to define ‘intelligence’ more clearly in this environment is not just an arcane academic exercise. Definitions are also important for intelligence practitioners and leaders, as they go to the heart of who policy-makers, who fund intelligence communities, view as ‘members’ of these communities and what they see as ‘national security’. This in turn has an impact on the type of work various agencies will do and the mix of capabilities political masters are willing to pay for in the post-Global Financial Crisis environment.

What is clear from the research related to question 1 is that the *meaning of intelligence* and its practice is context driven. To make sense of the changing contexts of intelligence practice, the monograph described succinctly two broad kinds of intelligence contexts, *traditional* and *emerging*. Traditional

intelligence practice is important as it represents the foundation and source of so much of what we now understand intelligence to be in theory and practice. Through traditional intelligence practice contexts, we see the evolution of an ‘intelligence tradition’ that is itself underlined by three characteristics—namely, a culture of secrecy, surveillance, and the security environment (Walsh, 2011a, p. 29).

This ‘intelligence tradition’, though a theoretical construct, is useful in practice as it distils down to a basic level what is unique about intelligence regardless of the practice context. The discussion of emerging intelligence practice areas, however, and changes in the security environment, challenge conventional notions of what counts as intelligence. So, while one conclusion of the monograph is that research question 1 cannot be answered definitively, I have clarified the structures and processes that are most important in addressing it more extensively than has previously been the case. Research question 1 will continue to be an important question to address in order to gain greater understanding of how the security environment is again changing the role of intelligence and the contexts in which intelligence is being practised. Research question 1 remains a ‘theoretical stake in the ground’ that researchers working in the intelligence field will need to keep revisiting in the future.

8.3 Research Question 2: What Makes Intelligence Practice Effective?

Leaving aside the theoretical discourse of how one defines intelligence, research question 2 arguably has the greatest relevance to intelligence scholars and practitioners. Eleven years after 9/11 this question remains critical too for

policy-makers and heads of agencies. Again the monograph provides evidence of what makes intelligence effective, particularly, but not exclusively, by way of the analysis of the five case studies. The theoretical model developed from the analysis of these frameworks provides a methodology for further testing the effectiveness of intelligence agencies and communities. While the complexity of the security environment makes this question unanswerable in a definitive way, the monograph's findings have made it possible to gain better insights into what factors are most likely important in making an intelligence framework effective.

The components of the model provide an empirical framework, the validity of which can be tested further by applying it to additional intelligence agencies and communities in the future. This constitutes a starting point towards developing better frameworks that can 'diagnose' the health or otherwise of intelligence agencies and communities. Such modelling will be useful as governments and intelligence communities seek more efficient arrangements to save public money.

8.4 Research Question 3: Is there a Discipline of Intelligence?

In contrast to research questions 1 and 2, the third question was conducive to a more definitive answer, which the monograph has provided. In Part 3 of the monograph, particularly in the assessment of education and professional trends (Chapter 9), it is clear that intelligence remains largely a collection of theory, knowledge and skills that are not to any great extent formalised into a coherent discipline, let alone a profession. Therefore, as noted

in the monograph, this research question has prompted another, requiring attention in the future: *how are intelligence practice contexts developing the attributes necessary for becoming a discipline?*

8.4.1 Summary. Given the study did not lead to definitive answers to each of the research questions, the obvious question is whether they were the most useful questions to ask. Were they too general and open ended? On final reflection, the various themes explored in the monograph, and the collection of new evidence on many of these, solidified in my mind that the exploratory and open-ended nature of the questions was appropriate. In relation to all three, the language selected and the questions' open-ended nature allowed for a holistic and evidence-based investigation into how intelligence is changing in its broadest sense since 9/11. The analysis across each chapter, which sought to address various aspects of the three research questions, lays a foundation from which further research can be conducted to provide additional evidence to inform theorising and practice in the intelligence field. In particular, the development of an education strategy (Chapter 9), a research strategy (Chapter 10) and a model for assessing whether an intelligence framework is effective or not (Chapter 5) points researchers in the intelligence field in an informed direction and shows what the 'discipline' needs to do next.

8.5 Critical Reflections on the PhD Journey

In the final analysis, this exegesis has served an additional purpose beyond demonstrating how the monograph meets the criteria for the award of the doctoral degree. The exegesis has been a useful way for me to reflect

critically on the ‘research journey’—what I have learnt as a scholar, researcher and former practitioner, and how I can apply this to future research projects. Other scholars, such as Badley (2009, p. 341), argue that it is through what he refers to as ‘reflective critique’ that scholars improve their own future contributions to research and scholarship. It is also the way that our research and scholarly communities will develop and grow (*ibid.*).

Reflecting back on the research path to publishing the monograph in 2011, the first important point that comes to mind was the continual growth in the various skills I developed as a researcher. Shaw and Green (2002, p. 122) provide a useful list of the kinds of skills researchers should have acquired at the doctoral level. These include analytical skills, creativity, criticality, discrimination, evaluation, research management and synthesis. As a scholar who has been involved in other research projects and as a former intelligence analyst, I had already obtained the kinds of skills Shaw and Green describe, to at least some extent. However, the extended research process required to complete successfully the monograph demanded a further honing of those skills. It also made explicit areas where I required further development as a researcher. In particular, analytical skills and criticality were areas that I became more skilled in during this study. It does take experience to get better at analysing data and knowing which sets are more important than others. Additionally, my research management skills became more developed during the project due to its relatively large size (both in time and length).

Reflecting back on the research process, there were also a number of new skills required, particularly in learning about case study methodology and

various data collection and analysis techniques. The acquisition of these skills not only sharpened various theoretical perspectives and themes relating to the three research questions, but more importantly—for current purposes—improved my confidence as a researcher.

Furthermore, the exegesis process revealed areas to me where additional exploration may have provided even richer insights about the three research questions. The ability here to reflect back in this manner has also helped me develop more informed perspectives on intelligence practice and research that can be used in subsequent projects. I agree with Winter *et al.* (2000) that ‘research in the end is about the search for better questions and once these are found, they form part of the outcome of research rather than its starting point’ (p. 30). As has been noted, there are a number of additional areas (such as counter-intelligence, cyber-security or forensic intelligence) that were not explored in the monograph yet which, on reflection during the writing of the exegesis, may have provided additional insights into the three research questions and further tested the overall findings.

Another interesting area [for future research/that could have fruitfully contributed to answering the research questions] is the role of private sector intelligence companies such as the US-based Stratfor company, which is supplying risk management, security services and open source intelligence assessments to public and private sector companies. In late 2011, media reporting revealed that WikiLeaks had hacked into Stratfor’s email system, allegedly revealing various sources within government that may be providing this company with information. Such events have implications for how scholars

and practitioners define what is ‘purely’ open source or secret intelligence, and where the line between the two lies (*The Australian*, 27 February 2012). The Stratfor example also raises ethical and privacy issues and suggests that further research may be useful in evaluating what kind of private intelligence is being provided by operators and the extent to which this is politicised or agenda driven, rather than adding another useful layer of contestability on analysis already provided by national security and policing agencies.

Another reflection on the research journey that I think is useful is the role supervisors play in helping shape the doctoral candidate’s work. Given that I had worked in the intelligence field as an academic and practitioner for two decades prior to undertaking doctoral study, my supervisory requirements centred around helping me to articulate better the critical parts of the exegesis (for example, the methodology) and the significant contributions of the study. I also wanted supervisors who would provide frank and fearless advice on various sections of the exegesis, yet also respected my own scholarship, and were not in my mind unnecessarily interventionist. Looking back on this research journey, I was lucky to get the kind of supervision that I most needed.

When I began this research journey, I wanted to produce a study that would be useful to academics and practitioners, not one or the other. My reflection on the journey confirms for me that the monograph provides the groundwork for continued work in a number of important and exciting areas for practitioners, scholars and policy-makers. Having met this goal and painted such a broad canvas, the next task will be deciding which areas developed in

the monograph are most worthy of further and detailed investigation in the future.

Appendix A: CSU Human Research Ethics Committee Approval



OFFICE OF ACADEMIC GOVERNANCE

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12 June 2009

Mr Patrick Walsh
12/10c Challis Avenue
Potts Point NSW 2011

Dear Mr Walsh,

Thank you for the additional information forwarded in response to a request from the Human Research Ethics Committee.

The Committee has now approved your proposal entitled *"Intelligence and Intelligence Analysis (book)"* for a twelve month period from 12 June 2009. The protocol number issued with respect to this project is **2009/088**. Please be sure to quote this number when responding to any request made by the Committee.

You must notify the Committee immediately should your research differ in any way from that proposed.

You are also required to complete a Progress Report form, which can be downloaded from www.csu.edu.au/research/forms/ehrc_annrep.doc, and return it on completion of your research project or by 12 June 2010 if your research has not been completed by that date.

Please don't hesitate to contact the Executive Officer on telephone (02) 6338 4628 or email ethics@csu.edu.au if you have any enquiries.

Yours sincerely

A handwritten signature in blue ink, appearing to read "Julie Hicks".

Julie Hicks
Executive Officer
Human Research Ethics Committee
Direct Telephone: (02) 6338 4628
Email: ethics@csu.edu.au

Cc:

Appendix B: Information Sheet



Australian Graduate School of Policing

BOOK PROJECT: INTELLIGENCE & INTELLIGENCE ANALYSIS

BY PATRICK F WALSH

INFORMATION SHEET

What is this research about?

This research is in support of a book which will bring together academic and practitioner perspectives on intelligence analysis to increase mutual understanding on how to improve practice. The researcher wants to interview intelligence academics and practitioners to ensure that the book's contents are relevant to the intelligence profession both from theoretical and practitioner perspectives.

The book's major purpose is to find examples of good practice intelligence analysis by exploring and comparing developments in the US, UK, Canada, Australia and New Zealand. A burgeoning number of publications on intelligence practice, particularly in the areas of law enforcement and security intelligence since September 11, 2001, have increased discussions on the 'state of the intelligence art'.

However, what is missing in the current literature is any attempt to collate, assess and reflect on examples of good practice both in traditional areas (security intelligence and law enforcement) and other emerging areas (justice, corrections and the business/private sector) of intelligence practice. This book will bring together a disparate field in order to better identify good practice examples from all sectors. Another unique theme explored in this book is an exploration of current research trends in the field. There is now an even greater requirement by governments and even the private sector to assess better the evidence of how intelligence is integrated into and improves decision-making.

The book will have 12 chapters (including introduction and conclusion); the remaining chapters will focus on the following:

- Traditional intelligence practice
- New applications for intelligence
- Peace keeping and intelligence capacity building
- Intelligence models and frameworks
- Components of intelligence practice
- Strategic management of the intelligence function
- Lateral thinking
- Theoretical models for intelligence
- Future challenges and research
- Ethics and legislation
- Education training
- Concepts and practice

Who is paying for this research?

- Charles Sturt University is paying for some of this work to be conducted via a ‘special studies program’ grant awarded to Mr Walsh. Mr Walsh will be meeting costs beyond this grant.

What will taking part involve?

- If you agree to take part, I would like you to be involved in a one-hour interview. I would also like to audio tape the interview to facilitate my analysis, although if you would rather I did not do this then I will take notes.
- Prior to the interview the researcher (Mr Walsh) will send you some broad issues/topics, which he would like to explore with you during the interview period. These issues/topics will relate to the above chapter areas. Please note the questions I would like to raise with you do not relate to any security classified, sensitive operational or business in-confidence processes. Questions will be open-ended formulated in order to pick up how theory, processes, doctrine are being applied in different intelligence settings.
- **Informed consent will be sought from all participants prior to the start of the interview.**

Will anyone know what we talk about?

- All of the research is completely confidential. This means that I will not identify you by name, rank or by agency when writing up results, unless I would like to attribute the information to you or your agency. In these cases, I will only do this once I have your written consent to use the information in this way.
- I will not tell anyone else from your or another agency what you said during the interview.
- If you are happy to be interviewed but do not wish for your identity or that of your agency to be identified in the book, reporting will be anonymous. Further, when data from your interview is entered into a computer for analysis we will give each individual/agency a unique number instead—ensuring that the data remains confidential.
- However, given the book will be highlighting some areas of good practice as case studies or in general text form, I *may* ask your permission to use the

information provided by you in the book. This may require either the identification of you and/or your agency.

- In these circumstances, where permission is sought to attribute you and your agency as a source of information, I will ask for your written consent to do so. Additionally, and in all cases, I will be guided by you as to whether information can be published and any amendments required prior to publication. As a former intelligence officer, with a top secret code word classification until 2003, Mr Walsh fully understands the sensitivities relating to working in this area and can assure complete compliance with any restrictions you or your agency require—either for the interview to be granted or for the release and publication of any information.

Can I change my mind?

- Taking part in our project is voluntary. This means that you can decide to say no if you like and no one can make you take part. Nothing bad will happen to you if you decide to say no.
- Also, you are allowed to withdraw at any time if you do not want to take part anymore. Nothing bad will happen to you if you decide to do this.

What happens afterwards?

- After I have completed the research I will publish the work in a book which is scheduled for publication by Willan Publishing (UK) in February 2010.

What if I would like more information?

- If you would like to know more about our project prior to July 2009, please contact Patrick F. Walsh on 02 99344829. From July 2009, please contact Patrick F. Walsh by email: pawalsh@csu.edu.au.

Charles Sturt University's Ethics in Human Research Committee has approved this study, reference 2009/088.

If you have any complaints or concerns about this research contact:

The Executive Officer
Ethics in Human Research Committee
Academic Secretariat
Charles Sturt University
Private Mail Bag 29
Bathurst NSW 2795

Phone: (02) 6338 4628

Fax: (02) 6338 4194

Appendix C: Consent Sheet

Australian Graduate School of Policing



CHARLES STURT
UNIVERSITY

BOOK PROJECT: INTELLIGENCE & INTELLIGENCE ANALYSIS

BY PATRICK F WALSH

CONSENT SHEET

To be read or given to the interviewee at the start of the research:

Thank you for agreeing to take part in this study. I am a researcher from Charles Sturt University working on this project.

- **Have you read/had explained to you the information sheet for participants?** Yes/No
- **Have you had a chance to ask questions and discuss this study?** Yes/No
- **Have you received enough information about the study?** Yes/No
- **Do you understand that you can stop the interview at any time and that nothing bad will happen to you as a result?** Yes/No
- **Do you understand that the interview will be audio-taped unless you request it not to be?** Yes/No
- **Do you understand that any information/personal details gathered in the course of this research about me are confidential and that**

neither your name nor any other identifying information will be used or published without your written permission? Yes/No

Interviewee's statement

I understand the information I have been given and agree to be interviewed.

Signature **Date**

Name (please print)

Investigator's statement:

I confirm that I have carefully explained the nature, demands and foreseeable risks of the proposed study to the volunteer.

Signature **Date**

Name (please print).....

Charles Sturt University's Ethics in Human Research Committee has approved this study.

I understand that if I have any complaints or concerns about this research I can contact:

The Executive Officer
Ethics in Human Research Committee
Academic Secretariat
Charles Sturt University
Private Mail Bag 29, Bathurst NSW 2795

Appendix D: Interview Questions

- Q1 Can you provide a context of what intelligence is for your agency and for you? Also, how do you think this has changed post 9/11?
- Q2 Would you describe your agency as intelligence led or one that uses intelligence proactively and why?
- Q3 How are intelligence priorities set within your agency? And by whom?
- Q4 How is intelligence tasked and coordinated in your agency? What mechanisms capture tasking and coordination at tactical, operational and strategic levels?
- Q5 Have tasking and coordination arrangements changed since 9/11 and in what ways?
- Q6 What best qualities do you think are needed in an intelligence analyst?
- Q7 How are analysts viewed in your agency?
- Q8 Are there any cultural issues around how analysts are viewed in your agency?
- Q9 What kinds of intelligence products are produced in your agency and by whom?
- Q10 Are strategic intelligence products produced; if not, why not do you think?
- Q11 How are intelligence products evaluated in your agency (informal and formal channels)?
- Q12 Can you describe how intelligence analysts are trained in your agency?

- Q13 Is there a continuing professional development pathway for analysts in your agency?
- Q14 Where are the current deficiencies in training?
- Q15 How is intelligence shared around the agency?
- Q16 Are there any IT or cultural factors inhibiting the flow of intelligence internally or externally?
- Q17 Is your agency involved in any intelligence fusion initiatives, and what do you see as the challenges with these arrangements?
- Q18 What key pieces of legislation govern intelligence collection and analysis in your agency?
- Q19 What independent oversight bodies are responsible for reviewing your intelligence?
- Q20 Five years from now, what will be the remaining challenges for your agency's intelligence capabilities?

Appendix E: List of Documents Analysed

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Appendix F: List of Themes Extracted and Analysed from Data

Accountability
Adaptation failure
All hazards approach
Analysis
Analytical standards
Analytics
Bio-security
Career structure and professional pathways
Civil liberties
Coercive interrogation
Core intelligence processes
Corrections intelligence
Cultural challenges
Decision-making
Domestic vs. international intelligence
Education and training
Emerging intelligence
Enabling activities
Fusion
Governance
Human resources
Information communications technology
Integration of intelligence
Intelligence capacity building
Intelligence collection
Intelligence doctrine, guidelines and policies
Intelligence products
National security intelligence
Network analysis
Organisational design

Policing intelligence
Professionalism
Research strategy
Risk and threat methodologies
Secrecy
Security environment
Stove-piping
Surveillance
Sustainability
Traditional intelligence
WikiLeaks

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