



**Center for Homeland Defense and Security**  
The Nation's Homeland Security Educator

**U.S. Department of Homeland Security** ♦ **Naval Postgraduate School**

**Welcome!!**

**Please Sign In**



**Homeland  
Security**

[www.chds.us](http://www.chds.us)



Center for Homeland Defense and Security  
The Nation's Homeland Security Educator

U.S. Department of Homeland Security ♦ Naval Postgraduate School

# Strategic Planning for Homeland Security

*An adaptable planning model for multi-agency,  
multidisciplinary Homeland Security Strategic Planning*

**Michael Petrie**  
**Visiting Associate Professor**  
**Center for Homeland Defense and Security**  
**Naval Postgraduate School**



Homeland  
Security

[www.chds.us](http://www.chds.us)



## Agenda

- Define Strategic Planning
- Purpose and Value of Strategic Planning
- Common Weakness in HLS Planning
- Organizational Hierarchies and Superiority and Specificity of Strategic Plans
- Adaptable Model for HLS Strategic Planning
- Comments/Questions





**Strategic Planning:** *The process of determining an organization's long term goals and the best method to reach those goals*

### ● Purpose and Value of Strategic Planning

- To produce decisions that shape what the organization is and does
- Create a common vision and purpose among division, units, and personnel
- Create and improve networks/relationships
- Unfreeze organization
- Better align and coordinate outputs to meet expectations





## What is HLS?

- HLS is the cooperative protection of the nation by citizens, private sector organizations, and local, state, and federal governments, except the military.
- HLS is a complex multi-disciplinary process, involving many agencies
- No HLS Experts
  - Experts in specific areas
  - HLS Generalists
- Collaborative planning is necessary to develop plans that adequately address HLS issues:

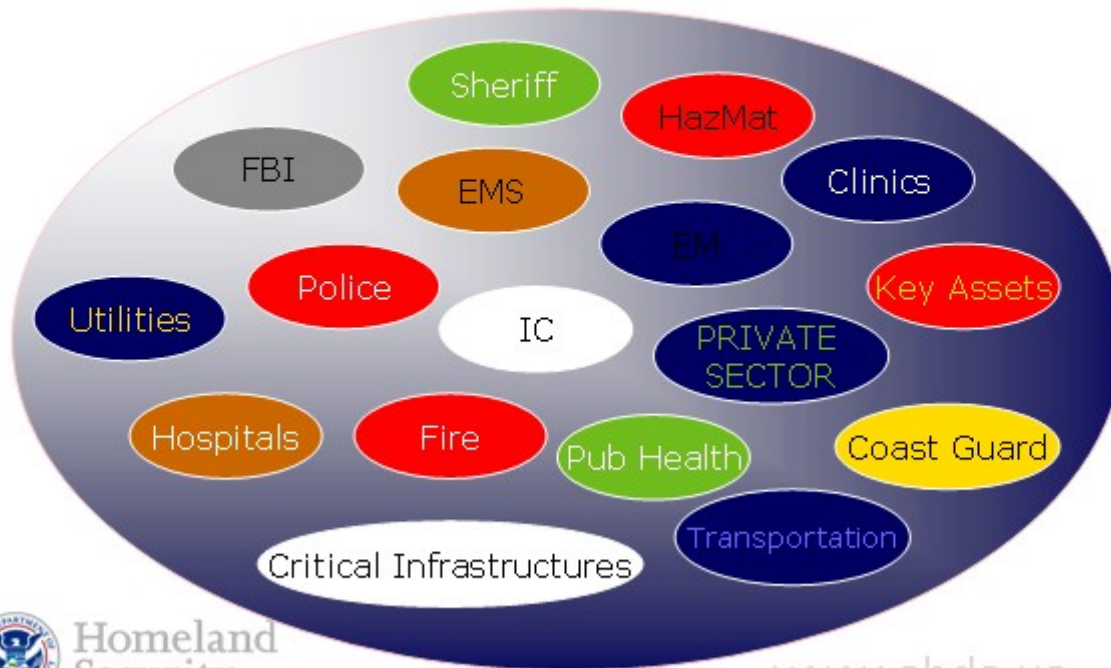
### Partial List of HLS Stakeholders

- Local, State, and Federal
- Law Enforcement
- Fire/Rescue
- EMS
- Public Health
- Emergency Management
- Transportation
- Public Works and Utilities
- Telecommunications
- Intelligence Community
- Elected Officials
- Critical Infrastructures and Sectors/Key Assets
- Hospitals and Health Systems
- And many more...





## The Homeland Security Organization





## Common Weaknesses in HLS Planning

- Proper organizations not involved in planning process
- Emphasis on developing HLS specific capability v. developing organizational capability, including HLS capability.
- No comprehensive strategy: many disparate goals with no interrelationship or linkage to mission or vision
- Participant organizations have disparate cultures: autocratic v. collaborative planning processes, risk-averse culture, educational levels, etc.
- Lack of "Systems-Approach"
  - Failure to define roles and responsibilities (Concept of Operations)
  - Fails to consider structures, inputs, processes, and outputs
  - Fails to consider costs to maintain capability
  - Fails to consider unintended consequences of structures, inputs, and processes
  - Fails to verify purported structures, inputs, processes, outputs, and capabilities





# Center for Homeland Defense and Security

The Nation's Homeland Security Educator

U.S. Department of Homeland Security ♦ Naval Postgraduate School



Federal

State

UASI Area/Region

City

Department

Functional Unit

NGOs

Private Sector



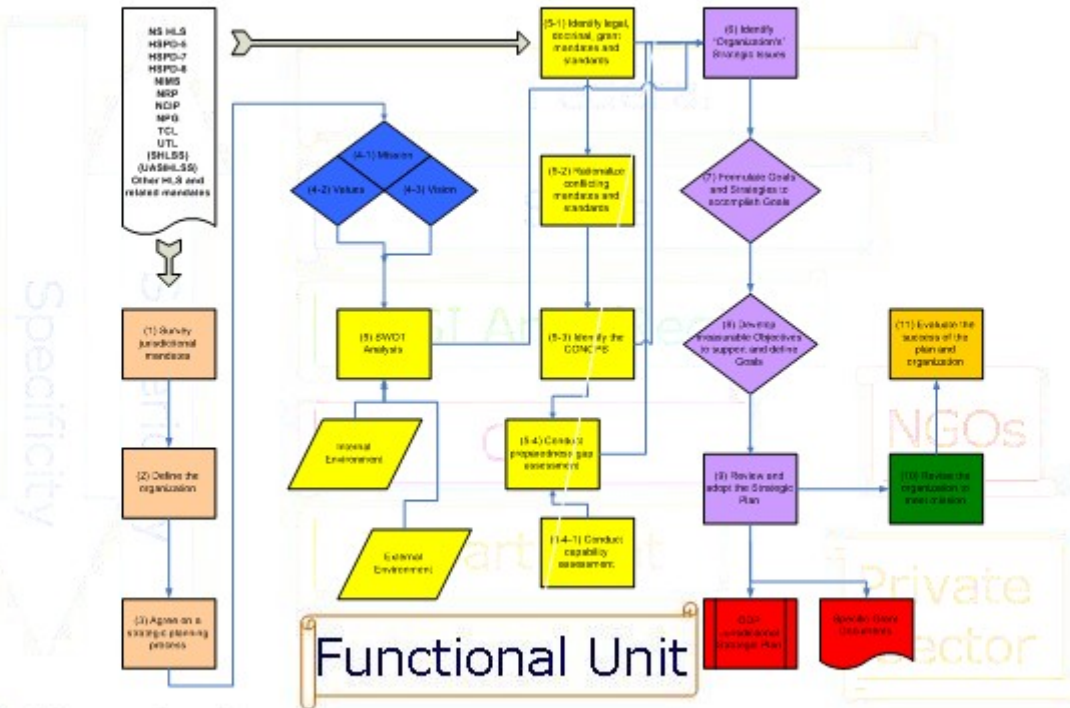
Homeland Security



# Center for Homeland Defense and Security

The Nation's Homeland Security Educator

U.S. Department of Homeland Security ♦ Naval Postgraduate School



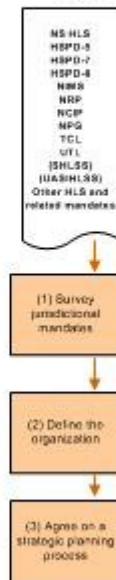
Homeland Security







# Mandates, Organization, and Process Development



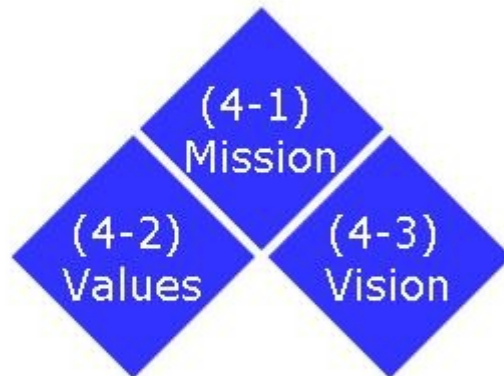
- What are the doctrinal goals, mandates, plans, with which the HLS organization must comply?
- Who must/should be involved and why?
- What process will the organization use to decide what it will do?







## Organizational Purpose and Norms

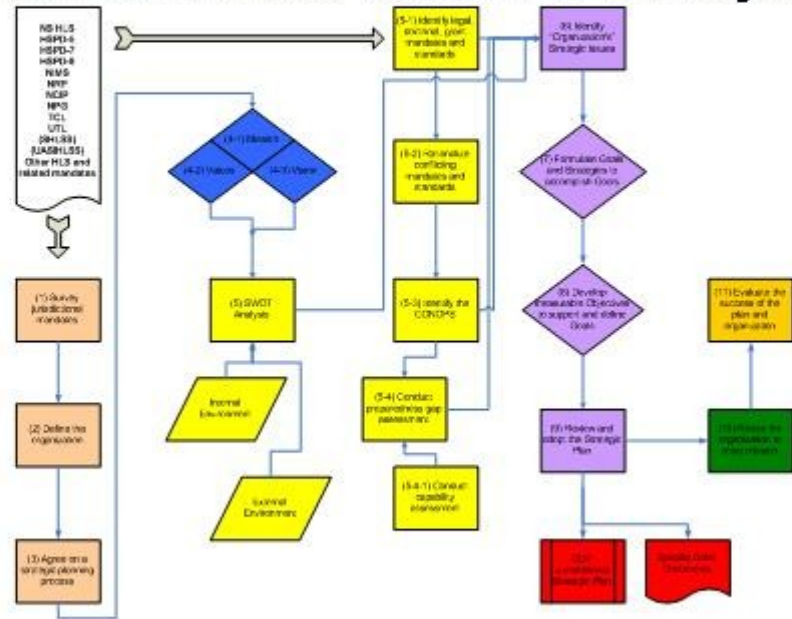


- Explains the purpose of the organization
- Explains how the organization will relate to itself and others
- Describes the desired future state of preparedness
- Sets the organization's cultural norms
  - Affects strategy, concept of work, effectiveness
  - Especially important in multi-jurisdictional and multi-disciplinary agencies



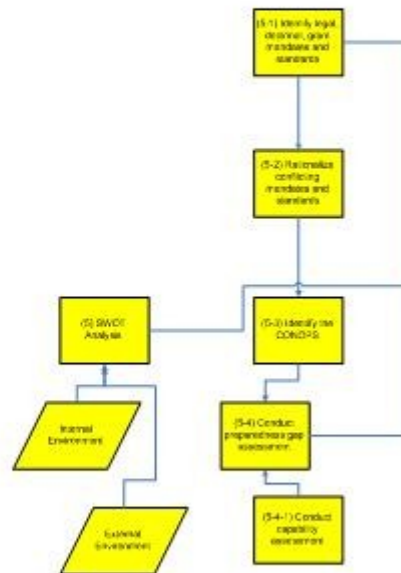


# Environmental and HLS Analyses





## Environmental and HLS Analyses

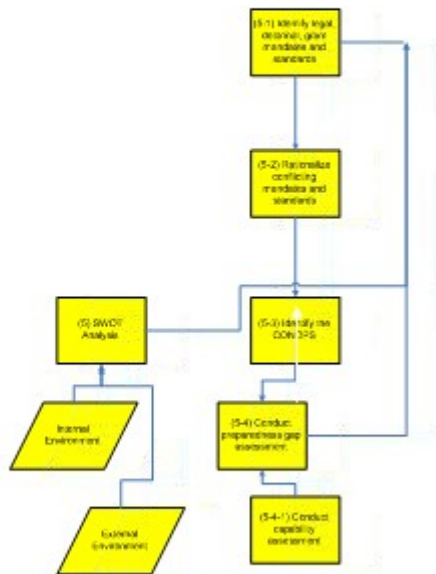


- SWOT analysis of the multi-disciplinary HLS organization.
- Identify federal and (other) legal, doctrinal, grant mandates, and standards
- Rationalize differing standards
- Determine concept of operations
- Assess the preparedness gap



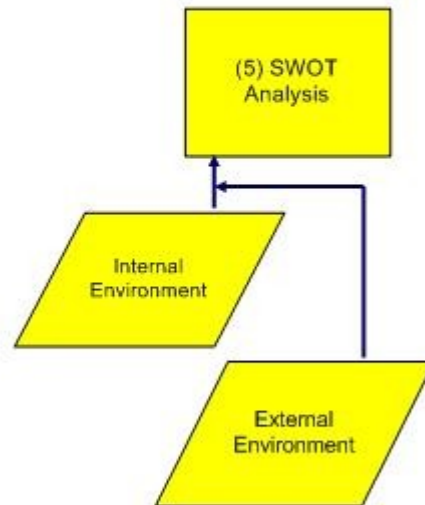


# SWOT Analysis





## SWOT Analysis

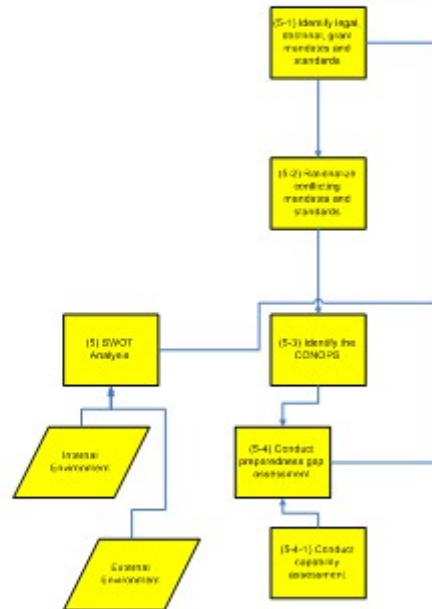


- Based upon multi-disciplinary organization
- Internal: **S**trength and **W**eaknesses
- External: **O**pportunities and **T**hreats
- Extends beyond HLS paradigm and issues.
- Seeks to capture less-tangible organizational issues that may affect the HLS organization.



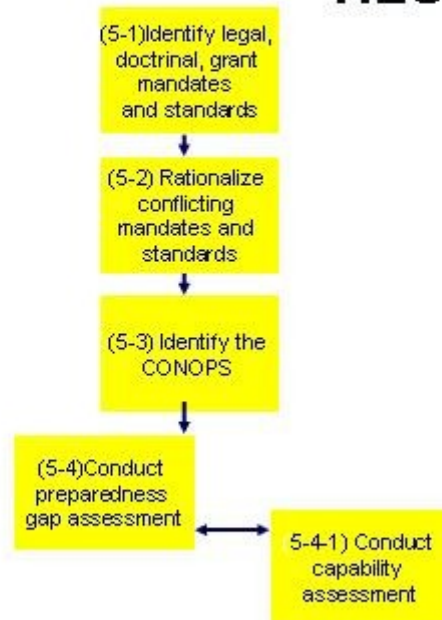


# HLS Analysis





## HLS Analysis



- Federal, state, and local, legal, doctrinal, grant mandates and standards
- Rationalize conflicting mandates and standards
- Develop concept of operations
- Conduct capability assessment, based upon capabilities, metrics, and standards
- Preparedness gap assessment





## HLS Analysis

5-1) Identify legal, doctrinal, grant mandates and standards

(5-2) Rationalize conflicting mandates and standards

(5-3) Identify the CONOPS

(5-4) Conduct preparedness gap assessment

(5-4-1) Conduct capability assessment

- Federal law, doctrine, and plans
- State law, doctrine, and plans
- Local law, doctrine, and plans
- Discipline-specific requirements
- Accrediting organization standards (NFPA, JCAHO)
- Grant requirements
- Information will be used in function 5-2





## HLS Analysis

(5-1) Identify legal, doctrinal, grant mandates and standards

(5-2) Rationalize conflicting mandates and standards

(5-3) Identify the CONOPS

(5-4) Conduct preparedness gap assessment

(5-4-1) Conduct capability assessment

- Benchmarking (HRSA, MMRS)
- What is appropriate for jurisdiction?
  - Population surges
  - Unique characteristics
- Includes standards such as OSHA, NIOSH, NFPA, other federal and state regulation
- TCL and UTL
- Output of this function becomes the desired future state of the gap assessment





## HLS Analysis

(5-1) Identify legal, doctrinal, grant mandates and standards

(5-2) Rationalize conflicting mandates and standards

(5-3) Identify the CONOPS

(5-4) Conduct preparedness gap assessment

(5-4-1) Conduct capability assessment

- Broad outline of assumptions in regard to an operation or activity
- Identify inconsistent presumptions among participant agencies
- Create common assumptions within the organization
- Tabletop exercises using 15 NPS





## HLS Analysis

(5-1) Identify legal, doctrinal, grant mandates and standards

(5-2) Rationalize conflicting mandates and standards

(5-3) Identify the CONOPS

(5-4) Conduct preparedness gap assessment

(5-4-1) Conduct capability assessment

- Identify necessary capabilities and metrics, based upon:
  - UTL and TCL
  - Accepted standards and requirements
  - "Rationalized" requirements
  - Beyond ODP Assessment
- Objective and reliable metrics
- Perform gap analysis
  - Desired future state – current state = gap
- Outputs of gap assessment are deficits that can be addressed in strategies, goals, grants
  - Planning, training, equipping, exercising





## HLS Analysis

(5-1) Identify legal, doctrinal, grant mandates and standards

(5-2) Rationalize conflicting mandates and standards

(5-3) Identify the CONOPS

(5-4) Conduct preparedness gap assessment

(5-4-1) Conduct capability assessment

- Measure the capability of the HLS preparedness system
- Metrics created in 5-4
- May be time consuming and resource intensive
- The output of this function becomes the current state of the gap assessment





## Strategic Plan Creation

(6) Identify  
"Organization's"  
Strategic Issues

(7) Formulate  
Goals and Strategies  
to  
accomplish  
Goals

(8) Develop  
measurable Objectives  
to support and define  
goals

(9) Review  
and Adopt  
Strategic Plan

● **Develop strategic plan, based upon:**

- Laws, doctrine and mandates
- Grant requirements
- Mission, Vision, Values
- Organizational SWOT analysis
- HLS Analysis

● **Results in strategic alignment between organization, environment, and desired outcomes**







## Post-Strategic Plan Activities



### ● Intermediate outputs

- Data from SWOT Analysis
- Data from HLS Analysis
  - Gap Analysis
  - Concept of Operations

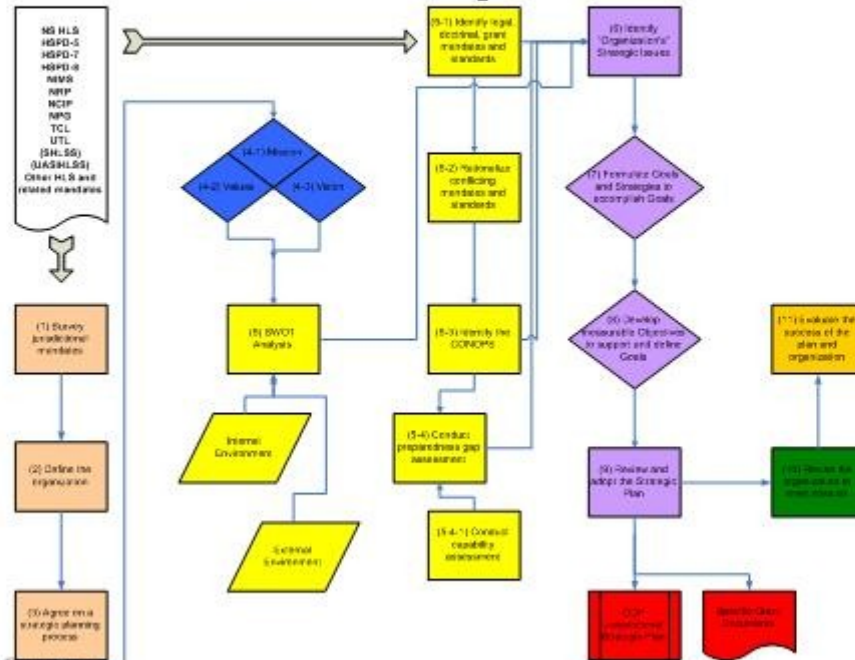
### ● Outputs

- Strategic plan and subordinate documents
- Organizational revision
- Work plan
- Evaluations





# Summary





## Summary

- Define Strategic Planning
- Purpose and Value of HLS Strategic Planning
- Common Weakness in HLS Planning
- Organizational Hierarchies and Superiority and Specificity of Strategic Plans
- Adaptable Model for HLS Strategic Planning





**Questions/Comments?**

**Michael Petrie  
mgpetrie@nps.edu**

