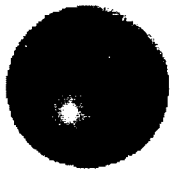


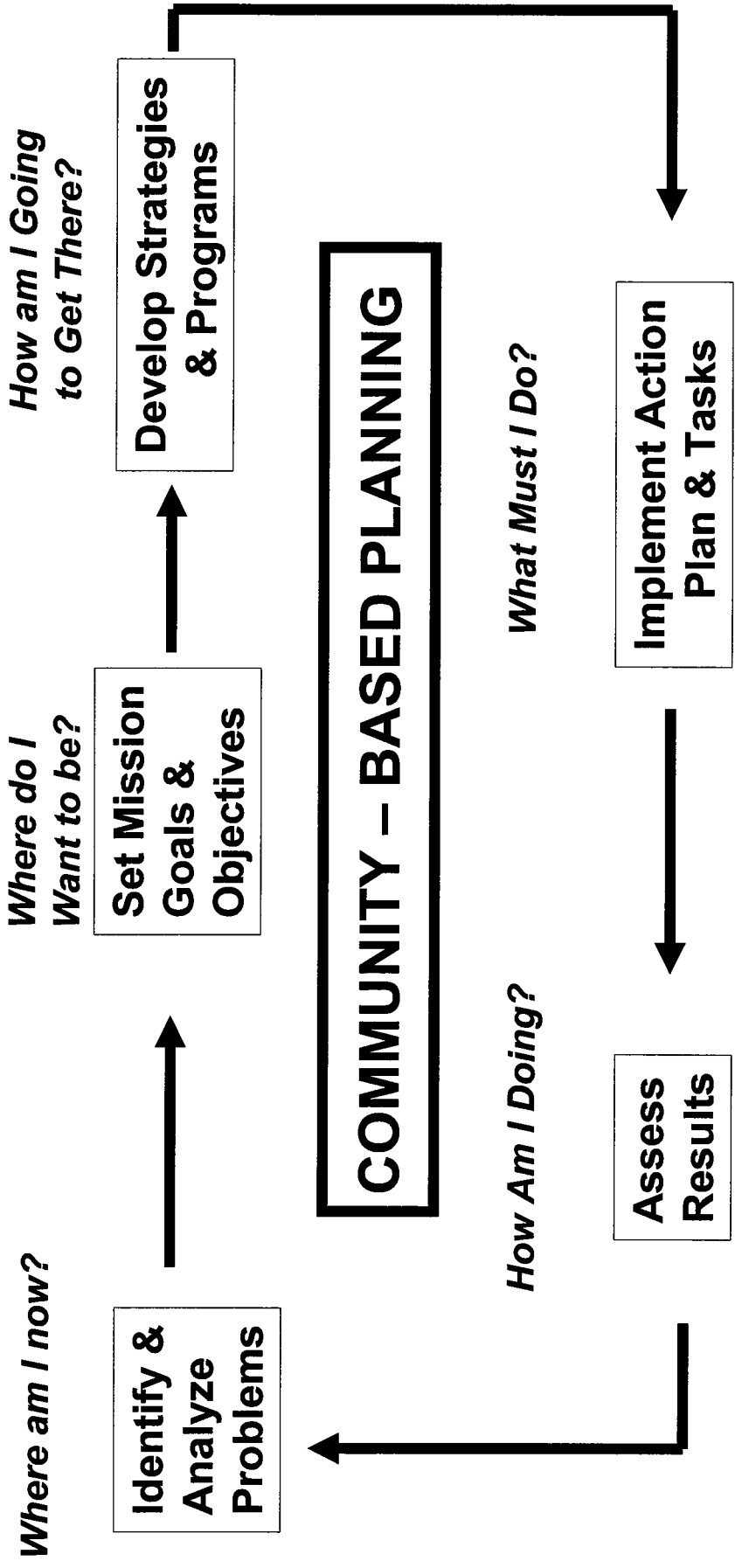
Strategic Planning Process

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Strategic Planning Process



What is Community-Based Planning?

Objectives

By the end of this session participants will be able to:

1. Identify how community-based planning should be used within the context of preventing, detecting, and responding to terrorism.
2. List the common elements of community-based planning.
3. Discuss how research and evaluation are integral pieces of community-based planning.
3. Assess the current capacity and readiness of their team and potential partners to engage in a community-based strategic planning process.
4. Discuss collaboration in the context of building a homeland security strategy.
5. Measure the extent of collaboration present in the homeland security efforts of a given jurisdiction.

Overview

Why do planning? Although one answer is because funding sources require that plans be submitted in order for funds to be provided, strategic planning has become a critical mechanism in a variety of fields to effect change, solve problems, be both reactive and proactive to ever changing situations, and achieve higher goals and aspirations. When it comes to issues of public safety and homeland security, all problems are local and problem solving and innovation is key to making any community safer.

What is the definition of community? To utilize the community-based planning process the community or communities involved must be defined. Some planning efforts center around a geographic area such as a neighborhood, city or county while others will take in a geographic area which is much larger such as a region that will encompass many other communities as part of the overall community-based planning process. Some things to consider when defining communities in terms of the planning process are geographic location, critical infrastructure, organizations, professional groups such as business, law enforcement, emergency management communities and so on, fields of interest such as public health or education, and culturally diverse groups. Some community-based planning efforts will involve a variety of communities. Selecting the key stakeholders and leadership from every community that will be affected and therefore should be at the table is critical to successful planning and implementation efforts.

Community-Based Planning and Homeland Security

An effective and comprehensive homeland security approach must build in the various communities that are at risk. This includes citizen, business, and private communities as well

as other government agencies. Many of the other communities that may be identified constitute potential targets for terrorist attack. These communities have a stake in how law enforcement, emergency management, fire, public health, and others prioritize potential targets, plan for prevention, and respond and use scarce resources. Equally important, these communities can bring skills, information, and other resources to assist homeland security planners and operational personnel to shape and implement comprehensive approaches, especially in the areas of target hardening and buffer zone protection.

An example of community-based strategic planning at the state level is the New Jersey Domestic Preparedness Task Force, which includes industry leaders from 24 key sectors within the state, is driving the public – private partnership to assess vulnerabilities, harden or increase physical security of facilities, develop protocols for voice/data communication, identify crisis response strategies, and provide for continuity of operations. The 2003 Task Force Annual Report provides detail of programs and initiatives in how the state is working with agriculture, biotechnology/ pharmaceuticals, media, chemical and research facilities, commercial buildings, utilities, health, petroleum, telecommunications and other industries to integrate the private sector into an operations strategy to prevent and respond to terrorism.

At the local level, involvement of citizens, businesses, and other private sector communities can be done in a productive and valuable way. For example, residents participating through formal public awareness programs or organizations, community-policing efforts, or “tip” lines can be invaluable sources for information on suspicious activities, can implement neighborhood-based prevention programs (i.e., crime/terrorism prevention through environmental design), and mobilize basic medical and protective security skills to augment those available from state and local governments. Programs like Neighborhood Watch, Volunteers in Police Service, Community Emergency Response Teams, and the Medical Reserve Corps, all under the Citizen Corps Program, engage citizens directly in homeland security operations. New Jersey has established 131 county and local Citizen Corps Councils to serve the entire state population. In addition, the New Jersey State Police is conducting its Corporate Outreach program which encourages local businesses to report either suspicious transactions or transactions with suspicious individuals that may be purchasing or renting lodging, cars, and other commodities that may be used for planning for a terrorist attack.

Many of these community-based programs originated through earlier “public safety” efforts to prevent and control crime. But the transition in their focus from “crime-fighting” to “terrorism-fighting” is an easy one and will provide value-added tools to existing counterterrorism efforts. Consequently, understanding and applying the principles of community-based planning will enhance the development of a comprehensive homeland security strategy.

Common Elements of Community-Based Planning

There are four essential elements or components of any community-based strategic planning process. The National Criminal Justice Association (NCJA) in conjunction with the Bureau of Justice Assistance (BJA) convened a group of criminal justice planning experts to concentrate on the common elements, which were identified as required for a true community-based approach to planning.

Element #1. Commitment to “bottom-up” planning

A. What is it?

- Dedication to assisting communities and local governments develop comprehensive strategies to respond to the problems and issues of terrorism and general public safety issues.
- Communities and local governments manage the community-based planning process. Local participants identify necessary services, gaps in delivery, and the specific public safety problems to be addressed. The communities also develop and implement action plans to address these identified problems and innovative measures.
- State administrative agencies support and facilitate community involvement through resources, training, and technical assistance.

B. Why is it important?

- Crime, counterterrorism, and other public safety problems impact locally, affecting individual citizens and communities directly.
- Strategies developed by local and community leaders will best respond to their fears and perceptions about public safety problems.

C. Who will be affected?

State agency officials will share control over the agenda-setting process. Further, local elected officials, public safety and counterterrorism practitioners, allied social service providers, and a variety of community leaders are engaged in and committed to the process.

D. Things to consider

1. **Local Strategy.** There are many elements of a community-focused planning process that are integral to its success.
 - Definition of the community. There could be several communities involved in a planning process. For example the homeland security and public safety communities, specific geographic regions, the business community and many others.
 - Identification of the communities' public safety concerns.
 - Conduct a needs assessment and gaps analysis. Utilize research and data-driven strategies to conduct problem identification and analysis and threat assessment.

- Generate a list of policy options, countermeasures, and tasks and objectives.
- Create and implement a plan to meet the jurisdiction's goals and objectives.
- Evaluate the effects of the plan in relation to the goals and objectives and correct course as needed.

2. Comprehensive and Coordinated Approach

- Broaden the scope of public safety and homeland security strategies by reaching out to other groups within the community, such as housing agencies, education and schools, human services, public health, transportation, businesses, and citizen advocacy groups.

3. Commitment at the State and Local Level

- State agencies should work with one another and foster meaningful relationships with officials at the local level to encourage the process.
- Local government and elected officials need to build relationships with community leaders and state agencies to ensure that the plan is implemented and "workable."

4. Flexible and Simple Process

- Keep important players engaged and the process of planning meaningful.
- Keep the process simple and minimize or eliminate duplicative effort.
- Incorporate enough flexibility into the process to ensure that key players are able to adapt the process to other issues that arise, so as to be immediately responsive to the citizens of the community and the jurisdiction.
- Identify local planning bodies whose efforts could be expanded to include homeland security planning and preparation. For example, communities that receive funds under the Emergency Response and Crisis Management Program of the Safe and Drug Free Schools and Communities Act (SDFSCA) are required to improve and strengthen emergency response and crisis management plans. These communities are required to integrate public safety, health, mental health and local government.

5. Recognize Community Diversity
 - Anticipate that each jurisdiction will have a different approach and response to community-based planning. Thus, information and training about community-based planning initiatives must be broad and adaptable to the wide variety of priorities and planning objectives held by different communities.

6. Research and Evaluation is Significant and Integral to Planning
 - Good resources are State Criminal Justice Statistical Analysis Centers (SACs), which are subsidized by the Bureau of Justice Statistics. Also, colleges and universities can be engaged to provide the analytical basis for planning. The Center for Community Safety at Winston-Salem State University is a good example of how a university has intentionally created an emphasis on this strategic problem-solving approach, linking academic researchers and university resources directly with local problem solving.

7. Models of Community Based Planning

Common Tasks:

 - Identify the community.
 - Gain “political” authorization.
 - Form key leaders into a team.
 - Analyze the problems and assess the threats with best available information and data.
 - Prioritize problems and threats to be addressed.
 - Review best practices and select strategies.
 - Implement.
 - Evaluate and correct.

Models Being Used:

 - Communities That Care (CTC)
 - Weed & Seed Approach
 - Strategic Approaches to Community Safety Initiative (SACSI)
 - Project Safe Neighborhoods
 - Safe Schools/Healthy Students
 - Community Anti-Drug Coalitions of America (CADCA)
 - Many of these models are naturally linked together and will be found in communities being implemented jointly.

8. Examples of States Committed to Community-Based Planning
 - North Carolina
 - Pennsylvania
 - Oregon
 - Minnesota
 -

Element #2. Creating the Capacity to Support Community-Based Planning

A. What is it?

Building capacity to support community-based planning at both the state and local levels ensures that the community-based planning process remains locally focused, becomes institutionalized, and continues as a priority of the community and government at all levels.

B. Why is it important?

Institutionalization of and commitment to community-based planning will allow the process to prevail, even when other external forces, such as available resources and political climates, inevitably change. This capacity contains three key ingredients:

1. Developing the skills, at all levels, to conduct and sustain community-based planning.
2. Creating a capacity and understanding of viable responses to various crime and terrorism prevention issues defined by the community.
3. Fostering the necessary relationships to sustain the planning process.

C. Who will be affected?

State and local government agencies, elected officials, local agencies and organizations, and community leaders will need a variety of tools to promote and develop this skill, program, and relationship capacity.

D. Things to Consider

1. **Skill Development.**
Training to local communities happens locally, and is adaptable to the community's needs. Communities decide how training and technical assistance is administered to meet the needs of their jurisdiction.
2. **Different Levels of Outreach and Information are Provided.**
Key players are provided with information on the benefits of community-based homeland security planning and "how-to's" on its implementation in order to foster support for the effort. Technical professionals who work within the system and the community, for example, will likely need more extensive training on coordination responsibilities; whereas local officials and citizens may only need enough information about the process for them to understand and support it. Different information must be developed for and readily accessible to all those involved.
3. **Core Competencies, or Skills are Necessary to Work with Communities.**
The skills necessary to "do" this job -- at all levels include having:

- Knowledge of a broad array of public policy issues such as critical infrastructure, transportation, criminal justice, threat assessment and how they contribute to the homeland security problems defined by the community.
- Arbitration and mediation skills.
- General planning skills.
- An ability to understand who are the “key players” in a community and ensuring that they are a part of the coordination effort.
- Community engagement skills focusing on partnerships.
- An understanding that legal and community factors are unique and will vary from state to state, city-to-city, and community to community.

The Pennsylvania Commission on Crime and Delinquency (PCCD) is an example of a state administrative agency that has made a significant investment in the skill and capacity building of its counties participating in the Communities That Care (CTC) program, which couples a risk-focused, delinquency prevention approach with community-based planning. In order to ensure that all communities who wanted to implement the CTC approach had the capacity to do so, the PCCD contracted with the state’s Center on Juvenile Justice Training and Research (CJJTR) to “train trainers” on the CTC approach. Specifically, the CJJTR has selected participants from 10 CTC sites to undertake a yearlong “trainer apprentice” program, which will certify them as CTC trainers in Pennsylvania.

4. Evaluation and Self-Assessment.

There must be an objective for engaging in a community-based planning process. Whatever the objective – counterterrorism, target hardening, buffer zone protection, control of precursor crimes or using limited resources more wisely -- the process should allow the participants to continually ask themselves “why are we doing this?” and retain enough flexibility to modify their approach to accommodate necessary changes and ensure their ability to meet their objective.

A broader-level assessment of a statewide initiative also is an important element to consider when developing broad-based approaches to planning. Evaluation efforts of this sort can be promoted in a number of different ways.

5. What Works.

Federal agencies concerned with homeland security, public health, education, and law and justice are disseminating information about research and “what works” that is being coordinated into a body of knowledge that is “usable” by the field. Distilling effective programs into easily understandable program descriptions that provide information on their replication and implementation is an effective way to market research and successful programs for incorporation into community planning efforts.

6. Relationship Development.
Create channels of clear, consistent, and ongoing communication between different levels of government and the community to ensure each element is working in tandem with the others to advance the “cause” of community-based planning. Improve or clarify existing intergovernmental and community relationships. Reach out to individuals or agencies that traditionally have not been “at the table” when discussions regarding domestic preparedness planning and approaches have taken place.

This deliberate communications outreach effort is present at all stages of the community-based planning process, from the very early days of the idea’s development and is ongoing. State leadership and prioritization on this issue ensures that the communications channels are created and maintained.

7. Intergovernmental/Community Relations.
Horizontal relationships, or reaching out to all agencies or groups working on issues that are homeland security enhancing is critical as well. In order for the effort to be truly comprehensive, action by local and private groups is made easier if the groups already have a shared mindset and are working collaboratively within the mutually agreed-upon framework of the community’s plan.

As with intergovernmental relations, communication of this nature may require reaching out to agencies and groups that have traditionally not been a part of decision making or planning on homeland security issues. It also will require a long-term commitment to this type of collaboration and the planning process that results.

8. Creating Victories.
Local officials must be able to respond immediately to the concerns of their constituents. This need to produce immediate results, at times, may be incongruent with the longer-term approach to policy that comprehensive, community-based planning requires. To keep local officials, practitioners, and citizens engaged, it is important to create short-term, immediate victories: brief win-win situations for all players involved so that they see the immediate benefit of their collaboration.

Element #3 Process Should Be “Key Stakeholder” Driven

A. What is it?

Many actors at the community level and all levels of government need to be aware of the benefits of community-based planning initiatives and support their implementation to ensure that the effort is successful.

B. Why is it important?

All of these stakeholders must have access to information regarding community-based planning and believe -- to sustain their involvement -- that the process will either benefit them individually or better the community as a whole. This, like creating an infrastructure to support the planning process, will foster long-term commitment and institutionalization of collaboration among agencies on public safety and homeland security issues.

C. Who will it affect?

It is critical to identify and define "key stakeholders" -- officials and groups from all levels of government that should be involved, including:

- Those living the problem – homeland security officials at the local level and local residents or businesses.
- Those with access to power – state and local elected officials, funders, and policy and decision-makers.
- Possessors of technical knowledge – those with domestic preparedness backgrounds, planning and community mobilization skills, access to information and training about planning, threat assessment, target hardening, buffer zone protection etc.
- Local investors – other groups and individuals with access to material resources whose support is necessary to the initiative's success and implementation, such as the business community, civic groups, and state and federal lawmakers.

D. Things to Consider.

1. Information Access.

To promote and sustain community-based planning approaches, information and training must be developed and disseminated to the key stakeholders involved in the process. This information access must go beyond the initial plan and take the form of ongoing support and technical assistance to localities and community leaders. This includes the creation of forums where communities developing and implementing initiatives of this nature can come together to share information about the elements and factors that have enhanced and impeded the creation and implementation of the community-based plan.

For example, in the middle district of North Carolina five different cities have been involved in community-based planning around the issue of violence reduction. Two to three times per year, these communities come together for joint training sessions, sharing what works and what does not, building networks across practitioner lines, data-gathering workshops, and so on. These efforts have been led by the U.S. Attorney's Office and the Center for Community Safety at Winston-Salem State University.

Another example is the UASI region of New Jersey where after completing this strategic planning training program, the county work groups in that

region continue to meet, share information and resources and coordinate their planning efforts on a regional basis.

2. Importance of Leadership.

- a. State Officials -- A commitment from key state officials such as legislators, the attorney general, and the governor is critical to this implementation. If legislators are on board, the legislation they craft can be implemented consistently with the longer-term goals and objectives of a community-based planning approach. The governor's prioritization of these efforts helps state agencies work together to blend the funding streams that they administer so that communities are better able to plan comprehensively, across traditional categorical boundaries. The attorney general can provide the impetus for coordination and communication and for blending funding streams if that is part of the responsibilities of that office.
- b. Local Officials -- The need for leadership at this level is perhaps the most broad. Not only do local elected officials need to be on board with respect to their decision-making and funding decisions and how they could shape a community-based plan, but local-level agency officials -- both domestic preparedness agencies and allied organizations -- must be committed to and strong advocates for collaborating on this issue.
- c. Community Leaders -- Community leaders must be willing to come together and share power and responsibility for setting community priorities on a broader, more comprehensive level. This commitment must be sustainable as well.

Element #4 Ability to Coordinate and Leverage Resources

A. What is it?

Combining funding streams and other resources into one fund upon which the community may draw is important in changing the manner in which grants from the states are perceived by local agencies, and to diminish the categorical nature of existing public safety grant programs. Using the community-based planning process to implement change at the local level necessitates leveraging and coordinating resources rather than planning to funding streams or priorities set by the funders or officials not part of the jurisdiction.

B. Why is it important?

This integration is important for a number of different reasons. The more categorical nature of current funding streams somewhat precludes the need for planning by pre-selecting the applicant's priorities, based on the programs and initiatives the grant program supports. The planning exercise is less meaningful when the priorities are already determined. Existing funding programs also foster categorical approaches to agency staffing and may impede

communication between agencies. Making funding streams more fungible -- those that originate at both the state and local level -- is a critical element of making the planning process one of value and mitigating barriers to interagency communication, at all levels of government

C. Who will it affect?

Primarily, the integration of funding streams suggests a new role for state administrative agencies. These agencies must change their strategies to look first at identified problems and solutions and then determine how to support these solutions with the resources available to them. They should provide or ensure access to continuing training, information, capacity building for the community-based planning process; create opportunities for communities and local officials from different jurisdictions to come together and share experiences; and seek to make resources more accessible to communities and funding streams more fungible.

D. Things to Consider.

1. Incentives.

For government officials, it is important to consider creating incentives to promote community and local collaboration and the planning process. These incentives may be the most effective if they are tied to funding streams, at least in the beginning. However, to make collaboration a condition of funding there are other essential pieces that must be in place, such as leadership from key officials and technical assistance and training at the outset to ensure that localities and communities are ready to begin working together successfully.

2. Turf.

A significant potential barrier to implementing community-based planning initiatives is territorial integrity, or the need to protect the responsibility or the funding stream that traditionally has been under the auspices of a single agency or individual. Shifting to a manner of planning where the responsibilities and corresponding funding streams are more fungible and less categorical will necessarily require that individuals work more closely together and share power and responsibility.

This issue should be one that those who are leading the community-based planning effort accept as a barrier to its implementation. Finding ways to make community-based planning similar to a "ropes course" -- where agencies and players agree to need each other and work together in the short term to make constructive changes for the long term -- is an important element in overcoming these territorial issues.

Making Collaborations Part of the Homeland Security Effort

The term collaboration means working together in a meaningful and shared capacity with a well-defined relationship. Groups or persons often enter into a collaboration to achieve results that they are more likely to achieve working together than working alone.

Collaboration does not happen automatically. It will improve the outcome of most planning efforts.

The term “collaboration” is often used interchangeably with terms such as “networking,” “cooperation,” and “coordination.” The box following this section shows many other “joint effort” terms. Chris Huxham, in *Creating Collaborative Advantage*, provides a definition of these terms and makes clear how collaboration is different from the others.

- **Networking**—exchange of information for mutual benefit.
- **Coordination**—exchange of information and altering of activities for mutual benefit and to achieve a common purpose.
- **Cooperation**—exchange of information, altering of activities, and sharing of resources for mutual benefit and to achieve a common purpose.
- **Collaboration**—exchange of information, altering of activities, sharing of resources, and enhancement of the capacity of another for the mutual benefit of all and to achieve a common purpose.



Joint Efforts—A Word by Any Other Name

Joint efforts go by many names. If all members agree on a higher level of intensity of work, many of these efforts can be collaborations whatever they're called. At the same time, the group, however it is named, can be very successful, even though working less intensely. Two elements are crucial to successful joint efforts: everyone must agree on the level of intensity and the level of intensity must be appropriate to the desired results. Here are some names for joint efforts.

- **Advisory Committee:** provides suggestions and assistance at the request of an organization.
- **Alliance:** a union or connection of interests that have similar character, structure, or outlook; functions as a semiofficial organization of organizations.
- **Coalition:** a temporary alliance of factions, parties, and so on for some specific purpose; mobilizes individuals and groups to influence outcomes.
- **Commission:** a body authorized to perform certain duties or steps or to take on certain powers; generally appointed by an official body.
- **Competition:** the act of seeking to gain that for which another is also striving; rivalry; a contest; nonetheless a form of joint effort.
- **Confederation:** being united in an alliance or league; joining for a special purpose.
- **Consolidation:** combining of several into one; usually implies major structural changes that bring operations together.
- **Consortium:** association; same as alliance.
- **Cooperation:** the act of working together to produce an effect.
- **Coordination:** working to the same end with harmonious adjustment or functioning.
- **Federation:** the act of uniting by agreement of each member to subordinate its power to that of the central authority in common affairs.
- **Joint Powers:** the act by legally constituted organizations (such as governmental agencies or corporations) of assigning particular powers each has to a mutually defined purpose; a written document, called a joint powers agreement, spells out the relationship between the groups.
- **League:** a compact for promoting common interests; an alliance.
- **Merger:** the legal combining of two or more organizations; the absorption of one interest by another.
- **Network:** individuals or organizations formed in a loose-knit group.
- **Partnership:** an association of two or more who contribute money or property to carry on a joint business and who share profits or losses; a term loosely used for individuals and groups working together.
- **Task Force:** a self-contained unit for a specific purpose, often at the request of an overseeing body, that is not ongoing.

Components of an Effective Collaboration

There are at least nine components of an effective collaboration. Without each component there is a negative impact on the effectiveness of the collaborative effort. To be effective collaborations must have:

1. Stakeholders with a vested interest in the collaboration.

Without stakeholder involvement there is no chance for collaborative problem solving or other community initiatives.

2. Trusting relationships among and between the partners.

Without trust there will be hesitancy to work together as a team. People will hold back and be reluctant to share talents, time, and resources.

3. A shared vision and common goals for the collaboration.

Without a shared vision, there will be disorder. A shared vision brings focus to the team. A lack of agreed-upon focus allows team members to pursue conflicting agendas.

4. Expertise.

Without expertise, there will be apprehension. It is frustrating to know what should be done but not have the talent within the team to accomplish the goal.

5. Teamwork strategies.

Without teamwork (i.e., joint decision-making, joint responsibility, and shared power), there will be fragmented action. Secretary of State Colin Powell has been quoted as saying, "The best method for overcoming obstacles is the team method."

6. Open communications.

Without open communications, there will be disorganized and un-informed partners. Information must be freely and regularly shared for a team to function collaboratively.

7. Motivated partners.

Without motivators, there will be slow progress toward the goal. Motivators prevent apathy, keep the partners interested, and sustain involvement.

8. Means to implement and sustain the collaborative effort.

Without sufficient means, there will be discouraged team members. If the project is larger than the resources available, it is easy for partners to fall into a "what's the use?" frame of mind.

9. An action plan.

Without an action plan, there will be a lack of focus. An action plan is necessary to guide the team and serves as a means of accountability.

Collaborations in Homeland Security

Collaborations are occurring at every level among governments and between public and private organizations. For example, the New Jersey Department of Law and Public Safety is working closely with the Police Institute at Rutgers Newark to support a multi-state consortium of public safety and homeland security senior policy representatives to focus on the intersection of crime and terrorism. This I-95 Consortium provides a venue to share

trends in precursor crimes that may lead to acts of terrorism (i.e., coupon fraud, identity theft), modus operandi behind these crimes, and best practices to prevent, detect, and investigate terrorism. In the northeast sector of New Jersey, homeland security agencies from this regional area are starting a collaborative planning effort and looking for ways to enhance mutual aid agreements, share resources, and develop joint approaches to respond to terrorism. Although these examples of collaboration are not as mature as those found in traditional criminal justice arenas, they are representative of a growing trend to take advantage of available resources, skills, and expertise.

Collaboration and Diversity

In any collaborative effort, the power of the collaboration can best be measured by the diversity or heterogeneity of those who are doing the planning. If the diversity of the entire community is represented, the product will reflect the values of the entire community. If just one segment of the community is included, then the planning effort will represent only that segment of the community.

A useful guide to coalition building, including a chapter on building unity across ethnic, religious, and class divisions is *The Art of Coalition Building: A Guide for Community Leaders* (American Jewish Committee, Publications Department, New York, ph. 212-751-4000).

Identifying and Analyzing Problems

Objectives

By the end of this session participants will be able to:

- List methods for measuring and documenting problems and factors to consider for prioritizing problems in a homeland security environment
- Identify and articulate homeland security problems in their community
- Identify data and information sources to confirm the identified community problems
- Describe problem analysis, in particular threat assessment
- Identify a variety of analysis tools for problem solving
- Compare different methods for displaying results of analysis (reports, charts and maps)
- Interpret results from application of analysis tools

Challenges of Identifying and Analyzing Problems in the Homeland Security Environment

The challenges to protect the social, political, and economic systems against terrorism are enormous and resource intensive. Critical to developing a comprehensive, yet realistic, strategy to meet these challenges are: identifying and prioritizing targets within each jurisdiction, coordinating with federal, state, and other local units of government, along with business and private organizations to achieve economy of effort, and making hard decisions about where to focus attention.

One of the lessons learned within the homeland security community is that “if one tries to protect everything, nothing gets protected.” New Jersey is a target rich environment, given its industry, population, and financial infrastructure. Therefore, identifying and assessing its vulnerabilities are critical steps in building a solid homeland security strategy. The Office of Domestic Preparedness (ODP) has prepared a “Jurisdiction’s Assessment Handbook” that helps consider and identify risks, vulnerabilities and threats, along with conducting a needs assessment of a jurisdiction’s homeland security environment.

But risks, vulnerabilities and threats are not the only “problems” encountered when defining priorities and developing approaches. The process of problem identification and analysis also relates to management issues – for example, ensuring training skills are current among homeland security personnel; validating that equipment procurement and deployment are occurring as scheduled/needed, and overcoming “turf” issues when developing mutual aid agreements.

Identifying Problems

1. Describe the Extent and Nature of the Problem.

The first step in identifying problems is to describe the extent and nature of the problem, including a problem that a program is intended to address. Sound strategic planning and program development requires a thorough understanding of the problem. The process of describing and documenting the problem serves two important functions.

- It helps identify the target, and appropriate measures and actions to be taken to address the problem.
- It points to the goals and objectives the strategic plan should seek to achieve, and may provide some of the baseline data needed to determine if the action taken is meeting them.

2. Distribution and Density Measures.

Distribution and density measures are helpful tools for describing the size of a problem and its geographic and demographic location. Some definitions are helpful in understanding the types of measurements that may be helpful to consider.

Incidence is a measure of the number of new occurrences or cases in a given time period in a given geographic area; for example, the number of identify fraud cases or financial crimes in a given jurisdiction that occurred in 2003.

Prevalence is a measure of the total number of cases that exist at any single point in time in a given geographic area; for example, the total number of fraud cases in a specific jurisdiction on January 1, 2003.

Distribution is a measure of how occurrences or cases are spread across various demographic or geographic subgroups. For example, of all fraud cases, the percentage that occur among various racial/ethnic or socio-economic groups; or, of all fraud cases, the percentage that occur in particular geographic locations. Distribution measures are particularly helpful for identifying potential target populations. Targets are where a program's planning, prevention and services are to be focused.

Summary: Documenting the Problem

- **Incidence** is the number of new occurrences or cases in a given time period in a given geographic area.
- **Prevalence** is the total number of cases that exist at a single point in time in a given geographic area.
- **Distribution** is a measure of how occurrences or cases are *spread across* various demographic subgroups or across a given geographic area.

A thorough understanding of the problem is critical for identifying targets and determining appropriate action strategies. Knowledge about the problem also provides the context for specifying a program's theory of action. Clearly defined problems also are the basis for clear strategic planning goals and objectives.

3. Distinction Between Identifying and Analyzing Problems.

A distinction must be drawn between **identifying** problems and **analyzing** them. This distinction is important because too often, task forces or work teams created to solve problems combine the identification and analysis into one step, shortchanging the **thinking** behind both elements. In simple terms, the identification stage is used to sort through a variety of potential problems and select priority problems or areas on which to focus. Analysis is about asking questions about the problem, gathering information from a variety of sources, and interpreting the results. Analysis is an "in-depth" probe of all characteristics of a problem and the factors that contribute to it.

Methods to Identify Problems

Problems may come to the attention of agencies and communities in a variety of ways. Generally, two approaches are taken as described below.

- **Environmental Assessment or Scan.** A community or agency may be applying for grant funds and be required to identify the most pressing preparedness problems. To respond to this requirement, there is a need to conduct a broad assessment of environmental conditions to obtain feedback and evidence of the existence of specific problems, and then prioritize what will be worked on.
- **Anecdotal Problem Identification.** In this type of approach official records show that a problem exists, but it needs to be documented more thoroughly. Here are some examples of the official data that may alert your homeland security community to problems.
 - Lack of protocols among first responders when addressing an event within the first 3 hours
 - Response time of first responders, either individually or collectively
 - Investigations of "financial" and other precursor crimes may be linked to potential terrorist activities
 - Information from citizens and businesses that suggest meetings being held at unusual hours and attended by unknown individuals

Problem identification also involves **prioritizing problems**. Once the problems are clearly identified and articulated, analysis can begin to determine the who, what, when, where, why, and how characteristics of the problems. However, there will generally be more problems to address than resources allow. Thus, some type of priority scheme needs to be developed to weigh the factors and decide priorities. Some factors that could be considered include:

- Impact of the problem on the community—fear, life-threatening conditions
- Cost of the problem— first responder time; property damage/loss

- Community support to deal with the problem
- Priority given by key stakeholders to dedicate resources
- Potential for solving the problem

All problem identification involves obtaining data. For homeland security problems, know what information is maintained at what levels of government. Sources for problem identification data are presented later in this session and a list of resources is provided with the course materials.

Risk Assessment in Response to the Terrorism Threat

Identifying risks in response to the terrorism threat is comprised of three components:

1. Likelihood of an attack (potential high threat targets)
2. Vulnerability (likelihood of success of an attack)
3. Consequences (if the attack is successful, the magnitude of damage)

Terrorists choose their targets based on the attractiveness of the target:

- Maximum damage to property
- Maximum casualties
- Maximum disruption of infrastructure
- Maximum panic/fear instilled in population
- Maximum media coverage
- Maximum potential for success

Potential targets include:

- Emergency responders
- Essential services
- Government office buildings
- Mass transit facilities
- Public buildings and assembly areas
- Communications and utilities
- Industrial plants
- Nuclear power plants
- Water supplies
- Schools

Current terrorist profiles suggest:

- There is less concern about getting caught or avoiding death and injury
- Women and children are as likely to be attacked
- Improvised explosives are often the weapons of choice
- Maximum media coverage and the promotion of fear are important goals

Most Vulnerable Targets:

- Transportation facilities
- Emergency responders
- Assembly areas
- Schools

Targets with Greater Consequences:

- Mass Transit Systems
- Communications and Utilities
- Food and Water supply
- Nuclear facilities
- Petrochemical facilities

Setting Priorities:

- Balancing investments to manage risks
- Developing local threat profiles to help drive decision-making
- Capabilities planning and analysis

Baseline Capabilities:

- Develop a range of scenarios that reflect the range of threats and the likelihood of those threats occurring
- Determine the personnel and non-personnel requirements to respond these scenarios
- Compare these resource requirements with existing resources
- Determine delta (gap)
- Balance needs with available resources
- Make the strategic investments to maximize impact on security

Problem Analysis

There is not a simple approach to analyzing a problem. Each problem presents a unique set of circumstances and requires attention to those particular elements. Analysis is about asking questions about the problem, gathering information from a variety of sources, and interpreting the results. Analysis is an “in-depth” probe of all characteristics of a problem and the factors that contribute to it. For example, acquiring detailed information about:

- Individuals affiliated with organizations that support terrorism either through planning, financing, and/or action
- Others who may be involved
- Locations and other particulars about the physical environment
- History of the problem
- Motivations, gains, and losses of all parties involved
- Apparent (and not so apparent) causes and competing interests

- Results of current responses

Analysis includes both data collection and interpretation. The data collection should be completed in a well-planned manner. The data collection should not be a fishing expedition or a means to summarize the problem. Interpretation of the data (drawing inferences) is the part that is often overlooked. (Goldstein 1990)

The United Kingdom's Home Office provides problem toolkits at www.crimereduction.gov.uk/toolkits. The COPS Office provides a problem-solving guidebook at www.usdoj.gov/cops/cp_resource/pubs_ppse/e08011230.pdf. These tools are crime-specific but provide insights into successful problem solving for homeland security officials. In fact, the United Kingdom has emphasized the integration of "crime prevention" techniques and methods directly into its homeland security strategy.

Also available is the Office of Domestic Preparedness (ODP) document titled, 'A Jurisdiction's Assessment Handbook' that helps consider and identify risks, vulnerabilities and threats, along with conducting a needs assessment of a jurisdiction's homeland security environment.

Using Analysis to Understand the Problem

Analysis can identify relationships of the elements, enumerate a "hunch," quantify qualitative results, examine causation, measure correlation, examine environmental influences, provide information to formulate effective responses, and provide baseline data for assessment.

Once a problem or problems have been identified, preliminary statistical analyses should be conducted. Ask informed questions. What would be important to know about the potential victims, terrorist suspects, and possible locations? These do not have to be scientifically statistical questions, but perhaps more importantly: how likely is the attack – what are the potential high threat targets, what is the vulnerability or the likelihood of success of an attack, and what would be the consequences if the attack is successful what will be the magnitude of damages. This is used to define the scale and scope of the problem and to define the elements.

Data Collection

Although initial data collection should be done with existing data (such as statistical analyses of relevant precursor crimes, arrests, suspicious persons, the questions should not be limited to answers found in readily available data resources. Pursue non-traditional data sources that might provide better insight into the problem, such as demographics (census data) or code compliance/disorder complaints (abandoned vehicles, zoning violations). In any thorough analysis, there should be time and effort devoted to primary data collection. Also, be sure to maintain a systematic approach and stay focused. Certain means of data collection (non-intrusive measures such as existing data and observations) should be done before others (obtrusive measures such as surveys and interviews). Typically, non-intrusive measures can be replicated and expanded; surveys can usually be done only once. (Weisel 2002).

Develop the analysis questions using a team approach and brainstorming. Different stakeholders will bring different perspectives to the table and not only have different questions but be able to provide more answers. In practical terms, the analytical sequence should consist of:

Analyze and identify problems and potential high threat targets by considering 1) the attractiveness of targets; 2) the vulnerability of potential targets; and 3) the consequences of the attack including magnitude and types of “damage” if an attack is successful.

Importance of Interpreting Results

Data, through analysis, can be turned into valuable information if there is a means to evaluate the results. The results are used to compare statistics to those of a larger unit or to past experience of other jurisdictions or from exercises. It is useful to answer the question, *what's a lot?* Is it a majority, statistically significant, or what is important to the community? It is necessary to go beyond collecting the data and reporting the results; inferences should be drawn. Analysis is an iterative process. Determine what questions have been answered and which remain unanswered. The problem is often redefined after some of the analysis is complete. [For an interesting discussion of analysis, see M. K. Sparrow (1994), “Redefining Analysis,” Chapter 4 in *Imposing Duties*. Westport, CT: Praeger Publishers.]

Tools to Analyze the Problem

Use tools to define the problem and determine the root cause of the problem. A *potential* problem has been identified. The analysis (answers to the questions) will define the *real* problem. Use only the tools that answer the questions that were asked. Every tool should not be used for every problem all the time.

The following tools are discussed: statistical analysis, background development, community surveys, interviews/focus groups, observations (of behavior/activity), environmental/site survey, geographic/spatial analysis, and exercises. Some tools are more obviously quantitative. The data for qualitative tools can be quantified through coding and counting.

An overview of data and tools for community-based problem solving can be found in P. A. Tatian (1999), “Indispensable Information—Data Collection and Information Management for Healthier Communities,” *National Neighborhood Indicators Partnership*, Urban Institute available online at <http://www.urban.org/PeterATatian>.

1. Statistical Analysis

Statistical analyses are used to look for trends and prevalence, classifications, and explanatory patterns. Does a relationship exist between characteristics, and if so, how strong is the

relationship? It is a way of breaking down the data temporally (i.e., time of day, day of week, month or season) and spatially (i.e., neighborhood, block, school, park). It is used to quantify relationships in the data and create baseline measures. It aids in deciding the magnitude of the intervention and whether the problem is substantial enough to warrant a major effort. This analysis should be conducted first to support or refute the "hunch" on the problem. The most common data that is initially analyzed are calls for service, crimes, arrests, demographics, and other readily available numbers. But statistical analyses should not be limited to only this data. Spreadsheets, databases, or statistical programs can be used for the analysis.

Preliminary statistical analyses provide "descriptive statistics." These include measures of centrality to describe the typical observation in data (mean, median, mode) and measures of dispersion to describe the spread of the data (range and standard deviation). When doing analysis, it is often helpful to convert raw numbers to rates per population. (E.g., burglaries per housing unit or assaults per 1,000 residents). In addition, control charts can be used to show significant changes in rates of occurrence.

2. Background Development

Background development should begin after the statistical analysis reveals a problem. This tool includes doing internal (to the department) and external research. This research involves talking to people, conducting Internet searches, and performing literature reviews. Look at what others have done. Do not just copy or overlay information onto the problem under analysis, but use these tools for ideas and further research. Be sure to relate research to analysis being done on this problem.

3. Community Surveys

Community surveys target a large audience. The goal of a survey is to gain a general understanding of a problem. It can be broad (in initial data collection) or focused on an already identified potential problem. They can be done via mail (e-mail), telephone, or in person (door-to-door).

Some good survey resources include:

- *A Police Guide to Surveying Citizens and Their Environment*, U.S. Department of Justice, Bureau of Justice Assistance, Washington, DC 1993.
- *Developing and Using Questionnaires*, U.S. General Accounting Office, Program Evaluation and Methodology Division, Washington, DC; 1993.
- *Using Structured Interview Techniques*, U.S. General Accounting Office, Program Evaluation and Methodology Division, Washington, DC; 1991.
- *Evaluating Juvenile Justice Programs: A Design Monograph for State Planners*, U.S. Department of Justice, Office of Juvenile Justice and Delinquency Prevention, Washington, DC, 1989.

4. Interviews and Focus Groups

Interviews and focus groups target a smaller, more specific audience. They provide an opportunity to gather problem-relevant information using a one-on-one, or one-with-a-few format. They are conducted with an identified group (from the offenders, victims, managers, bystanders, etc.). Participants may fill in a written instrument or participate in a brainstorming format.

5. Observations

Observations are defined as watching and recording activity of specific people and locations involved in problems. This tool is especially useful in crimes that are underreported or difficult to track because it helps to document and define the extent of the problem. The people conducting the observations should have a defined mission or defined questions with open-ended responses, not just random observations.

6. Environmental/Site Survey

An environmental or site survey uses a structured instrument to assess the built and natural environment. They help to identify physical conditions that facilitate the problem focusing on the location or "the where" component of the problem. These surveys are used to examine characteristics such as lighting, access, conditions of structures, and security. Some examples of environmental clues include disorder indicators (e.g., abandoned vehicles, graffiti, or vandalism) and public spaces (e.g., schools and parks). Results of the survey may determine why this location may be more prone to crime than other similar locations.

7. Spatial/Geographic Analysis (GIS)

Spatial analysis is the examination of WHERE things are and WHY they are located there. There are several advantages to including a spatial analysis because it is driven by where things happen. For example, instead of grouping incidents by some police or jurisdictional boundary, examine how they are patterned across space. This means that incidents along the boundary of two areas can be recognized as a cluster. For instance, if statistics for a jurisdictional boundary are analyzed, the pattern of incidents surrounding a park or school might be missed.

There are many types of spatial analysis. Pattern analysis includes point patterns, concentrations of incidents and area patterns, and a comparison of rates across areas. Two additional types are buffers and network connectivity. Buffers allow the creation of a statistical analysis for a custom area, such as around a location, block or area. For example, look at drug arrests around a school. Network connectivity examines the types of roads and the locations of informal pathways and other environmental factors.

For a good introduction to geographic analysis, see K. Harries, *Mapping Crime: Principle and Practice*, National Institute of Justice, Washington, DC, 1999. Useful resources are also available from the Crime Mapping Research Center at www.ojp.usdoj.gov/nij/maps/.

8. Exercises

Since the incidence and prevalence of terrorist attacks in the United States has not reached substantial numbers, one of the ways data can be collected is through the use of exercises. These exercises are developed around hypothetical situations which have a highly probability of occurring and give all participating agencies and personnel the opportunity to practice and test out possible strategies and actions to prevent, deter, and mitigate damages in the event of a terrorist attack. After the conclusion of exercises, a “hot wash” or in-depth review of what happened, how things went and what needs improvement will provide some data and information regarding the problems facing a particular jurisdiction, agency, and the planning process.

How to Present the Results of the Analysis

The two most important things to remember when presenting the results of an analysis are: (1) know the audience, and (2) display results in response to the questions asked.

Who is the audience – homeland security officials? Community leaders? Budget staff? Researchers? What do they need and what are they looking for? All data can be displayed in a variety of formats. Pick the type of data display that is appropriate for the purpose of the presentation. For any data display, the information should be laid out logically, clear labels should be used, and a data source included.

- **Tables** are best for conveying exact numbers.
- **Pie charts** are best for showing how a phenomenon is split among its parts.
- **Bar charts** are best for showing relative quantities.
- **Line graphs** are best for showing change over time.
- **Link charts** are best for showing complex associations.
- **Maps** are best for showing geographical patterns or explaining how things are related in space. Essential elements on map presentations are the map itself, title, legend, scale bar, and north arrow.

For more information, see E. R. Tufte (1983), *The Visual Display of Quantitative Information*. Cheshire, CT: Graphics Press; E. R. Tufte (1997), *Visual Explanations*. Cheshire, CT: Graphics Press; and E. R. Tufte (1998), *Envisioning Information*. Cheshire, CT: Graphics Press.

Interpreting Results

Now that data has been viewed in a variety of formats, what is it saying? Interpreting results helps answer the correlation, causation, and other questions. It often also means asking additional questions based on results.

VISION, MISSION, GOALS, AND OBJECTIVES

Vision Statement

Starting with a *vision* of what the expected long-term conditions or results will be, a strategy is developed to specify how it will be achieved (i.e., the approach to achieving the new condition or results). Vision statements must be shared, challenging, and aim to the future.

Mission Statement

Mission statements may also be crafted, after the vision has been agreed to, as a means of developing a more concise strategy. The mission statement defines a more detailed purpose of the project, problem to be solved, or organization. The mission statement explains how the problem will be addressed through such an initiative but also in broad terms.

Strategic Direction

Now that the vision and mission have been defined, a strategy needs to be developed. "Strategies are broad, overall priorities or directions adopted by an organization: strategies are choices about how best to accomplish an organization's mission." The strategy provides parameters for developing the goals, objectives, activities, and action steps.

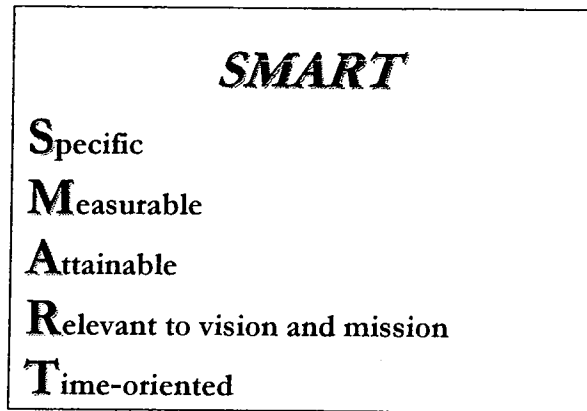
Goals and Objectives

Goals are the ends toward which a program or problem solution is directed. Goals are outcome statements to guide implementation of the strategy (i.e., the tactics of what is planned to be done). While goals tend to be general or broad and ambitious, they also must be clear and realistic in order to clarify the team's direction and gain support of other stakeholders.

Objectives are more detailed than the goals and explain how goals will be accomplished. Objectives detail the activities that must be completed to achieve the goal.

An example of a goal is—to successfully reintegrate released offenders back into society by severing ties with gangs. The objectives might be: (1) develop anti-gang campaign and (2) 50% of offenders will sever ties with gangs in the first year. The goal is a broad statement of a condition that would be changed, one that many community members could identify with. The objectives then provide much more specific direction and approaches. The objectives are measurable and realistic.

An acronym, **SMART**, is often used to remember how to develop good goals and objectives.



Tasks and Action Steps

Tasks and action steps are the detailed and specific steps to ensure implementation of the objectives. Some planners use the term program or problem solving *activities*. Tasks and action steps set out the following details:

- What needs to be done.
- Who will do it.
- When does it need to be done by.

Action steps are action-oriented activities. They are the steps through which objectives are achieved and programs carried out. Multiple action steps typically are required to accomplish a single objective. Action step descriptions should be distinct and specific enough to document the sequence of a program's or plan's operations and facilitate the identification of any implementation problems.

For example:

- Develop a conflict resolution skills building curriculum.
- Establish a formal agreement with XYZ high school to use the curriculum.
- Train XYZ high school teachers on use of the curriculum.

Tasks and action steps help the planning team secure commitments from collaborative partners and other stakeholders in terms of assigning resources (staff, equipment, facilities, funds, etc.) to solve the problem or implement the program.

Developing Strategic Plans

Objectives

At the end of this session participants will be able to:

- Identify and discuss plan elements, logic models, and details of documenting plans.
- Use research, data, and best practices in strategy development.
- Identify barriers to change in advance.
- Use the SWOT approach to determine how identified weaknesses and threats can become strengths and opportunities.
- Explain the role of collaborating partners in strategy development.

What is Strategic Planning?

I skate to where the puck will be.

--Wayne Gretsky

Strategic planning is the process of developing a direction for the future and detailing how to get there—how to reach a vision, how to solve a problem, how to implement a program or project.

While strategy includes a lot of detailed plans, choices, and decisions, it is a simple concept. The details are the tactics for getting a job done and strategic planning is simply the chosen approach to do a job. Strategy is a focus for activities that lead a team or organization in one direction or another so that making choices about tactics and about how to implement them are clear.

George A. Steiner writing in *Strategic Planning: What Every Manager Must Know* made several important observations about planning in not-for-profit ventures. He explained:

“First, the primary benefit of the planning process is the process itself and not a plan. Planning is more a way of thinking than a set of procedures...This does not mean that individual plans are unimportant but rather that **the process is more important than specific plans**...there are different preferred approaches to completing the many stages of the planning process. There is no one way to do strategic planning...the basic objective of planning is to develop appropriate strategies to adapt an organization to its environment and then make current decisions to implement the strategies.”¹

There is no perfect strategic planning model for each community or organization. Each organization ends up developing its own nature and model of strategic planning often by selecting a model and modifying it as they go along in developing their own planning process. The following models provide a range of alternatives from which communities and organizations might select an approach and begin to develop their own strategic planning process. Note that an organization might choose to integrate the models, e.g., using a scenario model to creatively identify strategic issues and goals, and then an issues-based model to carefully strategize to address the issues and reach the goals.

The following models include: “basic” strategic planning, issue-based (or goal-based), alignment, scenario, organic planning, and appreciative inquiry.

Model One - “Basic” Strategic Planning

This very basic process is typically followed by organizations that are small, busy, and have not done much strategic planning before. Top-level management often carries out planning in this model rather than using a community-based planning approach. The basic strategic planning process includes:

1. Identify the organization purpose (mission statement). This is the statement(s) that describes why the organization exists, i.e., its basic purpose. The statement should describe the types of communities and what needs and services will be provided. In this model, the top-level management would generally develop and agree on the mission statement. The statements will change somewhat over the years.
2. Select the goals the organization must reach if it is to accomplish the mission. Goals are general statements about what needs to be accomplished to meet the purpose or mission, and address major issues facing the organization.
3. Identify specific approaches or strategies that must be implemented to reach each goal. The strategies are often what change the most as the organization eventually conducts more robust strategic planning, particularly by more closely examining the external and internal environments of the organization.
4. Identify specific action plans to implement each strategy. These are the specific activities that each major function (for example, department, agency, etc.) must undertake to ensure it’s effectively implementing each strategy. Objectives should be clearly worded to the extent that people can assess if the objectives have been met or not. Ideally, the top management develops specific committees that each have a work plan, or set of objectives.
5. Monitor and update the plan. Planners regularly reflect on the extent to which the goals are being met and whether action plans are being implemented. Perhaps the most important indicator of success of the organization is positive feedback from the organization’s customers.

Note that organizations following this planning approach may want to further conduct step 3 above to the extent that additional goals are identified to further develop the central operations or administration of the organization, e.g., strengthen financial management.

Model Two - Issue-Based (or Goal-Based) Planning

Organizations that begin with the “basic” planning approach described above, often evolve to using this more comprehensive and more effective type of planning. The following summary depicts a rather straightforward view of this type of planning process. This model will be the focus of recommendations for use as the preferred process in community-based

planning efforts. Note that an organization may not do all of the following activities every year.

1. External/internal assessment to identify “SWOT” (Strengths and Weaknesses and Opportunities and Threats).
2. Strategic analysis to identify and prioritize major issues/goals.
3. Design major strategies (or programs) to address issues/goals.
4. Design/update vision, mission and values (some organizations may do this first in planning).
5. Establish action plans (objectives, resource needs, roles and responsibilities for implementation).
6. Record issues, goals, strategies/programs, updated mission and vision, and action plans in a Strategic Plan document, and attach SWOT, etc.
7. Develop the yearly Operating Plan document (from year one of the multi-year strategic plan).
8. Develop and authorize Budget for year one (allocation of funds needed to fund year one).
9. Conduct the organization’s year-one operations.
10. Monitor/review/evaluate/update Strategic Plan document.

Model Three - Alignment Model

The overall purpose of the model is to ensure strong alignment between the organization’s mission and its resources to effectively operate the organization. This model is useful for organizations that need to fine-tune strategies or find out why they are not working. An organization might also choose this model if it is experiencing a large number of issues around internal efficiencies. Overall steps include:

1. The planning group outlines the organization’s mission, programs, resources, and needed support.
2. Identify what’s working well and what needs adjustment.
3. Identify how these adjustments should be made.
4. Include the adjustments as strategies in the strategic plan.

Model Four - Scenario Planning

This approach might be used in conjunction with other models to ensure planners truly undertake strategic thinking. The model may be useful, particularly in identifying strategic issues and goals.

1. Select several external forces and imagine related changes, which might influence the organization, e.g., change in regulations, demographic changes, etc. Scanning the newspaper for key headlines often suggests potential changes that might effect the organization.
2. For each change in a force, discuss three different future organizational scenarios (including best case, worst case, and OK/reasonable case), which might arise with the organization as a result of each change. Reviewing the worst-case scenario often provokes strong motivation to change the organization.
3. Suggest what the organization might do, or potential strategies, in each of the three scenarios to respond to each change.
4. Planners soon detect common considerations or strategies that must be addressed to respond to possible external changes.
5. Select the most likely external changes to effect the organization, e.g., over the next three to five years, and identify the most reasonable strategies the organization can undertake to respond to the change.

Model Five - "Organic" (or Self-Organizing) Planning

Traditional strategic planning processes are sometimes considered "mechanistic" or "linear," i.e., they are rather general-to-specific or cause-and-effect in nature. For example, the processes often begin by conducting a broad assessment of the external and internal environments of the organization, conducting a strategic analysis ("SWOT" analysis), narrowing down to identifying and prioritizing issues, and then developing specific strategies to address the specific issues.

Another view of planning is similar to the development of an organism, i.e., an "organic," self-organizing process. Certain cultures, e.g., Native American Indians, might prefer unfolding and naturalistic "organic" planning processes to the traditional mechanistic, linear processes. Self-organizing requires continual reference to common values, dialoguing around these values, and continued shared reflection around the systems current processes. General steps include:

1. Clarify and articulate the organization's cultural values. Use dialogue and storyboarding techniques.
2. Articulate the group's vision for the organization. Use dialogue and storyboarding techniques.
3. On an ongoing basis, e.g., once every quarter, dialogue about what processes are needed to arrive at the vision and what the group is going to do now about those processes.
4. Continually remind all participants that this type of naturalistic planning is never really "over with," and that, rather, the group needs to learn to conduct its own values clarification, dialogue/reflection, and process updates.

5. Be very, very patient.
6. Focus on learning and less on method.
7. Ask the group to reflect on how the organization will portray its strategic plans to stakeholders, etc., who often expect the “mechanistic, linear” plan formats.

Model Six - Appreciative Inquiry

Appreciative inquiry (AI) is a major breakthrough in organization development, training and development and in "problem solving," in general. AI is based on the assertion that "problems" are often the result of personal perspectives and perceptions of phenomena, e.g., if a certain priority is viewed as a "problem," then the ability to effectively address the priority and continue to develop in our lives and work can be constrained.

AI is a philosophy so a variety of models, tools and techniques can be derived from that philosophy. For example, one AI-based approach to strategic planning includes identification of the best times during the best situations in the past in an organization, wishing and thinking about what worked best then, visioning what future the organization wants, and building from what worked best in order to work toward the vision. The approach has revolutionized many practices, including strategic planning and organization development. AI is done as a continuous four-step process.

1. Discovery Phase. The core task in this phase is to appreciate the best of "what is" by focusing on peak moments of community excellence—when people experienced the community in its most alive and effective state. Participants then seek to understand the unique conditions that made the high points possible, such as leadership, relationships, technologies, values, capacity building or external relationships. They deliberately choose not to analyze deficits, but rather systematically seek to isolate and learn from even the smallest victories. In the discovery phase, people share stories of exceptional accomplishments, discuss the core life-giving conditions of their community and deliberate upon the aspects of their history that they most value and want to enhance in the future.

2. Dream Phase. In the dream phase, people challenge the status quo by envisioning more valued and vital futures. This phase is both practical, in that it is grounded in the community's history, and generative, in that it seeks to expand the community's potential. Appreciative inquiry is different from other planning methods because its images of the future emerge from grounded examples of the positive past. They are compelling possibilities precisely because they are based on extraordinary moments from a community's history. Participants think great thoughts and create great possibilities for their community, then turn those thoughts into provocative propositions for themselves.

3. Design Phase. Participants create a strategy to carry out their provocative propositions. They do so by building a social architecture for their community that might, for example, re-define approaches to leadership, governance, participation or capacity building. As they compose strategies to achieve their provocative propositions, local people incorporate the

qualities of community life that they want to protect, and the relationships that they want to achieve.

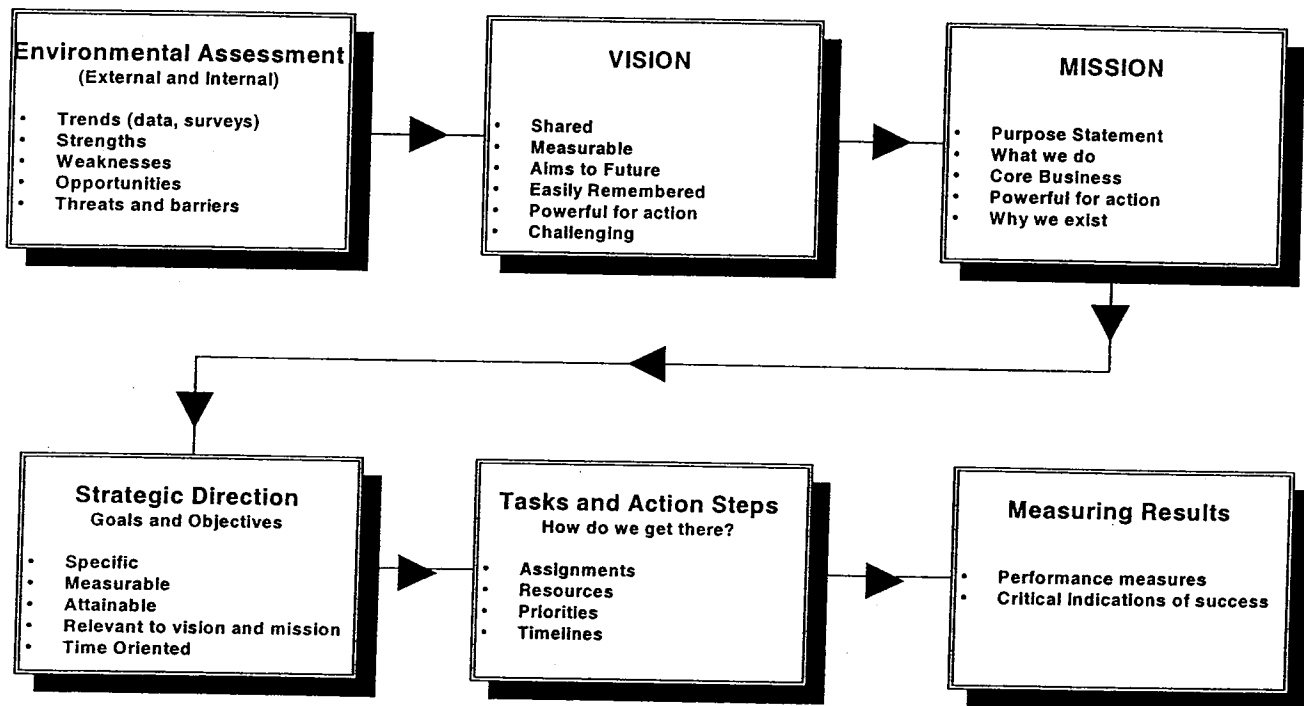
4. Destiny Phase. The final phase involves the delivery of new images of the future and is sustained by nurturing a collective sense of destiny. It is a time of continuous learning, adjustment and improvisation in the service of shared community ideals. The momentum and potential for innovation is high by this stage of the process. Because they share positive images of the future, everyone in a community re-aligns their work and co-creates the future. Appreciative inquiry is a continual cycle. The destiny phase leads naturally to new discoveries of community strengths, beginning the process anew.

Summary

Simply put, strategic planning determines where an organization or community is going over the next year or more, how it's going to get there and how it will know if it got there or not. The focus of a strategic plan is usually on the entire organization, while the focus of a business plan is usually on a particular product, service or program.

A strategic planning flow chart is provided following this review of various models. It suggests the necessary steps and accompanying documentation necessary to lead to the desired results. Every community may be using different terms or fine-tuning the steps to reach a desired vision for change.

Strategic Planning Flow Chart



Vision Statement

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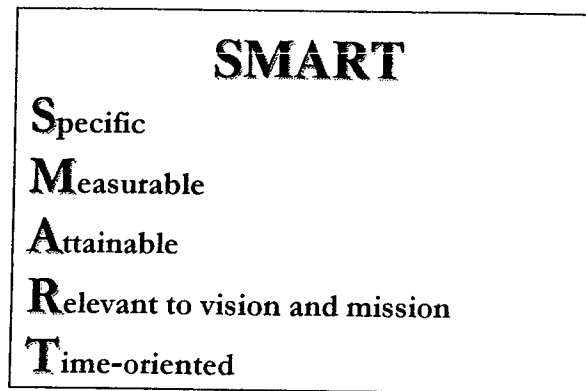
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- Establish a formal agreement with XYZ high school to use the curriculum.
- Train XYZ high school teachers on use of the curriculum.

Tasks and action steps help the planning team secure commitments from collaborative partners and other stakeholders in terms of assigning resources (staff, equipment, facilities, funds, etc.) to solve the problem or implement the program.

Measuring Results

The final step in the process is measuring or evaluating results. Were the goals and objectives met? Was the problem solved? This allows the community or organization to work in terms of an ever-repeating cycle of improvement. The strategic planning cycle is not linear; often the participants will have to stop and start over again to redo a step. The process is iterative. It builds on itself. A program can always continue to improve. In terms

of problems, outcomes have to continue to be evaluated to see if the solutions have staying power.

Evaluation is a powerful tool for planning, developing, and managing justice programs. As an objective means of documenting success, identifying programs and guiding refinements, program evaluation is important to a variety of stakeholders. Evaluation involves the systematic assessment of whether and to what extent projects or programs are implemented as intended and whether they achieve their intended objectives. This entails asking questions about programs, and collecting and analyzing information to learn about program operations and to discover program results. Program managers need this information to guide program development and to demonstrate success. Policy-makers and funding sources at all levels need it to identify what works and where to focus resources. The expansion, contraction, elimination and modification of programs are often influenced by evaluation findings.

Performance measures or indicators enable this measurement process. These measures are often **quantitative** (expressed as a number or degree of change) and **qualitative** (non-numeric measures such as perceptions and observations). Performance measures are developed that signal whether and to what extent the program is meeting its objectives (achieving expected results). This information is obtained by measuring the program's actual results, then comparing them with the program's expected results.

Outside evaluators and researchers are often used in this step because they bring the necessary skills and objectivity to identify the performance measures, obtain and analyze the measures, and interpret the results that indicate success.

Reviewing and Choosing among Alternative Strategies

Usually planning teams examine and review a variety of strategies before deciding the one most suitable for achieving their vision. Two basic questions are asked:

- Is this likely to solve our problem?
- Can the plan be implemented?

The following are relevant **criteria** to consider when choosing an appropriate and effective strategy:

- Strategy fits with the charter of the group.
- Legality of the strategy.
- Civility of the strategy.
- Political acceptance of the strategy.
- Availability of project resources.
- Ease with which strategy can be implemented.
- Potential for *resolving/reducing* the problem.
- Potential for *preventing* the problem.
- Degree to which strategy reflects the values and attitudes of the affected community.
- Degree to which strategy intrudes into the lives of individuals.
- Degree to which strategy depends upon legal sanction.
- Financial costs of the strategy.

Components of a Successful Strategy

Successful strategies are those that exhibit the following characteristics:

- Positive.
- Help achieve goals.
- Narrow in scope.
- Analytically-based.
- Measurable.
- Action-based.
- Made up of defined tasks.

Ensuring Maximum Impact of the Chosen Strategy

It has been recommended that the following processes be used during strategy development in order to increase the impact of the chosen strategy:

- **Engage leadership.** Include the formal and informal organizational/project stakeholder leaders when developing the strategy. Active involvement communicates a message of project importance and priority.
- **Work from a common understanding.** Provide training on strategy development, and establish a list of expectations and results to ensure that everyone is working towards the same outcomes.
- **Include individuals who will implement the plan.** Encourage all levels of stakeholder staff to participate in the strategy development process. Involving these individuals will ensure that the strategy is realistic and will help motivate stakeholders and their staff to implement the plan.
- **Address critical issues for the project.** Failure or unwillingness to put critical issues on the table for discussion and resolution might lead stakeholders or their staff to implicitly or explicitly challenge the credibility of the strategy, its priorities, or its leadership.
- **Agree on how the strategy will be operationalized.** Specify who will implement which parts of the strategy.
- **Do not get too detailed.** Extremely specific strategies become quickly outdated and end up on the shelf.
- **Create a balance between the dream and the reality.** Ensure that the strategy is grounded in the reality of what can and cannot be accomplished.
- **Keep language, concepts, and format simple.** Make sure the language of the strategy is easy to understand, especially for those that are unfamiliar with the project and/or stakeholder organizations.

Barriers to Change–SWOT Analysis

A SWOT (strengths, weaknesses, opportunities, and threats) analysis can be used to identify and analyze the strengths and weaknesses of the environment, organization, program, or plan as well as the opportunities and threats revealed by the information gathered. The SWOT analysis is a process similar to Kurt Lewin's *Force Field Analysis*, but it differs in that SWOT reviews both the internal and external environments.

While developing a strategic plan, or planning a solution to a problem, after analyzing the external environment (e.g., crime, economy, health, funding sources, demographics, etc.) try using the SWOT analysis.

How to use it:

- **Internal Analysis:** Examine the capabilities of the organization, program, or plan. This can be done by analyzing the **strengths** and **weaknesses**.
- **External Analysis:** Look at the main points in the environmental assessment and identify those points that pose **opportunities** for the program or plan and those that pose **threats** or obstacles to performance. Decide whether the information and data collected reveal external **opportunities** or **threats**.

Enter the information collected in the above steps into the cells as shown below. Use this information to help develop a strategy that uses the strengths and opportunities to reduce the weaknesses and threats, and to achieve the objectives of the program or plan, or solve the problem.

	Positive	Negative
Internal	Strengths	Weaknesses
External	Opportunities	Threats

For example, with a strategy to implement a new Homeland Security Plan statewide, an **internal strength** might be the experience of the organization and staff in implementing statewide programs. An **internal weakness** might be old information technology hardware and software. An **external opportunity** might be new information technology funding from federal or state agencies. An **external threat** might be that other agencies or regions may be applying for most of the funding.

Keep in mind that SWOT can be used as a tool to refocus efforts in midstream, as well as a preliminary tool for planning efforts.

Collaborating Partners

Above all, a strategy must take account of all relevant parties that are required to implement the strategy. Today, many problems require multi-agency and multi-partner involvement. *Project Safe Neighborhoods* refers to this leveraging characteristic as resourcefulness.

Resourcefulness refers to a group's creativity and ability to find solutions to problems, and to identify resources in participating organizations that can be brought to bear on the problems or tasks at hand... Resourcefulness refers to future planning and attainment of resources from sources other than original funders, so that partnership activities continue relatively smoothly when initial funding is depleted.ⁱⁱⁱ

Leveraging of resources from partners includes seeking new or additional funding, recruiting volunteers, and inclusion of private sector companies, where appropriate.

Implementing a community policing strategy is a good example of a strategy that requires "buy-in" from multiple individuals and levels in a variety of agencies. The COPS Office's Community Policing Consortium notes the following:

The implementation of a community policing strategy is a complicated and multifaceted process that, in essence, requires planning and managing for change. Community policing cannot be established through a mere modification of existing policy; profound changes must occur on every level and in every area of a police agency—from patrol officer to chief executive and from training to technology. A commitment to community policing must guide every decision and every action of the department.^{iv}

Documenting the Strategy—Detailing the Logic Model

It is important to spend the time documenting the plan so that the *logic* of the approach is clear. This logic model ties the process together and explains how the dimensions are connected.

This is similar to the approach that a physician takes in the medical diagnosis process. For example, the doctor observes indicators or symptoms of what is happening—the medical condition. He then uses his specialized knowledge and training on how the body works to develop hypotheses that might explain the symptoms. The doctor also conducts tests to obtain more information and evaluate the hypotheses. After obtaining sufficient information, the doctor makes a diagnosis and recommends treatment. Another doctor can pick up the patient's file or chart and learn what this doctor did and how it worked. This doctor can then do something different because he knows what was done before and how it worked—the extent to which the condition moved from illness to health.

The purpose of "**program logic analysis**" is to provide the basic foundation of program design, including the established linkages between objectives and program activities and consensus on performance and impact indicators. Developing a "model" of the program in the planning stage permits managers to formulate their expectations for program outcomes, which can be used later for program analysis and evaluation. Actual results are of little use, if they cannot be compared with expected results.

Thus, documenting the logic model includes detailing the:

- Conditions, needs, or problems.
- Goals and objectives addressed.
- Description of selected strategy and why it was chosen.

- Critical information used in selecting the strategy, including research knowledge.
- Tasks and activities implemented.
- Expected outcomes of the strategy.
- Critical assumptions on which the expectations are based.

This plan information also serves two related purposes. First, this information allows the tracking of what decisions have been made and what results have been achieved from the initial efforts or baseline starting point. Second, and of equal import, the documented plan can be used as a marketing tool to ensure that interested people and organizations can better understand what is being done and why the selected approaches are being used. The marketing tool may be formatted as an annual report or included in brochures/newsletters/press releases and other tools.

Develop Flow Model

Once program goals, objectives and activities are identified, they are organized and displayed in a flow model, a visual diagram depicting the interrelationships between goals, objectives, and activities. The diagram is used to analyze how goals, objectives and activities are or are not logically linked. Logic models should demonstrate, in a step-wise fashion, how each activity logically relates and leads to an objective, and how each objective logically relates and leads to a goal.

Example of a Flow Model of Goals, Objectives, and Activities.

GOALS HIERARCHY FOR A HALFWAY HOUSE

Broad Goal To assist in the reintegration of ex-offenders by increasing their ability to function in a socially acceptable manner and reducing their reliance on criminal behavior.									
Subgoals	To provide clients with programs and treatment services directed toward reducing the disadvantages and problems of returning to the community after a period of incarceration.			To provide sufficiently secure environment for clients designed both to safeguard the community by reducing the opportunity for unobserved deviant behavior, and insure clients' health and well-being.			To provide the necessary support for operations of the house, and to allocate resources among house functions in the most efficient manner.		
Objectives	Employment	Education	Financial Assistance	In-House Security	Community Security	Provide Basic Needs	Funding	Community Support	Staffing
Activities	1. Job placement	1. Testing	1. Require savings	1. House rules	1. Curfews	1. Shelter	1. Budgeting	1. Volunteer programs	1. Recruitment
	2. Vocational testing	2. Basic skills training	2. Consumer education	2. Crisis intervention	2. Activities log	2. Good	2. Accounting	2. Advisory Board	2. Training
	3. Job finding skills •etc.	3. Education counseling •etc.	3. Money management •etc.	3. Night supervision •etc.	3. Use of volunteers •etc.	3. Transportation •etc.	3. Grants •etc.	3. Meeting with community groups •etc.	3. Assessment •etc.

Source: Harry Allen *et al.*, *Halfway Houses* (Washington, D.C.: NILECJ, 1978), pp. 6-8.

Specify the Program's Theory of Action

Perhaps the most important step in building a logic model is specifying the beliefs or assumptions stakeholders have about how the program is supposed to work, and why they