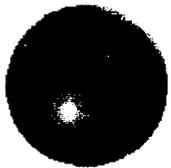


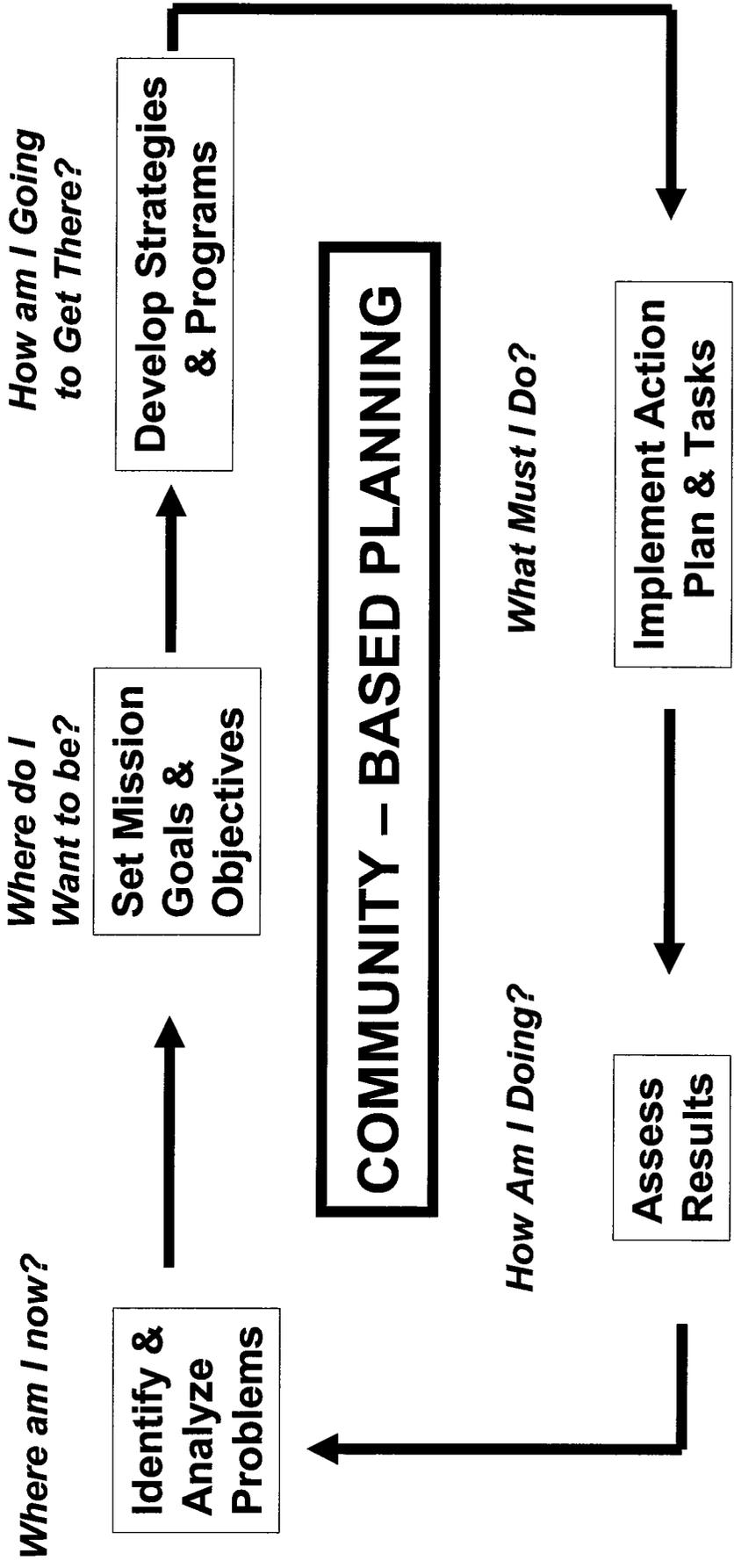
Strategic Planning Process

Table of Contents

1. Community-Based Strategic Planning Process Graphic
2. What is Community-Based Planning?
3. Identifying and Analyzing Problems
4. Vision, Mission, Goals and Objectives
5. Developing Strategic Plans
6. Implementing Strategic Plans
7. Evaluating Project Implementation and Impact



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.

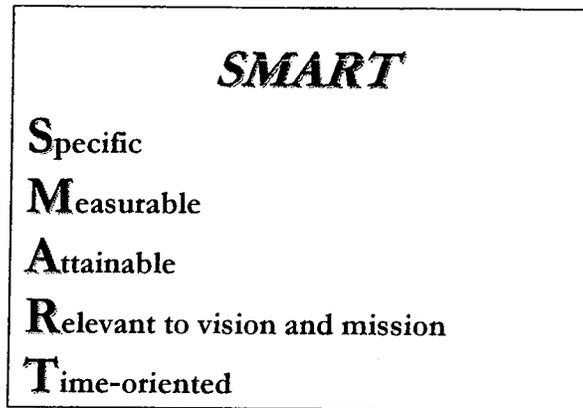
Goals and Objectives

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.”¹¹

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.

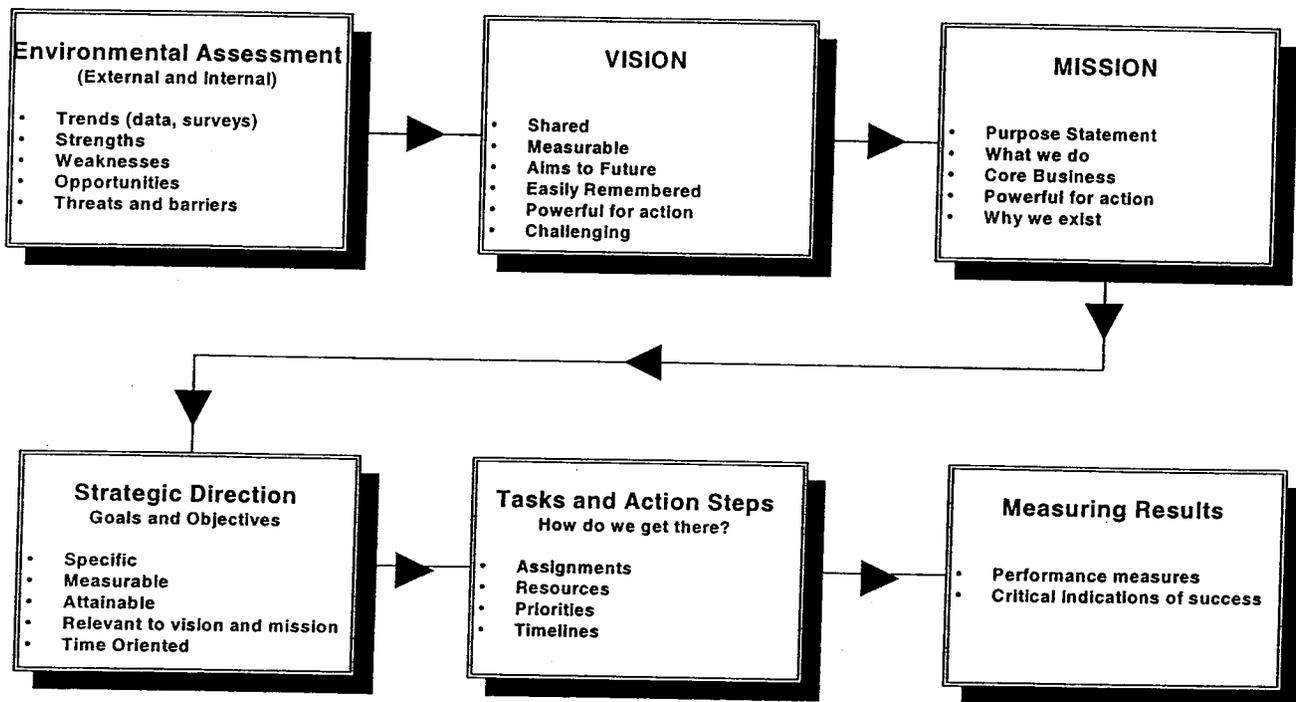
4. Destiny Phase. The final phase involves the delivery of new images of the future and is sustained by nurturing a collective sense of destiny. It is a time of continuous learning, adjustment and improvisation in the service of shared community ideals. The momentum and potential for innovation is high 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

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."ⁱⁱⁱ The strategy provides parameters for developing the goals, objectives, activities, and action steps.

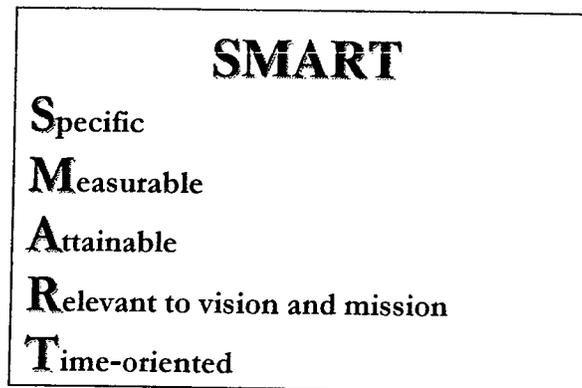
Goals and Objectives

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.

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

expect it to affect the problem. These beliefs and assumptions constitute the program's theory of action.

Logic models help specify a program's underlying theory of action; the beliefs and assumptions held by stakeholders about how and why a program is expected to mitigate the problem.

In practice, specifying the theory of action simply means thinking through and articulating (1) precisely how program activities are expected to work together to achieve program objectives, and (2) why they should be expected to produce the intended program outcomes. When a program is made up of multiple components, a theory of action should be specified for each component.

Typically, a program or program component will focus on some root cause or constituent part of a problem. For example, a program might focus on reducing the demand for drugs as a way to address the larger drug-related crime problem in the community. Thus, the plan should specify how and why the constituent cause(s) or intervention point(s) of the program are trying to affect is related to the overall problem. For example, how and why would reducing the demand for drugs affect the larger drug-related crime problem in the community? In other words, assuming the program achieves its objectives, why would one expect the overall problem to change?

The theory of action should also be based, in part, on research and evaluations of what works in the field.

Analyze the Model

Building the logic model forces stakeholders to specify a program's goals, objectives and activities, as well as expectations about the way the program should work and *why* it should influence the problem. A logic model helps to visualize the program's design; in other words, its structure, sequence of activities, and underlying theory of action.

A logic model is examined to ensure that goals, objectives, and activities are linked in a logical and plausible manner. One way to assess the plausibility of the model is to describe it as a series of "if, then" statements. If activities A, B, and C are accomplished, then Objective 1 will be met. If Objectives 1 and 2 are met, then the program Goal will be achieved.

In addition, a program's theory of action should be consistent with established knowledge. Stakeholder expectations about how and why the program is supposed to work should be compared with information prior research provides on the problem and the best way to address it. When expectations conflict with established knowledge, it signals the need to refine or modify the theory of action and the program design.

A sound logic model should sufficiently demonstrate that:

- All program elements are in place.
- They logically fit together.

- Given our current knowledge, they reasonably can be expected to mitigate the problem.

Logic models help to identify missing or poorly defined program elements, implausible links, and flawed assumptions about how and why a program is supposed to work. They help stakeholders arrive at a common set of expectations about the program, and they keep programs focused on problems. Logic models help to ensure that a program's design is sound, and they lay the foundation for measuring program performance. Typically, the development of the model will be an iterative process. Debate over goals, objectives and activities is likely, and this should not derail the process. Customizing the process to meet local needs is common. Remember, a logic model is a tool for reducing a program into its constituent parts in order to 1) ensure that the program's design is sound, and 2) lay the foundation for performance measurement/evaluation. Building the model involves critical thinking about the program and the problem it intends to address; it's not about putting the "right" words in the "right" box on a diagram.

Role of Data, Research, and Best Practices in Strategy Development

Data, research, and best practices can help a group avoid some of the pitfalls identified by Thompson and Strickland in *Strategy and Policy: Concepts and Cases*. They said,

"For an organization to avert aimless drift and mediocre performance, it should have a well-defined purpose, which sets forth, either explicitly, or implicitly, the mission of the organization and the services it intends to render to society. Its managers should reach a workable consensus on the gut issue of 'what is our business, what will it be, and what should it be?' Lacking this, an organization's resources risk being drained by false starts and misdirected efforts. In addition, every organization needs a good concept of how it will produce and distribute its product offering: this means putting together a *comprehensive* strategic plan whose parts fit together like the pieces of a puzzle. It must assemble the resources needed for effective strategy execution and, in particular, build an organization with some distinctive competencies"...

Data

Strategy (development and implementation) is the use of processes driven by accurate and meaningful data. If the processes are to achieve the desired results, effective decisions must be made and such decisions are usually reliant upon accurate data.

For example, in Boston's youth crime reduction strategy, the effort was first identified by significant escalation in the youth murder rate and was hailed as a success by the sharp reduction in that same rate. Without the data, Boston would not have been able to gauge the successes from strategy implementation. Boston was also successful in enlarging its strategy overtime and adding new components to achieve results based on the feedback from collected data, which identified gaps in what needed to be done.

Data is crucial in formulating, monitoring, and evaluating strategy. To be effectively used:

- Both quantitative and qualitative data must be collected.

- Data must be analyzed to ensure appropriate understanding and nuances of meaning.
- Data must be available in a timely fashion.
- Data must be trustworthy.

How do is data used in strategy development? Data is used to:

- Identify problems to be addressed by the process.
- Establish base-line measures and outcome expectations.
- Set priorities.
- Measure changes in the problems.
- Provide feedback to those working with the strategy.

Significant technological advances now allow data to be compiled, analyzed and interpreted in new and more meaningful ways. Many new initiatives such as SACSI require enhancements for research and technology infrastructure, including a geographic information system (GIS) for data sharing across agencies.

From where can the data be collected that is needed? Some data is already collected in databases as part of local, state, or federal government systems. Additional data may be available from a number of various stakeholders such as universities, hospitals, social service agencies, etc. The community-based planning team may also wish to compile additional original research data through focus groups, surveys, and other tools.

Research and Best Practices

Documentation, data collection, and evaluation must be integral parts of the community-based strategic planning process. These will provide the foundation for determining best practices and for research-based results. They will also provide information critical to determining what works, what doesn't work, what's promising and what is unknown. By utilizing these components of the strategic planning process, advances can be made in the field more quickly as more and more communities are not forced to "reinvent the wheel" and instead can build on the experiences, challenges, and successes of other communities involved in improving and ensuring public safety for their communities.

Implementing Strategic Plans

Objectives

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

- Draft an implementation plan building in accountability measures.
- Identify barriers to implementation and steps to overcome those barriers.
- List several approaches to successful plan implementation.
- Recognize principles of marketing and media relations.

Implementation In A Homeland Security Environment

As mentioned earlier, homeland security strategic planning provides a roadmap to focus on priorities and channel resources to achieve specific goals and objectives. The plan does not belong on a shelf, but becomes a ready reference for the working group and the key stakeholders to carryout programs, activities, and tasks. Implementation of the plan is a collective effort and the primary responsibility of the working group is to continuously monitor the plan's roll out, make adjustments when and where necessary, manage the implementation process to hold all partners and stakeholders accountable, and keep the plan action oriented and constantly moving forward.

The complexity and breadth of the homeland security environment is similar to that faced by other multidisciplinary and multi-agency efforts. County working groups and coordinators are constantly interacting with staff within their own organizations and with external partners to affect change. Despite the collaborative effort to develop the plan, there will be resistance to change, shifting priorities, and turnover of personnel. These challenges can be managed, as long the partnerships are nurtured, the key stakeholders are fully engaged, and the goals and objectives of the plan are visible.

Implementation Integrity

Implementation integrity is important to ensure that any program is completely executed as intended and as it should be. Implementation integrity refers to a rational and reliable approach to any implementation effort that includes certain elements that are key to the success of the approach being replicated. For example, the University of Colorado Center for the Prevention of Violence has identified projects that have been documented to prevent crime when all the implementation elements are present. (www.colorado.edu/cspv/blueprints/Default.html) To exclude a key element when replicating the program would violate the integrity of the model program.

Even for projects that are new and innovative, change is difficult to initiate. It often takes extraordinary effort to move an agency from the status quo. Efforts may be counterproductive or for naught, if they are not directed and consistent with the desired end result. Both the process and the product will need attention. Included among these elements is recognition of the long-term perspective, strategic management, and acknowledgment of the need to manage the change process.

Organizational Change

Organizational change is a key component in implementing strategic plans. While people make the changes, they all work within organizations—state and local government agencies, non-profit community based organizations, neighborhood associations, businesses and business associations, faith-based entities, etc. The organization adopts change based on its management, culture, resources, structure, and more.

Strategic Planning and Public Sector Management

In A. D. Chandler's *Strategy and Structure* (MIT Press, Cambridge, MA, 1962), the premise is proffered that public sector management has some unique aspects. The following key elements are listed:

- Concern with the long term
- Integration of goals and objectives into a coherent hierarchy
- Recognition that strategic management and planning are not self-implementing
- An external perspective that does not emphasize adapting to the environment but rather anticipating and shaping environmental change

Categories of Change—Trend

These elements should be considered with a full understanding of the extent of change and the change process. Connor's in *Managing at the Speed of Change* (Villard Books, NY, 1993) has documented that the perceptions of the extent change have increased over the past three decades. The table below shows findings from a national survey of corporate managers concerning their perception of the extent of change in their organizations.

Perception	1970s	1990s
No Change	60%	1%
Sporadic, incremental change	35%	24%
Continuous, overlapping change	5%	75%

Major Change Is Perceived as Loss of Control

Connor also notes that perception of change is linked very much to a person's perception of control.

- Change is considered major when it is perceived to be so by those affected.
- Major change is the result of significant disruption in established expectations.
- Major change occurs when people believe they have lost control over some important aspect of their lives or their environment.

How Organizations Commit to Change

People change, but so must organizations. The process by which they do change has been studied and what has been learned can help to change organizations with as little disruption as possible. Connor and Patterson in “Building Commitment to Organizational Change”, *Training and Development Journal* (April 1983) note that the following are steps many agencies go through before they change:

- Contact
- Awareness
- Understanding
- Trial use
- Limited adoption
- Institutionalization

Following these steps, or at least anticipating them, should be part of any implementation plan.

Risk of Change

It is also evident that not all the affected stakeholders neither have the same view, nor are all changes equally risky. The following considerations should also be part of the implementation effort.

- Management perspective
- Extent of change
- Users’ perspective
- Impact on change strategy

Managing Implementation

Guidelines for Public Strategic Management

Chandler advised that certain key guidelines generally apply in the public sector.

- Use quick results to buy time for long-term results.
- Use cooperation as a “basis of competition” (not war, long term, multi-organizational strategy, public mission).
- Look for “piggy back” opportunities (expand domain without losing core mission).
- Here today and here tomorrow—rely on career bureaucrats for implementation, they will be there in the long term, and will bridge to tactical and operational levels. However, maintain accountability.
- Don’t bet the ranch (it doesn’t belong to you) but encourage calculated risk.
- View symbols as opportunities or markets.

Five-Step Process

Among the many approaches that can be considered to help mold an approach to change is that of J.M. Bryson in *Strategic Planning for Public and Non-Profit Organizations*. He suggests the following questions be asked in the sequence noted:

1. What are the practical options to address this, or approach this?
2. What are the barriers?
3. What are the major proposals to achieve the alternatives and overcome barriers?
4. What major actions should be taken in the next year?
5. What steps must be taken in the next six months and who is responsible?

This or a similar approach should be adopted by public agencies to ensure that a standard structure, which is understood by all involved, is used for change efforts.

Stages of Change Acceptance

There are different stages of acceptance by individuals that should be considered. D. Clark suggests one model in a 1997 article entitled "Leadership-Change" (see www.nwlink.com/~donclark/leader/leadchg.html). Change agents should try and move organizations and people through these stages. Posing the questions in the positive way will help move individuals toward positive change.

FROM	TO
Why do it?	What new opportunities will this provide?
How will this affect me?	What problems will this solve?
We don't do it that way.	What would it look like?
When will this change effort be over so we can get back to "normal."	What can I do to help?
Who is doing this to us?	Who can help us?

Ongoing Management Issues

James Brian Quinn suggests in *Intelligent Enterprise* (1992) that the following considerations should be part of any implementation effort.

- Jointly developed vision, goals, and plans. Get buy in and informed opinions.
- Avoid collisions with partners. Give where it is appropriate, while keeping the big picture.
- Structuring the team, predisposition counts more than position.
- Clear communication links. Avoid rumor and missteps.

- Understanding cultures. Critical to reach those you want to reach.
- Structured learning process.
- Cooperation, not competition, and staying in the loop will buffer and protect from above.
- Flexibility within strategic control.

Leadership and Implementing Plans

Leadership is a pivotal force behind implementing plans and other change, especially when organizational change is required. Leadership used to be thought of as the actions of gifted people who could influence others to act. Throughout history, we think of names like George Washington, Abraham Lincoln, Winston Churchill, Martin Luther King, Jr., Mahatma Gandhi, and others. Organizational researchers today think of leadership as an *ongoing process*, not just the ability to implement a program or idea. **Leadership is an ongoing process of change driven by a vision of the leader.** The leadership process is intentional (this is where some key traits or characteristics are important) but is also based on opportunity and outside influences.

Many people confuse leadership with management. Many CEOs are managers, not leaders. This may not be such a drawback when the job calls for a control status. Creating rules to guide and monitor the status of ongoing operations is something most CEOs learn from their predecessors. But when an organization is going through major change, leadership as well as management is needed, and leadership is harder to provide.

Leaders focus on doing the right thing; management focuses on doing things right (Covey, 1990). Leaders get the organization going in the right direction; management makes sure it is done efficiently. Leaders enable organizations to adapt to changing circumstances by providing vision and inspiration. In contrast, the most important aspects of management include planning, budgeting, staffing, controlling, and problem solving. Unfortunately, in the hiring process local officials may tend to emphasize management, not leadership.

Can leadership be learned, or is it like genes? Is one either born with it or not? Despite the phrase “born leaders,” most research has found that leadership is in fact a set of practices that can be taught and learned. Kouzes and Posner address this issue as follows:

“Contrary to the myth that only a lucky few can ever decipher the mystery of leadership, our research has shown us that leadership is an observable, learnable, set of practices. In over ten years of research, we’ve been fortunate to hear and read stories of over 2,500 ordinary people who have led others to get extraordinary things done. And there are millions more. The belief that leadership can’t be learned is a far more powerful deterrent to development than is the nature of the leadership process itself.” (Kouzes and Posner, 1995:16)

Project and Budget Management Techniques

There are a number of tools that can be used to assist in managing the implementation process or change process. Some are automated and require a degree of training or instruction; others are simpler and more straightforward. Each has its advantages. Whether or not an automated tool is used, managing the budget is a critical requirement of funding agencies.

These automated tools are sometimes part of the packaged programs on an office computer. Otherwise, more complex tools can be purchased and loaded separately. Many colleges, the company that developed the software, and private training companies regularly offer training in use of the software. Typically these allow varying degrees of detail on resource assignment, time frames, and task linkage. Some will automatically revise timelines as resource commitments change. Examples of such programs are:

- Gantt Chart
- Milestones
- Microsoft Project
- EXCEL
- ACCESS
- Microsoft Wizards

Monitoring and Feedback Loop

Despite the best efforts, projects rarely are implemented as planned. Circumstances change, the environment is altered, the resources are not committed at the required level, or the results are not forthcoming as hoped. Perhaps key data needed to evaluate progress are not forthcoming. Issues of this nature are to be expected. Once a project is initiated, there should be anticipated and regular review of progress and adjustment as needed. If the project is significant enough, the early assistance of a qualified research partner can help clarify what is needed and how to obtain data efficiently.

Tie in to Performance Measures

Implementation monitoring cannot be accomplished effectively without the development of key performance indicators or measures. As part of the discussion on developing strategic plans, performance measures must be a part of the objectives, tasks and activities outlined and documented in the plan. If objectives and activities are SMART (specific, measurable, attainable, relevant, and time-oriented), these will serve as the keys or guide to effect monitoring of implementation efforts.

Lessons Learned on Program Implementation

Several programs have done research and made findings on implementation results with recommendations for ensuring effective implementation.

- Hire all staff, especially those with key skills, early in the project.
- Review project implementation plans with staff early and often.
- Arrange for administrators to participate in meetings and trainings.
- Plan and budget for staff turnover.
- Do not use volunteers in coordinator positions.
- Time requirements are often underestimated and should be reviewed and updated.
- All partners should be ready for implementation immediately after the project or program begins.
- In general, the quality of technical assistance will decline over time if problem solving or booster sessions are not provided.
- Proactive delivery of training is a must.
- Technical assistance providers must be easy to reach and fast to answer questions.

Making Mid-Course Corrections

Once a determination is made that a change in direction is in order, there are steps that should be taken to keep stakeholders informed and expectations consistent. Consideration should be given to ensuring that any outside research assistance is periodic so adjustments can be made rather than waiting until the end to issue a final report.

Celebrating Success

Start Small, Get a Win, Celebrate—Build on Momentum

Do not take for granted that all who should know of implementation progress are aware of it. By celebrating benchmark achievements, others are informed and the key individuals motivated who have worked for the achievement.

Jurisdictions have celebrated success in a number of ways, including:

- Luncheons
- Videos
- Photos, such as “before and after” project
- Graduations
- Golf tournaments
- Certificate presentations
- Awards ceremonies
- Scholarship awards
- Musical entertainment

Oftentimes, staff, community, or corporate involvement can minimize the cost of celebrations and increase the commitment of these important partners. For example, a business may provide scholarship funds, or a school band may supply music. Involving government leaders may be impressive and increase the commitment of government policymakers in these times of fiscal constraint. Documenting success (e.g., with photos if appropriate) provides useful material for future reference or evaluation. Side benefits can include staff development; networking among line staff and management; increasing communication across geographic areas, and recruiting volunteers.

Marketing

There is a reason companies advertise—it get results. Even in government it is necessary to get results and “sell” an idea or a program. This section will summarize some simple steps in how to market plans, programs, or problem solution ideas.

The most important first step is for teams to develop a **marketing plan** to sell the program or plan. Don't just let marketing efforts evolve without clear direction.

Purpose of Marketing—Know the Target Audience

Marketing can have different nuances or objectives, which can influence how it is approached. It can focus on different things at different stages of the project or with varied audiences. The first step is to determine whom the target audience is, i.e., who should receive the message. There are several goals including to:

- Inform
- Defuse opposition
- Build support

Communications Strategy Types

According to Sturgess and Minor, there are different communication strategies depending on the audience, the purpose and expected result of the communication. They categorize the strategies as follows:

Facilitative

- Target audience may or may not be aware of a need for change.
- When made aware of the need for change, the change will be readily adopted.
- Facilitative change will more likely work when initiator is internal to the target group.
- When rapid change is desired, facilitative approach is unlikely to be effective.

Educative

- Target audience may or may not be aware of a need for change.
- When made aware of the need for change, the change will not actively be resisted.
- Used when time is not critical.
- When change is perceived to be logical or beneficial.

Persuasive

- Target audience may or may not be aware of a need for change.
- When made aware of the need for change, the change will likely be resisted.
- Desirable strategy if target is uncommitted to change.

Coercive (Power)

- Target audience may or may not be aware of a need for change.
- When made aware of the need for change, the change will be resisted.
- Use when time is critical.
- Requires enforcement and surveillance.

Who is approached and how they are approached does require some discussion and high-level support. A plan should be laid out to determine which purpose is desired and which audience should be sought. An advisory committee on this matter, to reach internal and external target audiences, may be established and should include high level stakeholders, and in relevant cases, members of the community, media, and chamber of commerce.

Media Relations

The perception and image of "reality" as presented by the media is often considered "reality" by the public. Too often people play "defense" and remain quiet, hoping the media will ignore them. Steps can be taken to engender a positive ongoing relationship with the media and better ensure the success of change efforts. By developing good working relationships with the media, the chances of getting the message out to the public in a timely manner are increased. If possible, one experienced and trained team representative should serve as the organization's voice to the media.

Who Are the Media?

- Print media—Newspapers include:
 - Crime reporters
 - Feature reporters
 - Editorial boards
 - Daily and weekly newspapers
 - Syndicates and news services (e.g., United Press International and Associated Press)
 - Special interest publications (e.g., organization or association newsletters and magazines)
- Electronic media
 - Network TV
 - Independent TV
 - Cable TV
 - Radio
- Internet World Wide Web
 - Personal sites—created for the project
 - Link to an existing organization or government web site

Community Resources for Outreach

Other resources besides “official” media and marketing outlets can be used to help spread the message.

- Community-based justice efforts (community police, community service, etc.)
- Colleges
- Commercial art schools
- Public relations firms
- Civic organizations

Developing Good Media Contacts

Much can be done to enhance constructive contact with the media.

- Watch, listen, and read—learn the receptive media
- Compliment the media
- Delta Sigma Chi
- Be proactive—provide information and stories
- Get to know the editors
- Be a resource
- Ask the media to serve on advisory boards
- Hang out where they hang out
- Hold focus groups with the media to evaluate success in dealing with them; learn their needs

Adopt Accommodating Behavior in Dealing with Media

There are behaviors that can be developed to increase the likelihood of developing successful working relationships with the media.

- Attitude
- Preparation
- Persistence
- Speak the language of journalists
 - Direct
 - Concise
 - To the point
 - Be useful to them
 - Call them back quickly when they call—respect their deadlines

Evaluating Project Implementation and Impact

Objectives

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

- Describe the purpose and benefits of evaluation.
- Identify the range of methods used in project evaluation design.
- List the accepted components of project evaluation including process and impact stages.
- Communicate salient information necessary to initiate an evaluation.
- Identify resources for finding evaluators to assist or perform project evaluations.

What is Evaluation?

Weiss (1998) defines evaluation as the “*systematic assessment of the operation and/or the outcomes of a program or policy, compared to a set of explicit or implicit standards, as a means of contributing to the improvement of the program or policy.*”

Evaluation initially focused on outcomes (i.e., whether a project had reached the goals it was set up to accomplish). Now, many evaluations look at both the process of the project and its outcome for recipients.

“Outcome” generally means the *end* results of a project’s operation or activities. “Impact” generally means the *net* effects of a project or program. In this session these terms “impact” and “outcomes” are used interchangeably.

The following terms are useful to place process and impact evaluation in the context of other types of evaluations.

Types of Evaluations

Needs Assessment: Answers questions about the conditions a program is intended to address and the need for the program.

Assessment of Program Theory: Answers questions about program conceptualization and design.

Assessment of Program Process (or process evaluation): Answers questions about program operation, implementation, and service delivery.

Impact Assessment (impact evaluation or outcome evaluation): Answers questions about program outcomes and impact.

Efficiency Assessment: Answers questions about program cost and cost-effectiveness.

Source: Rossi, Peter Henry, Howard E. Freeman, Mark W. Lipsey (1993). Evaluation: A Systematic Approach. Thousand Oaks, CA: Sage.

Why Evaluate?

Recent developments in homeland security policy and ideas about “what works” in domestic preparedness have brought new approaches to homeland security problems, including a focus on problem-solving in law enforcement and other agencies; and increased collaboration between local, state and federal agencies, researchers, and other public and private agencies.

Evaluation answers questions such as:

- How was the homeland security strategy implemented? I.e. for prevention, response and mitigation of damages to a terrorist event?
- How was the plan executed (and was it conducted as intended)?
- What were or are the outcomes?
- Are the strategies developed and utilized worthwhile and effective?

Common stimuli for evaluation include:

- New or innovative strategy shows promise.
- Funding agency wants to know if its funds were used wisely.
- Plan is composed of elements interacting in multiple ways.
- Decisions to be made are important and expensive.
- Funding agency is considering expansion of a part of the plan.
- Evidence is needed to convince others about the merit and/or failings of the plans or tactics.

In practice, evaluation is most often called upon to help with decisions about improving programs, projects, and components rather than decisions about whether to terminate a program or project. Decision-makers may start out with global questions (“Is the program/project worth continuing?”) but they often receive qualified results (“These are good effects, but...”) that lead them to ways to modify present practice.

Who Wants Evaluation?

Weiss (1998) identifies individuals and organizations that often have an interest in project evaluation. They are as follows:

1. **Funding Organizations and Policymakers.** An organization that *funds* projects (e.g., a philanthropic foundation or state legislature) wants to know what local operating agencies are doing with the money they receive and how well they are serving their clients. Many federal agencies and foundations mandate evaluation for each demonstration project and innovative program they fund. Some funding sources also require ongoing projects to conduct evaluation as a condition of their grant.
2. **Overseers of Programs or Projects.** An organization that *oversees* programs or projects (e.g., the federal Head Start office or the national Girl Scouts) want to

find out what is going on in the field and how clients are faring in local units.

3. **Project Managers.** *Managers* of a local project want evidence on the short and long-term effects of the activities they run. Evaluation can help project managers with decision-making, including at the following project stages:
 - Midcourse corrections.
 - Continuing, expanding, or institutionalizing the program or project, or cutting or abandoning it.
 - Testing a new program or project idea.
 - Choosing the best of several alternatives.
 - Mobilizing support for the program or project and warding off criticism.
4. **People Affected by the Project.** Other people *affected* by the program or project (e.g., staff whose day-to-day actions determine what the project actually is and who have practical concerns about the best techniques for their project purposes).
5. **Consumers.** *Consumers* of services may want some gauge of a project's effectiveness to help them, for example, select a particular school, alcoholism treatment center, or vocational rehabilitation project.
6. **Managers/Staff of Similar Projects.** Managers and staff of *similar projects* may want to learn as much as they can about how the project under study was run and with what effects, in order to improve their own project, or if they have not yet started, whether they should undertake something similar.
7. **Project Designers.** *Designers of policies and programs* want guidance about the directions they should take or avoid as they go about designing new policies.
8. **Field.** Evaluation can add to the pool of knowledge in a *field* and test propositions about the utility of different models and theories of service.

An evaluator should design an evaluation study in a way that serves the information needs of those who commission the evaluation, but also be aware of the needs and interests of others in the environment whose actions will be affected by what happens during and after the study.

Many things can be evaluated including national programs, local projects, policies, and subproject components. This session focuses on evaluation of a stand-alone project or problem solution.

Formative vs. Summative Evaluation

When the cook tastes the soup, that's formative evaluation; when the guest tastes it, that's summative evaluation.

Scriven, 1991

Evaluations can be formative or summative. **Formative evaluation** is designed to help project managers, practitioners, and planners improve the design of a project in its developmental phases. Feedback is given to developers with an eye to improving the final

product. The need for formative evaluation often continues throughout a project as it adapts in response to conditions inside and outside the project agency. When other sites seek to adopt the project, they need formative information, as they often never replicate the project exactly, but adapt it to suit local conditions. The *action research model* is a type of formative evaluation, based on monitoring, tracking, and keeping data in a live setting and on a continual basis. Action research uses performance measures to monitor and assist with project improvement.

Summative evaluation is designed to provide information at the end of (at least one cycle of) a project about whether it should be continued, dismantled, or overhauled.

When Is Evaluation Not Appropriate or Not Yet Relevant?

According to Weiss (1998), evaluation may not be worthwhile in four kinds of circumstances:

1. When a project has few routines and little stability.
2. When people involved in the project cannot agree on what it is trying to achieve.
3. When the evaluation sponsor or project manager sets stringent limits on what the evaluation can study, putting off limits many important issues.
4. When there is not enough money or no staff sufficiently qualified to conduct the evaluation.

Planning the Evaluation

It is much easier to design an evaluation while developing project activities than to tack one on afterwards, especially as it is easier to build in data collection steps from the start, rather than recreate data long after the project is underway.

Choice of evaluation methodology depends on the information needed to answer the specific questions that the evaluation poses. Before deciding on a methodology, an evaluator needs to know the following:

- What the strategic planning group (or county working group) seeks from the study?
- How they expect to use the results?
- The realities of time, place, people, and budget.

Research Design

Although many approaches to evaluation are possible, Maxfield (2000) identified three elements essential to any evaluation. They are that an evaluation should be:

- Purposive—its purpose known.
- Analytic—based on logic.
- Empirical—results based on experience and actual data.

The following are accepted steps in planning for an evaluation (Roehl (2000), Weiss (1998), Maxfield (2000)).

1. Identify Project Goals

Key stakeholders need to agree on the short and long-term goals of the project (e.g., respond to a terrorist attack on a chemical plant that mitigates maximum damage including casualties). Stakeholders should be cautious about defining these goals in too specific a way, especially if using quantitative language.

2. Identify Project Objectives

Objectives are narrower, measurable, operational specifications of goals. An evaluation can accommodate specific, multiple (even competing) objectives for achieving goals.

3. Decide Evaluation Question(s)

The key question to be answered by the evaluation may relate to plan process, outcomes, the links between processes and outcomes, or explanations of why the plan or activity reached its observed level of effectiveness.

4. Develop Conceptual Framework

A conceptual framework (also known as a statement of theory, model of program logic, or theory of program action) lays out the sequence of assumptions that show how project inputs (staff, resources, activities) translate through a series of intermediate steps to desired project outcomes (improvements in response and mitigation of damages). The micro-steps of the theory become the framework for the evaluation study. The evaluation tracks developments to find out whether the assumed linkages in fact occur. Theory-based evaluation may increase the generalizability of study results from the single case study to the range of projects that are based on similar assumptions.

Care should be taken when identifying a project's theory of program logic or action to avoid basing a project or evaluation on faulty program logic flow (e.g., starting from weak or questionable premises, making too many leaps of faith in project expectations, or being too ambitious in what a project can accomplish using the means at hand). If the theory of program logic or action is faulty, valuable resources may be lost on ineffective project activities, and the project will be difficult (or impossible) to evaluate because staff will be collecting data that do not measure actual project mechanisms.

5. Decide Evaluation Measures

Break objectives down into measurable terms (evaluation measures). Measures are often, but not necessarily, expressed in quantitative terms.

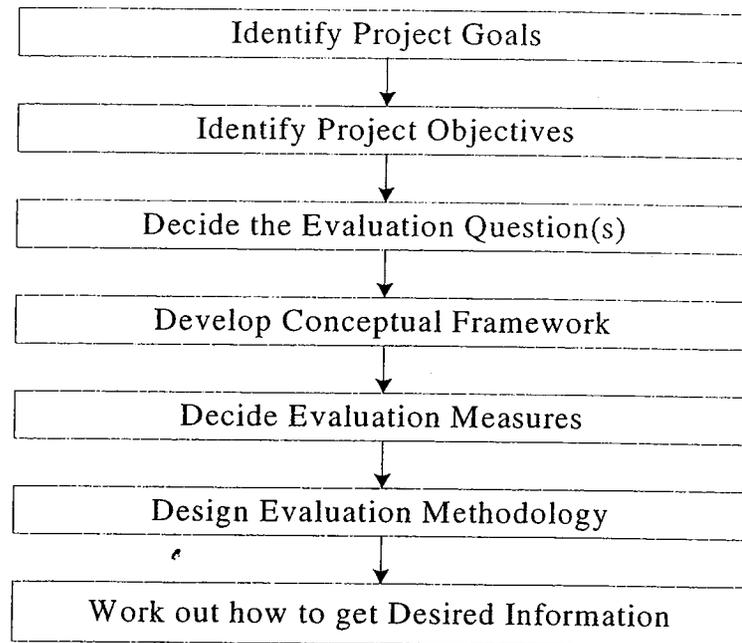
6. Design Evaluation Methodology

Decide what indicators will measure planned goals and activities, and what data collection methods are possible. A mixture of quantitative and qualitative methods is usually useful. Using a comparison group/area is generally necessary in order to assess overall impact.

7. Define How to Get Desired Information

Work out sources of information for evaluation measures. Evaluation sponsors and program managers play a crucial role at this stage, including cooperating with the evaluator; discussing nature, quality, and availability of data; and providing access to project materials (Rossi, Freeman, and Lipsey, 1999, p.53).

Steps in Planning the Evaluation



Utilization-Focused Evaluation (UFE)

Utilization-Focused Evaluation (U-FE) is a concept discussed by Michael Quinn Patton (Patton, 1997). It begins with the premise that evaluations should be judged by their utility and actual use; therefore, evaluators should facilitate the evaluation process and design any evaluation with careful consideration of how everything that is done, from beginning to end, will affect use. The focus in utilization-focused evaluation is on intended use by intended users. See appendices for a useful checklist to consult when identifying and planning for a utilization-focused evaluation. (U-FE Checklist, Patton, 2002)

Evaluation Stages

Evaluations usually examine the **process** of a project (how it is being implemented) *and* the **impact** of a project (the consequences of the project for its participants). A project evaluation often includes both a process and an impact evaluation. It is possible to conduct a process evaluation of a project (how it was implemented) without going in to measure the

project's impact. However, it is not possible to conduct an impact evaluation of a project without first completing a process evaluation, because to assess the impact of a project, the evaluation must first systematically assess *what is happening* inside the project. For example, if the evaluation finds differing outcomes across project participants, a process evaluation will help indicate whether all participants actually received equivalent services, were served by the same staff, attended the project regularly, etc. A process evaluation also helps compare pre- and post- project conditions.

Process Evaluation

Definition

A **process evaluation** describes how a project was implemented, how it operates, and whether it is operating as stakeholders intended. Issues commonly investigated by a process evaluation include the following:

- Who was involved in the planning process and were any key stakeholders omitted?
- What baseline information is available to document the need for services?
- How do the project activities fit into the larger local system for providing similar services?
- Has staff turnover occurred and how was the turnover addressed?
- What problems were encountered during project implementation and how were they resolved?

Evaluation Methods

The following is an accepted approach to conducting a process evaluation (Roehl (2002), Weiss (1998)):

1. **Review project documentation.** Collect and review project documents, including minutes of steering committee and subcommittee meetings (county working group), mission statements and formal goals and objectives, funding proposals, grant applications, media coverage (if applicable), staffing levels, workload statistics, annual reports, eligibility criteria, interdepartmental memos, interagency agreements.
2. **Collect and examine existing statistics.** Quantitative data collection should begin before the project interventions start (the baseline point) and continue throughout the project period and beyond.
3. **Review service area demographics.** Collect and review demographics of the area served by the project for the period before and after project implementation.
4. **Semi-structured interviews.** Conduct semi-structured interviews with key staff and primary stakeholders to produce an objective summary of significant events, coupled with information drawn from project documents. Semi-structured interviews are interviews that

cover roughly the same set of specifically worded questions that are asked of each respondent, but with some flexibility as to probe and follow-up questions.

5. **Face-to-face interviews.** Conduct face-to-face interviews with key stakeholders to explore significant issues. Information is subjective and requires mostly open-ended answers. Topics covered should include the following: respondent's role in the project, particularly in policy setting, implementation, and day-to-day operations; identification of any essential stakeholders missing from the planning committee; partnership dynamics; views of key components and policies; project strengths and weaknesses; impact of project on respondent's agency; local conditions that impact the project; and suggestions for changes and improvement.
6. **Focus groups.** Focus groups are a technique for collecting data that was pioneered in market research. Focus groups have two advantages in evaluation: (i) they obtain the views of six to 12 people in one place in the same amount of time it would have taken to interview one or two, and more important: (ii) the views of each person are bounced off the views of the others, so that there is argument, defense, justification, and learning over the course of the session. It is possible to gauge the strength of people's commitment to their views, the resistance of their views to others' arguments, and the changes that occur when different positions are aired. Questions posed to focus groups are generally kept to a small number (two to three) and are phrased broadly (e.g., "how successful is this project in serving the needs of our clients?" or "have we achieved full project implementation? If not, why not?").
7. **Surveys.** Written and telephone surveys allow the project evaluator to ask a broad range of questions, some closed-ended and some open-ended. In the case of written mail surveys, the respondent can think about his answers, look up information, consult records, and give considered replies. They can be completed at the respondent's convenience. Surveys are also more economical than interviews. A main disadvantage is that not everybody returns surveys and those who do return them may be atypical of the project population. Surveys also require a degree of literacy. To increase response rate, the evaluator should ensure that answer categories represent answers that respondents really want to give, keep the survey short, consider incentives for its return, and follow-up with non-responders. Questions should also be kept simple and in multiple-choice format as much as possible, with limited numbers of open-ended questions. One way to increase response rate is to administer the questionnaire in a group setting (e.g., by collecting a number of participants in one room) (see Dillman (1978) for a variety of techniques to use mail and telephone questionnaires and raise response rates).

Impact Evaluation

Definition

An **impact evaluation** examines how well a project operates, what happens to participants as a result of the project, whether the project is effective in reaching stated goals, and whether there are any unintended/unwanted consequences. “Impact” can include long-term outcomes. It can also include effects of a project on the larger community. The impact stage is generally the most difficult part of evaluating projects.

Issues commonly investigated by an impact evaluation include the following:

- What impact did the project have on participants?
- What impact did the project have on the community?
- What were the unintended consequences of project implementation?

Evaluation Methods

The seven main impact evaluation methods are outlined below (Roehl, 2002). The last one (tracking and testing individuals) may be found in only the most well-funded and sophisticated evaluations.

1. **Statistics.** Plan early to gather statistics. Determine the best sources and most useful statistics available and that could be gathered if anticipated.
2. **Surveys.** Surveys can include telephone or face-to-face surveys, mailed questionnaires, and questionnaires distributed and collected in specific places. Brief and simple surveys can cover topics such as fear of an event, victimization, quality of life measures, quality of city services, and police-community relations. Participation in surveys should be voluntary and anonymous (except for limited information gathered for verification purposes, if done) and fully informed. Surveys should be conducted in both target and comparison areas (if any). Surveys will generally produce both quantitative information (e.g., a score of from 1-5 on fear of a terrorist attack) and qualitative information (e.g., an answer to an open-ended question about how a jurisdiction has changed since a domestic preparedness plan was in place). As content analysis of open-ended questions can become laborious, stick to closed-ended questions as much as possible (see also discussion of process evaluation methodology).
3. **Interviews.** (See discussion of process evaluation methodology).
4. **Focus groups.** (See discussion of process evaluation methodology).
5. **Systematic observation.** An example of systematic observation in assessing project impact is use of a rating form to assess reduction in precursor crimes, response times, or security breaches, etc.
6. **Other indicators.** Other indicators that indicate changes attributable to a project should be gathered for the period prior to and after the project intervention.

The aim in impact evaluation design is to control factors so that any observed differences in key outcomes may be accurately attributed to the project intervention and not to some other

event or activity. The researcher, Campbell (1969), felt that evaluations of social programs should emulate as much as possible the controlled conditions of the research laboratory. Randomization or random assignment of subjects to a project generally produces the strongest evaluation findings. However, requirements for randomized evaluation are often formidable. The minimally accepted design to achieve a comparison group is to include **pre-post measures**. Adding a **comparison area or group** to the pre-post design makes it a stronger quasi-experimental design.

Pre-Post Measures

Collecting data on project measures before and after the program implementation helps assess possible impact of the project. Quantitative data collection should begin before plan implementation starts (the baseline point) and continue throughout the project period and beyond. Measures can be plotted on a graph to show increase or decrease in variables or outcomes over time. Some outcome measures (e.g., fear of terrorist attack assessed via neighborhood surveys) will not be available on a continual (e.g., monthly) basis.

Comparison Area/Group

Adding a **comparison area or group** to an impact evaluation gives one even more confidence to say that a project has been responsible for observed changes in a project population. A **comparison area** is an area comparable to the project area (in key ways, such as laws or geography) that does not have the particular project being evaluated. A **comparison group** contains people of the same age, race/ethnicity, gender, socioeconomic status, severity of condition, or other key attributes as those in the group receiving project services, but does not receive the project intervention.

Comparison groups may not be as application in a homeland security strategic plan. When utilized, it is important that the comparison area/group does not experience changes in any factors that may impact measurement of evaluation variables but that are not experienced by the project area/group. This can be a challenge in project evaluation, especially if there is a time lag between project implementation and completion of the evaluation.

Analysis

Once data has been collected, it must be analyzed. Weiss (1998) sets out the basic questions to be answered in evaluation analysis:

- What happened in the plan?
- How faithfully did the exercise adhere to its original plans?
- Did actions improve?
- Was observed change or improvement due to the strategic plan?
- Did benefits outweigh costs?
- What characteristics of persons, services, and context were associated with success?
- What combinations or bundles of characteristics were associated with success?
- Through what mechanisms did success take place?
- What were the unanticipated effects?

- What limits are there to the applicability of the findings?
- What are the implications for future planning?
- What recommendations can be based on the findings?
- What new policies and projects do the findings support?

Unintended Consequences

Unintended consequences sometimes result from a project. These consequences can be good, bad, or a combination of both. Unintended consequences can come about for a variety of reasons, including a poorly conceived project, pre-existing problems that are brought to light, unrealistic expectations, political wrangles, displacement of problems, or systemic imbalance. Positive unintended consequences may include adoption of the plan by other organizations or disciplines, spillover of results to other aspects of homeland security plans and strategies. Evaluators should brainstorm in advance all reasonably possible side effects of a strategic plan and include measures on these. Consultation with critics, experts in the field, and prior evaluations are ways to foresee unintended consequences.

Identifying and Recruiting an Evaluator

Internal vs. External Evaluator

Evaluation can be performed by staff within an agency or by external evaluators. Weiss (1998) and Maxfield (2000) set out some advantages for using an **internal** evaluator:

- They understand the organization, its interests, and needs.
- They are aware of the opportunities for using evaluation results.
- They have multiple opportunities to bring results to the attention of agency management, funding sources, etc.

Advantages for using an **external** evaluator may include the following:

- Greater resources (especially useful for large-scale evaluations).
- Less likely to have a vested interest in showing the project to be successful.
- Enhance the credibility and “independence” of an evaluation (especially useful in a politically-charged environment).
- Wider range of evaluation skills (e.g., they may be particularly helpful with developing a logic model or theory of program impact, sampling, creating comparison groups, knowing methodologies used by similar past evaluations, and analyzing data).
- Opportunity to bypass the agency to publicize evaluation results.

Methods of Recruitment

There are three main ways in which an agency can recruit an evaluator:

- Hire an evaluator as a staff member of the agency or assign the task to an evaluator already on staff. Experts can be hired as consultants to advise the staff evaluator and review her work.

- Hire an outside research/evaluation or consulting organization to do the evaluation.
- Open up bidding for the study to all applicants, through a request for proposals (RFP). The commissioning agency sets out its requirements for the study and asks evaluation organizations to submit proposals explaining how they would conduct the study and at what cost. This method is used frequently for evaluations of government programs.
- If an agency works with a local university graduate student, they might not have to “hire” this person in a formal sense.

Sources of Expert Evaluators

Maxfield (2000) and Roehl (2002) provide a useful list of sources of expert evaluators to assist project staff with evaluation:

1. Local College or Universities

Contact extramural research programs, homeland security or criminal justice policy institutes at universities. These programs often have an organized program to support evaluation research outside of the university. Professors undertake the evaluation work with assistance from students. Also, look for people whose work is prominent in the publications of professional associations, such as the American Correctional Association, American Bar Foundation, and the Police Executive Research Forum, and in National Institute of Justice (NIJ) publications. Partly as a result of a NIJ initiative to promote locally-initiated research partnerships (see below), researchers in colleges and universities have become more involved in what McEwen (1999) describes as “action research” where evaluators and project staff partner to find solutions to crime and safety problems. Local agencies can benefit from the growing availability and disposition of researchers to help justice agencies tackle local evaluation needs.

2. Government Agencies

Evaluators who work in government agencies (e.g., police departments or statisticians at the Community Development Department) may be available to help with aspects of an evaluation or suggest evaluators in other organizations who can help.

3. Non-profit organizations, independent research firms, or consultants

Consulting firms or non-profit research organizations are often more responsive to the needs of local agencies than academic researchers. The cost of contracting with these firms is often offset by the value of their timely services. In a study of technical assistance to urban agencies in the 1960s and 1970s, Stanton (1981) identifies more successful experiences when local officials use consulting firms or think tanks, compared with academic researchers. For recommendations on research companies, ask other project directors in the project’s jurisdiction or field of work.

Alternatives to Engaging an External Evaluator

Self-Evaluation

Self-evaluation has grown in acceptance as a model for evaluation. In many circumstances, public agencies, community groups, and other organizations can conduct internal

evaluations. Indeed, self-evaluation or empowerment evaluation can help “foster implementation and self-determination” (Fetterman, Kaftarian & Wandersman, 1996, pp.4-5). A variation on self-evaluation is the “evaluation audit”. In this model, local organizations conduct most or all evaluation tasks themselves and a consultant is engaged to review all or some stages of the evaluation for rigor and quality.

There are extensive evaluation methods and tools available on the Internet that can help with choosing a methodology to evaluate a project. An example of a useful website is the National Evaluation Data Services (NEDS) website (www.neds.calib.com). The Center for Substance Abuse Treatment (CSAT) Office of Evaluation, Scientific Analysis and Synthesis (OESAS) established the original National Evaluation Data Services (NEDS) contract (Contract No. 270-97-7016) in 1997 to support the CSAT mission by increasing the evidence-based knowledge of the effectiveness of substance abuse treatment and promoting access to treatment evaluation and research data and findings. Many valuable research and evaluation products and tools are currently available through the web site, including the National Treatment Improvement Evaluation Study final report and instruments (developed by the National Opinion Research Center) and NEDS-developed technical reports, fact sheets, and integrated evaluation methods, concepts, and tools. These holdings are updated every month with newly developed products.

There is also a wealth of publications that share the results of recently-funded evaluations of criminal justice programs (for example, check out the BJA monograph: “Creating a New Criminal Justice System for the 21st Century: Findings and Results from State and Local Program Evaluations”, 40 pp, 2000, NCJ 178936).

Research and Evaluation Partnerships

Partnerships between researchers and evaluators, and project staff are increasingly common. In recent years, bureaus in the federal Office of Justice Programs (OJP) have promoted locally initiated research partnerships that create opportunities for local officials to collaborate with evaluation experts. For example, the National Institute of Justice (NIJ) and the Office of Community Oriented Policing Services (COPS) began a program of policing research partnerships in 1995. See a summary of the results of this project in Tom McEwen’s, “NIJ’s Locally Initiated Research Partnerships in Policing – Factors that Add up to Success,” *NIJ Journal*, Issue No. 238, January 1999, pp. 2-11. The Department of Justice’s Strategic Approaches to Community Safety Initiative (SACSI) has an evaluation model that incorporates a local researcher as an integral partner within a project. This evaluator works closely with other partners to analyze target crime and potential solutions and monitor project activities and effects over time. Evaluation partnerships can strengthen project planning, implementation, and evaluation.

Qualities of an Evaluator

Whatever method of recruitment, evaluators should have the following qualities (Roehl, (2002)):

1. Be independent of and objective about the project being evaluated.
2. Have the confidence of the plan administrators.
3. Have a solid understanding of research methods and experience in doing evaluations.
4. Possess substantial knowledge about the areas (e.g., homeland security), and nature of domestic preparedness strategies.
5. Be personable and comfortable working with multiple agencies and committees, and with multi-faceted, diverse projects.
6. Be willing to provide feedback/input to a project either during or after its conclusion.

Managing the Evaluator – Roles, Responsibilities, and Maintaining the Relationship

Roles. The role of the evaluator will differ depending on what evaluation approach is adopted (e.g., traditional vs. collaborative vs. empowerment vs. self). However, in many project evaluations the role of the evaluator is generally to:

- Engage in a structured effort to learn the concerns, assumptions, questions, data needs, and intentions of stakeholders for their evaluation.
- Shape the evaluation to answer their questions and meet their priorities.
- Remain in charge of the technical research work.
- Report back frequently to be sure the study is one target.
- When the data are analyzed, engage representatives of stakeholders in interpreting the meaning of the data and its implication for project improvement.

The traditional role of the evaluator was one of detached objective inquiry. However, the evaluator's role has evolved into one of investigator, facilitator, and problem solver. This involves a closer relationship between evaluator and project, including project staff. The role of the evaluator (especially in an action research environment) is now one of **collaboration** with project staff on ways of devising ways to improve their project.

Responsibilities. Throughout the dealings with others, the evaluator should keep standards of ethical behavior in mind, including dealing fairly and sensitively with people. At the same time, the evaluator has a professional and ethical responsibility to report evaluation results fully and honestly. The American Evaluation Association's (1995) Guiding Principles state:

“Because justified negative or critical conclusions from an evaluation must be explicitly stated, evaluations sometimes produce results that harm client or stakeholder interests. Under this circumstance, evaluators should seek to maximize the benefits and reduce any unnecessary harm that might occur, provided this will not compromise the integrity of the evaluation findings. Evaluators should carefully judge when the benefits from doing the evaluation or in performing certain evaluation procedures should be foregone

because of the risks or harms. Where possible, these issues should be anticipated during the negotiation of the evaluation.” (p. 24)

Protecting human subjects is one critical aspect of ethical research. For example, research should not harm subjects, subjects’ participation should be voluntary, and their privacy and confidentiality should be protected.

Expectations. One of the most important obligations an evaluator has is to clarify what the evaluation can and cannot do. The evaluator needs to be candid about the extent to which the study can hand down clear judgments about the quality of the project’s services, the utility of project outcomes, the degree to which the project was responsible for changes that occurred, and the limits to the study’s generalizability to future conditions, other places, staff, and projects.

Maintaining the Relationship. Open and candid communication between evaluator and project staff is crucial. It is also important to have the location and lines of authority clear from the beginning, so that everyone understands where and how disputes will be resolved.

The evaluator should have the **autonomy** that all research requires to report objectively on the evidence and to pursue issues, criteria, and analysis beyond the limits set by people pursuing their own or their organization’s self-interest.

Reporting. In deciding whom the evaluator will report to in the organization, two criteria apply. One is who can control what the evaluation does and says. The other is who can put the findings to use. For example, if project managers oversee an evaluation, they may be wary of letting questions be asked or information released that might reflect poorly on their performance. On the other hand, they have almost daily opportunities to put results to use when they bear on the regular operations of the project. In contrast, policymakers, who often have less at stake if evaluation findings are negative, are unlikely to seek to censor the evaluation. But they have fewer opportunities to make the day-to-day modifications in project operation that effective use of evaluation results might involve.

Publication

The possibility for publishing the findings of a project evaluation should not be overlooked. Project administrators and staff often believe that the information was generated to answer their questions, and they are not eager to have their linen washed in public. Evaluators are sometimes so pressed for time that they submit the required report to the agency and proceed on to a new study. In the past decades, new publication channels have opened. If progress is to be made in understanding how projects are best conducted, and where and when they can be improved, a cumulative information base is essential. Only through publication will results build up. Even where evaluation results show that a project has had little effect, it is important that others learn of the findings so that ineffective projects are not unwittingly duplicated. When project results are mixed, project managers would profit from learning about the components of the project associated with greater success.