

Homeland Security Assessment Manual

**A Comprehensive Organizational Assessment
Based on Baldrige Criteria**

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Introduction

The terrorist threat to America's infrastructure takes many forms, has many places to hide, and is often invisible. The need for homeland security is not tied to any specific threat. The need for homeland security is tied to the underlying vulnerability of American infrastructure in general, and specifically to various public and private organizations that comprise that infrastructure.

The unprecedented national response to homeland security began literally minutes after the first plane struck the World Trade Center in New York City on September 11, 2001. Since September 11, the highest levels within U.S. government and their various agencies have gone to enormous lengths to identify the most vulnerable potential targets and critical infrastructure in the United States. Potential targets identified include airports, sea and water ports, nuclear facilities, dams, water and sewer plants, electric power plants, gas pipelines, dams and bridges, and biological and chemical facilities. In addition, high profile events, holidays, and landmarks, such as the Olympics, Super Bowl, New Year's Eve celebration at Times Square in New York City, Christmas, July 4, and numerous other national events and historical landmarks that involve thousands of American citizens and public and private organizations, remain ongoing targets for terrorists.

The National Governor's Association has estimated that states have spent at least \$650 million to protect their infrastructure since September 11, 2001.¹

The United States had never had a national strategy for homeland security until President George W. Bush issued Executive Order 13228, Section 2, on October 8, 2001, establishing the Office of Homeland Security and former Pennsylvania Governor Tom Ridge as director. On January 24, 2003, Ridge became the first Secretary of the Department of Homeland Security. The national strategy took more than eight months to complete and involved thousands of public and private stakeholders.

This manual, with its incorporation of Baldrige criteria, will aid an organization's self-assessment process by keeping it simple and involving a number of various levels of employees in the process. The manual is designed to encourage participation throughout the organization's workforce through assessment teams who ask questions and from those who answer questions regarding homeland security. Total workforce involvement can include up to 200 employees. This assessment process helps an organization determine how holistically integrated the organization is in securing a safe work environment for its employees, suppliers, partners, and customers regarding homeland security.

Homeland Security Resources

Presently, there exist several resources for homeland security planning for cities and towns. The Kentucky League of Cities and the NewCities Foundation have developed an exemplary four-step process for hometown security planning. The process promotes cities and towns:

- Establishing a planning team
- Analyzing capabilities and hazards

- Developing the plan
- Implementing the plan²

Other state agencies have provided similar information for elected officials within their states. An example presented to local governments as a practical tool for first steps in homeland security preparation by the National League of Cities includes:

First Steps for Preparedness

- Systematically evaluate current capabilities and deficiencies.
- Perform a risk assessment and vulnerability analysis of the community.
- Ensure that local hospitals are prepared to treat victims of a terrorist attack.
- Meet with those responsible for emergency medical services to assess their current scope of practice as it pertains to terrorist events.
- Provide frequent, brief training programs to medical personnel to ensure their participation in the preparedness process.
- Evaluate the current capabilities of the fire department's response to HAZMAT incidents.
- Cross-train the appropriate responders to avoid having to create and fund additional response teams.
- Develop mutual aid agreements with surrounding communities to ensure better use of existing resources during any type of disaster.
- Incorporate the business community into the planning process.³

Homeland security is presently being addressed extensively throughout the nation among state and local levels of government. They have the responsibility for funding, preparing, and operating emergency services that will respond in the event of a terrorist attack.

Public and private sector organizations, the nation's principal provider of goods and services, provide 85 percent of the nation's infrastructure, according to the "National Strategy for Homeland Security Report" issued during July 2002. Public and private sector organizations are key homeland security partners to state and local governments and deliver information systems, ship packages, provide transportation, produce vaccines, manufacture detection devices, and supply utilities and other critical services and technologies and innovations that help secure the homeland.⁴

National Strategy for Homeland Security

The national strategy for homeland security aligns homeland security functions into six critical mission areas: (1) intelligence and warning, (2) border and transportation security, (3) domestic counterterrorism, (4) protecting critical infrastructure, (5) defending against catastrophic terrorism, and (6) emergency preparedness and response. The first three critical mission areas focus on prevention of terrorist attacks, the next two on reducing vulnerabilities, and the final one on a minimization of damage and recovery from the attack.⁵

Protecting America's public/private sector organizational infrastructure presents a formidable challenge. This nation's critical public/private sector infrastructure changes as rapidly as the marketplace. Not all terrorist attacks can be prevented, but they can be significantly reduced by public/private sector organizations who conduct holistic assessments of their infrastructure and work in partnership with federal, state, and local homeland security initiatives.

This manual has been developed for public and private sector organizations to use as a template to assess their overall internal homeland security readiness and vulnerability in the case of a major security threat to their organizational infrastructure.

Baldrige Criteria for Performance Excellence

Many public and private organizations have been using the Malcolm Baldrige Criteria for Performance Excellence since its founding in 1987 for internal self-assessment to measure their organization's performance excellence against this national quality standard of performance criteria.

The Malcolm Baldrige National Quality Improvement Act of 1987 was signed by President Ronald Reagan on August 20, 1987. The act established the Malcolm Baldrige National Quality Award named in honor of the former Secretary of Commerce. The Baldrige Award Criteria are considered the national standard for performance excellence. The Baldrige Award Criteria are directed toward maximizing the overall effectiveness and productivity of an organization. They are built around seven major examination categories:

- **Leadership.** Examines how the organization's senior leaders address values, directions, and performance expectations, as well as a focus on customers and other stakeholders, empowerment, innovation, and learning.
- **Strategic Planning.** Examines how the organization develops strategic objectives and action plans and how strategic objectives and action plans are deployed.
- **Customer and Market Focus.** Examines how the organization determines requirements, expectations, and customer preferences.
- **Measurement, Analysis, and Knowledge Management.** Examines how the organization selects, gathers, analyzes, manages, and improves its data, information, and knowledge assets.
- **Human Resource Focus.** Examines how the organization's work systems and employee learning and motivation enable employees to develop and use their full potential in alignment with the organization's overall objectives and action plans.
- **Process Management.** Examines the key aspects of the organization's process management, including key product, service, and business processes and key support processes.
- **Business Results.** Examines the organization's performance and improvement in key business areas, which include customer satisfaction, product/service performance, financial/market-place performance, human resource results, operational performance, and governance/social responsibility.⁶

Baldrige Core Values and Concepts

The Baldrige core values and concepts are interrelated and run through all 88 areas in the criteria. They include:

- Visionary leadership
- Customer-driven excellence
- Organizational and personal learning
- Valuing employees and partners
- Agility
- Focus on the future
- Managing for innovation
- Management by fact
- Social responsibility
- Focus on results and creating value
- Systems perspective⁷

The Baldrige Award

The Baldrige awards are traditionally presented by the President of the United States and the Secretary of Commerce in special ceremonies in Washington, D.C. These annual awards recognize U.S. organizations that excel in performance excellence. As many as two awards may be given in each of five eligibility categories:

1. Manufacturing businesses
2. Service businesses
3. Small businesses
4. Educational organizations
5. Health care organizations⁸

A not-for-profit category will be added as a sixth eligibility category when approved by Congress.

The Baldrige Criteria

The Baldrige Criteria establish guidelines and criteria that can be used by public and private organizations to evaluate their homeland security efforts. The Baldrige Criteria can provide guidance to public and private organizations by helping them disseminate the various homeland security initiatives that are being undertaken within their organization and to identify various opportunities for improvement throughout their organization regarding homeland security issues.

The use of this manual to conduct a comprehensive organizational assessment based on Baldrige Criteria for homeland security preparedness provides an organizational perspective of their readiness and vulnerabilities that exist within their overall infrastructure.

Homeland Security Advisory System (HSAS)

A presidential directive 3 (PD-3) signed into law by President George W. Bush in March 2002 created the color-coded Homeland Security Advisory System (HSAS). The implementation of the color-coded system provides a common language and understanding for all levels of government and the general public to follow regarding critical threats to homeland security. This color-coded Advisory System ensures that homeland security warning information reaches the appropriate federal, state, local authorities, public and private organizations, including the American public, in a timely manner.⁹

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How to Use the Baldrige Criteria and HSAS to Assess Your Organization

The alignment of the Baldrige Criteria with the color-coded Homeland Security Advisory System (HSAS) provides a unique assessment methodology for an organization to gauge its homeland security vulnerabilities and readiness in case of a major terrorist attack. Both the Baldrige Criteria and HSAS have been recognized as “best practice” initiatives for organizations to use to assess and to ensure that their performance excellence and security is competitive in the global marketplace.

An organization would want to assess itself using the Baldrige Criteria because thousands of U.S. organizations stay abreast of ever-increasing competition and improve performance excellence using this internationally recognized quality standard. The criteria help an organization align resources and approaches and improve corporate-wide communications, productivity, and effectiveness.

The Baldrige assessment scoring system is based on two evaluation dimensions: (1) process and (2) results. Each dimension should be considered before assigning a percentage score. All process evaluation dimension categories are linked to results, as well as being linked to each other. In addition, each of the categories assessed will have Homeland Security Scoring Profiles based on the Homeland Security Advisory System to help facilitate the scoring process.

Process Evaluation Dimension (Baldrige Categories 1–6)

“Process” refers to the methods your organization uses and improves to address the item requirements in Categories 1–6. The four factors used to evaluate process are approach, deployment, learning, and integration (A-D-L-I).

“Approach” (A) refers to:

- The methods used to accomplish the process.
- The appropriateness of the methods to the item requirements.
- The effectiveness of use of the methods.
- The degree to which the approach is repeatable and based on reliable data and information (i.e., systematic).

“Deployment” (D) refers to the extent to which:

- Your approach is applied in addressing item requirements relevant and important to your organization.
- Your approach is applied consistently.
- Your approach is used by all appropriate work units.

“Learning” (L) refers to:

- Refining your approach through cycles of evaluation and improvement.
- Encouraging breakthrough change to your approach through innovation.
- Sharing of refinements and innovation with other relevant work units and processes in your organization.

“Integration” (I) refers to the extent to which:

- Your approach is aligned with your organizational needs identified in other criteria item requirements.
- Your measures, information, and improvement systems are complementary across processes and work units.
- Your plans, processes, results, analysis, learning, and actions are harmonized across processes and work units to support organization-wide goals.

Results Evaluation Dimension (Baldrige Category 7)

“Results” refers to your organization’s outputs and outcomes in achieving the requirements in items 7.1–7.6. The five factors used to evaluate results are performance levels, trends, comparisons, linkage, and gap (Le-T-C-Li-G).

“Performance Levels” (Le) refers to:

- Performance position of data
- Rank of data performance
- Current data performance
- Numerical information that places or positions the organization’s results and performance on a meaningful measurement scale

“Trends” (T) refers to:

- Ratio (i.e., slope of trend data)
- Breadth (i.e., how widely deployed and shared)

“Comparisons” (C) refers to:

- Performance relative to appropriate comparisons
- Comparisons against exemplary results

“Linkage” (Li) refers to:

- Alignment of data to important customer product and service, process, and action plan performance requirements
- Complementary measures and results that are aligned throughout many parts of the organization
- Connective measures throughout the organization that drive key organizational strategies and goals

“Gap” (G) refers to:

- An interval in results data
- Missing segments of data

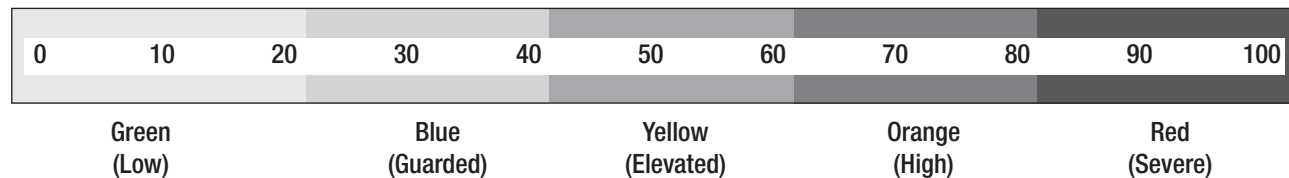
“Importance” as a Scoring Consideration

The two evaluation dimensions, described in the previous section, are critical to evaluation and feedback. However, another critical consideration in evaluation and feedback is the importance of your reported process and results to your organization’s key business factors (i.e., key customer requirements, competitive environment, key strategic objectives, and action plans).

The percent scores range from a low of 0% for zero-based preparation to a high of 100% for world-class preparation. An organization can be 0% (zero-based) in some areas and 100% (world-class) in others. The anchor point is 50%, which is middle range. Many organizations fall below the 50% anchor point regarding homeland security preparation. The 50% anchor point is considered to be good, but certainly below what an organization that is striving to be the “best-in-class” in homeland security preparation among leading organizations would score.

Zero-Based Preparation

World-Class Preparation



(Circle Appropriate Percentile)

Organizations that score 0% have an anecdotal approach, lack deployment, and have no meaningful results. Organizations that score 100% reflect a refined, very mature approach that is deployed and well adapted with sustainable results in all relevant areas of the organization.

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BALDRIGE SCORING GUIDELINES**For use with Categories 1–6**

Score	Process
0–5%	<ul style="list-style-type: none"> • No systematic approach is evident; information is anecdotal. (A) • Little or no deployment of an approach is evident. (D) • No evidence of an improvement orientation; improvement is achieved through reacting to problems. (L) • No organizational alignment is evident; individual areas or work units operate independently. (I)
10–25%	<ul style="list-style-type: none"> • The beginning of a systematic approach to the basic requirements of the Item is evident. (A) • The approach is in the early stages of deployment in most areas or work units, inhibiting progress in achieving the basic requirements of the item. (D) • Early stages of a transition from reacting to problems to a general improvement orientation are evident. (L) • The approach is aligned with other areas or work units largely through joint problem solving. (I)
30–45%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the basic requirements of the item, is evident. (A) • The approach is deployed, although some areas or work units are in early stages of deployment. (D) • The beginning of a systematic approach to evaluation and improvement of key processes is evident. (L) • The approach is in early stages of alignment with your basic organizational needs identified in response to the other criteria categories. (I)
50–65%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the overall requirements of the item, is evident. (A) • The approach is well deployed, although deployment may vary in some areas or work units. (D) • A fact-based, systematic evaluation and improvement process and some organizational learning are in place for improving the efficiency and effectiveness of key processes. (L) • The approach is aligned with your organizational needs identified in response to the other criteria categories. (I)
70–85%	<ul style="list-style-type: none"> • An effective, systematic approach, responsive to the multiple requirements of the item, is evident. (A) • The approach is well deployed, with no significant gaps. (D) • Fact-based, systematic evaluation and improvement and organizational learning are key management tools; there is clear evidence of refinement and innovation as a result of organizational-level analysis and sharing. (L) • The approach is integrated with your organizational needs identified in response to the other criteria items. (I)
90–100%	<ul style="list-style-type: none"> • An effective, systematic approach, fully responsive to the multiple requirements of the item, is evident. (A) • The approach is fully deployed without significant weaknesses or gaps in any areas or work units. (D) • Fact-based, systematic evaluation and improvement and organizational learning are key organization-wide tools; refinement and innovation, backed by analysis and sharing, are evident throughout the organization. (L) • The approach is well integrated with your organizational needs identified in response to the other criteria items. (I)

Process Evaluation Factors

A = Approach D = Deployment L = Learning I = Integration

BALDRIGE SCORING GUIDELINES**For use with Category 7**

Score	Process
0–5%	<ul style="list-style-type: none"> • There are no business results or poor results in areas reported. (Le) • Trend data are either not reported or show mainly adverse trends. (T) • Comparative information is not reported. (C) • Results are not reported for any areas of importance to your organization's key business requirements. (Li) • No results are reported for most key organizational initiatives. (G)
10–25%	<ul style="list-style-type: none"> • A few business results are reported; there are some improvements and/or early good performance levels in a few areas. (Le) • Little or no trend data are reported. (T) • Little or no comparative information is reported. (C) • Results are reported for a few areas of importance to your organization's key business requirements. (Li) • Limited results are reported for many organizational initiatives. (G)
30–45%	<ul style="list-style-type: none"> • Improvements and/or good performance levels are reported in many areas addressed in the item requirements. (Le) • Early stages of developing trends are evident. (T) • Early stages of obtaining comparative information are evident. (C) • Results are reported for many areas of importance to your organization's key business requirements. (Li) • Several results are reported with some missing segments. (G)
50–65%	<ul style="list-style-type: none"> • Improvement trends and/or good performance levels are reported for most areas addressed in the item requirements. (Le) • No pattern of adverse trends and no poor performance levels are evident in areas of importance to your organization's key business requirements. (T) • Some trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of good to very good relative performance. (C) • Business results address most key customer, market, and process requirements. (Li) • Some results are missing in key areas. (G)
70–85%	<ul style="list-style-type: none"> • Current performance is good to excellent in most areas of importance to the item requirements. (Le) • Most improvement trends and/or current performance levels are sustained. (T) • Many to most reported trends and/or current performance levels—evaluated against relevant comparisons and/or benchmarks—show areas of leadership and very good relative performance. (C) • Business results address most key customer, market, process, and action plan requirements. (Li) • A few results have missing segments. (G)
90–100%	<ul style="list-style-type: none"> • Current performance is excellent in most areas of importance to the item requirements. (Le) • Excellent improvement trends and/or sustained excellent performance levels are reported in most areas. (T) • Evidence of industry and benchmark leadership is demonstrated in many areas. (C) • Business results fully address key customer, market, process, and action plan requirements. (Li) • Most results are in place with few missing segments. (G)

Results Evaluation Factors

Le = Performance Levels T = Trends C = Comparisons Li =Linkage G = Gap

Scoring Profiles Based on Risk of Attack Levels

Scoring of the 19 Baldrige items can be difficult for an assessment team to complete. Scoring profiles based on the Homeland Security Advisory System are provided in the manual to aid the team's scoring process. The teams should first consider the two dimensions (Process and Results) and review the Baldrige Scoring Guidelines before using the Homeland Security Advisory System Risk of Attack Levels Scoring Profiles section. The scoring profiles will aid the team in further profiling and fine-tuning the percentile range in which the scores should fall.

Presidential Directives for Homeland Security

A presidential directive established the Homeland Security Advisory System to provide a comprehensive and effective means to disseminate information regarding the risk of terrorist acts to federal, state, and local authorities, to the American public, and to both public and private organizations.

The system creates a common vocabulary, context, and structure for organizations to gauge various levels of protection that are either in place or need to be installed to reduce an organization's vulnerability to various terrorist attacks.

The following threat conditions each represent an increasing risk of terrorist attacks. The Department of Homeland Security has suggested various protective measures for organizations to follow and has provided the following risk of attack level color codes:

Homeland Security Advisory System (HSAS) Risk of Attack Levels

1. **Low Condition (Green).** This condition is declared when there is a low risk of terrorist attacks. Organizations should consider the following general measures in addition to the specific protective measures they develop and implement:
 - Refining and exercising as appropriate preplanned protective measures
 - Ensuring personnel receive proper training on the Homeland Security Advisory System and specific preplanned protective measures
 - Institutionalizing a process to ensure that all facilities are regularly assessed for vulnerabilities to terrorist attacks and all reasonable measures are taken to mitigate these vulnerabilities
2. **Guarded Condition (Blue).** This condition is declared when there is a general risk of terrorist attacks. In addition to the protective measures taken in the low threat condition, organizations should consider the following general measures in addition to specific protective measures that they will develop and implement:
 - Checking communications with designated emergency response or command locations
 - Reviewing and updating emergency response procedures
 - Providing the stakeholders with any information that would strengthen their ability to act appropriately
3. **Elevated Condition (Yellow).** An elevated condition is declared when there is a significant risk of terrorist attacks. In addition to the protective measures taken in previous threat conditions, organizations should consider the following general measures in addition to the protective measures that they will develop and implement:
 - Increasing surveillance of critical locations
 - Coordinating emergency plans as appropriate
 - Assessing whether the precise characteristics of the threat require the further refinement of preplanned protective measures
 - Implementing, as appropriate, contingency and emergency response plans
4. **High Condition (Orange).** A high condition is declared when there is a high risk of terrorist attacks. In addition to the protective measures taken in the previous three conditions, organizations should consider the following general measures in addition to protective measures that they will develop and implement:

- Coordinating necessary security efforts with federal, state, and local law enforcement agencies or any National Guard or other appropriate armed forces organizations
 - Taking additional precautions at public events and possibly considering alternative venues or even cancellation
 - Preparing to execute contingency procedures, such as moving to an alternate site or dispersing the workforce
 - Restricting threatened facility access to essential personnel only
5. **Severe Condition (Red).** A Severe Condition reflects a severe risk of terrorist attacks. Under most circumstances, the protective measures for a severe condition are not intended to be sustained for substantial periods of time. In addition to the protective measures in the previous threat conditions, organizations should consider the following general measures in addition to specific protective measures that they will develop and implement:
- Increasing or redirecting personnel to address critical emergency needs
 - Assigning emergency response personnel and prepositioning and mobilizing specially trained teams or resources
 - Monitoring, redirecting, or constraining transportation systems
 - Closing public facilities

Assessment Scores Based on Risk of Attack Levels

Homeland Security Scoring Profiles based on the Homeland Security Advisory System have been developed for the assessment team to use to better gauge their organization's level of preparedness for a major terrorist attack. The higher the score for each question reflects the organization's level of preparation for homeland security.

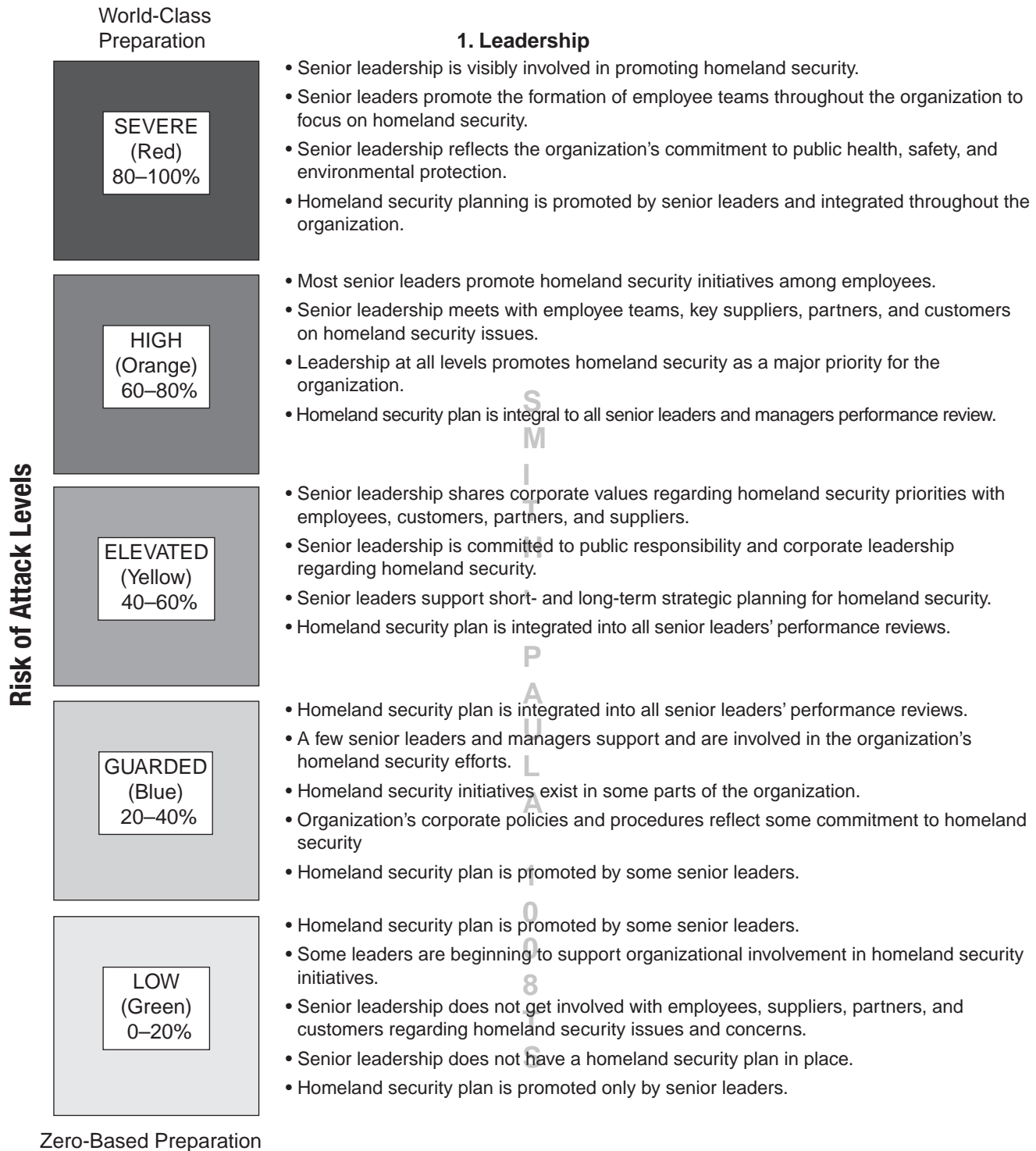
An organization may score in lower percentile color levels within some areas of the assessment. All scores should be aligned with the organizations strategic and business needs that are related to homeland security.

Based on the organization's homeland security needs, it may not be appropriate or cost effective for an organization to consistently score in the upper levels for each question within the assessment. The assessment teams should always refer to their **organizational overview** before assigning a percentile score. After referring to the **organizational overview**, the assessment team(s) should first review the **Baldrige Scoring Guidelines** before reviewing the **Homeland Security Scoring Profiles** listed in this chapter.

The Baldrige Scoring Guidelines should always be considered first by the teams when scoring and then the team(s) should validate their score against the Homeland Security Scoring Profiles to ensure that together both the Baldrige Scoring Guidelines and the Homeland Security Scoring Profiles adequately describe the organization's homeland security preparedness level that each question addresses throughout the assessment.

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)



HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation

SEVERE
(Red)
80–100%

2. Strategic Planning

- Organization's strategic planning process includes homeland security initiatives.
- Organization seeks and receives homeland security input from employees, suppliers, partners, and customers before developing a strategic plan.
- The strategic planning process for homeland security includes short- and longer-term plans based on key security data, customer, supplier, partner, and employee survey data, and benchmark data deployed throughout the organization.
- Homeland security is a critical component of the organization's strategic plans and goals.

HIGH
(Orange)
60–80%

- Senior management provides homeland security input and approves the strategic plan.
- Operational homeland security plans linked to the master strategic plan are developed throughout the organization.
- Managers are held accountable for meeting strategic homeland security goals and objectives.
- Homeland security initiatives are aligned throughout the strategic planning process.

ELEVATED
(Yellow)
40–60%

- Operational homeland security plans developed at departmental levels link with master plan.
- Organization involves employees, suppliers, partners, and customers in homeland security planning process.
- Managers at all levels are held accountable for meeting homeland security goals and objectives.
- Homeland security strategic goals and plans initiatives are beginning to be better aligned throughout the organization.

GUARDED
(Blue)
20–40%

- Strategic homeland security goals are established for key functional areas of the organization.
- Some employees, suppliers, partners, and customers are involved in the homeland security strategic planning.
- Some senior managers are involved in homeland security planning.
- Some strategic alignment of homeland security initiatives within the organization is evident.

LOW
(Green)
0–20%

- None to very few employees, suppliers, partners, and customers are involved in planning for homeland security.
- Homeland security planning is not included in the organization's strategic planning process.
- Employees beyond senior managers are not involved in planning for homeland security.
- No organizational alignment is evident for homeland security strategic initiatives.

Risk of Attack Levels

Zero-Based Preparation

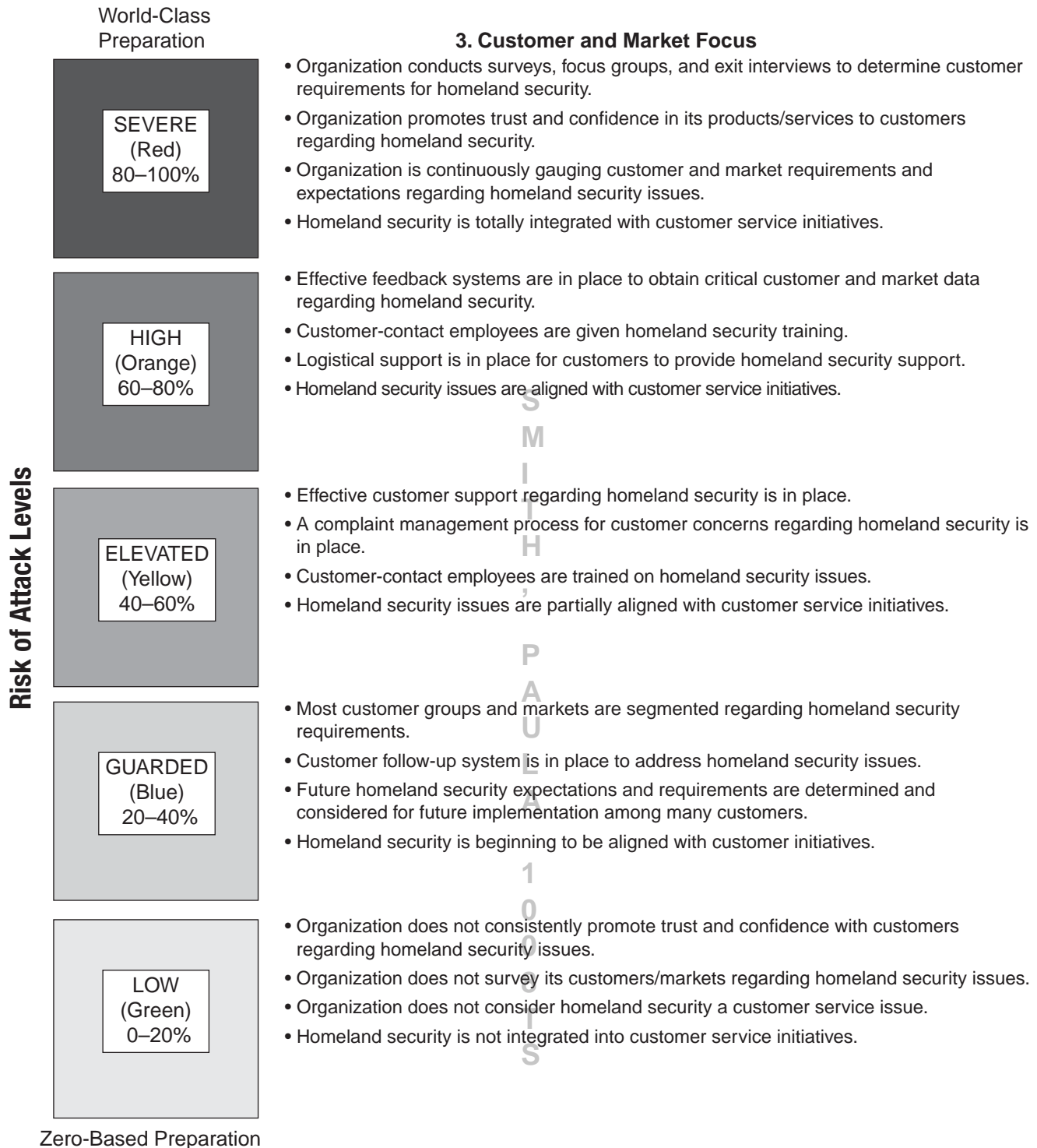
Process Dimension (Categories 1–6)

Evaluation Factors

- ☒ **Approach** (methods used to accomplish the process)
- ☒ **Deployment** (application of the approach throughout the organization)
- ☒ **Learning** (refinement of the approach through cycles of evaluation)
- ☒ **Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)



HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation

SEVERE
(Red)
80–100%

4. Measurement, Analysis, and Knowledge Management

- Processes and technology to ensure timely, accurate, valid, and useful homeland security data for employees, suppliers, partners, and customers are in place.
- Competitive comparisons and benchmarking information and data are used to improve and maintain homeland security.
- Homeland security data are analyzed organization-wide by employee teams that translate it into useful information to help secure the workplace environment.
- Homeland security knowledge and data are measured and deployed throughout the organization.

HIGH
(Orange)
60–80%

- Employees have rapid access to homeland security data throughout the organization.
- Comparative homeland security data are collected, analyzed, and translated into useful information to support a secure workplace.
- Processes and technologies are used across most of the organization to ensure that homeland security data are complete, timely, accurate, valid, and useful.
- Homeland security data are integrated with daily operations.

ELEVATED
(Yellow)
40–60%

- Employees have access to homeland security data in many parts of the organization.
- Most critical processes have homeland security data that are complete, accurate, and timely.
- Measures exist that gauge homeland security effectiveness throughout the organization.
- Homeland security data are measured, analyzed, and distributed throughout most of the organization.

GUARDED
(Blue)
20–40%

- Homeland security data exist for some critical products/services and processes.
- Organization ensures that hardware and software are reliable, secure, and user-friendly regarding homeland security.
- Homeland security data and knowledge are transferred to key customers, suppliers, and partners.
- Homeland security data and knowledge are beginning to be aligned throughout the organization.

LOW
(Green)
0–20%

- Homeland security data received for comparison appear anecdotal.
- Limited homeland security data are used to ensure a secure workplace for employees.
- Collection of homeland security data is in the beginning stages within the organization and not consistently shared with customers, suppliers, and partners.
- Homeland security data and knowledge are not integrated throughout the organization.

Zero-Based Preparation

Process Dimension (Categories 1–6)

Evaluation Factors

- ☒ **Approach** (methods used to accomplish the process)
- ☒ **Deployment** (application of the approach throughout the organization)
- ☒ **Learning** (refinement of the approach through cycles of evaluation)
- ☒ **Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation

5. Human Resource Focus

SEVERE
(Red)
80–100%

- Organization is highly sensitive to employee well-being and satisfaction regarding homeland security.
- Organization supports homeland security plans and goals through employee education, training, and development initiatives.
- Organization supports workplace preparedness for emergencies and homeland security by promoting cross-functional teams to address and to be recognized for innovative problem-solving approaches in identifying and resolving homeland security issues.
- Homeland security issues are totally integrated within the organization's workforce initiatives.

HIGH
(Orange)
60–80%

- Senior and middle management support and recognize employee involvement, contributions, and teamwork in resolving homeland security issues.
- Employee idea sharing and innovation is encouraged regarding homeland security.
- Employees are empowered and rewarded when they identify and address homeland security issues.
- Homeland security is integrated with most of the organization's workforce initiatives.

ELEVATED
(Yellow)
40–60%

- Homeland security awareness is promoted within many parts of the organization.
- Employees are given homeland security training on an annual basis.
- Management supports cross-functional teams to identify homeland security opportunities for the organization.
- Homeland security issues are partially integrated with the organization's workforce initiatives.

GUARDED
(Blue)
20–40%

- Managers in some parts of the organization support employee involvement in homeland security.
- Organization does not consistently keep employees informed regarding homeland security issues.
- Employee training initiatives do not consistently address homeland security issues.
- Homeland security is integrated with some workforce training and safety issues.

LOW
(Green)
0–20%

- Few employees within the organization are empowered to work on homeland security issues.
- Workforce is rarely surveyed regarding its well-being and satisfaction with the organization's homeland security initiatives.
- Employees involved with improving homeland security are seldom recognized by the organization.
- Homeland security is not aligned with workforce issues and a safe work environment.

Risk of Attack Levels

Zero-Based Preparation

Process Dimension (Categories 1–6)

Evaluation Factors

- ☒ **Approach** (methods used to accomplish the process)
- ☒ **Deployment** (application of the approach throughout the organization)
- ☒ **Learning** (refinement of the approach through cycles of evaluation)
- ☒ **Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation

6. Process Management

SEVERE
(Red)
80–100%

- Key homeland security processes have been identified and documented across the organization.
- Systematic approaches are used to document key homeland security processes to ensure shortened cycle time and consistent procedures.
- Critical homeland security processes are reviewed on an ongoing basis to reduce variability and to keep the processes current with homeland security needs and directions.
- Homeland security initiatives are aligned with key customer, supplier, and partner process initiatives.

HIGH
(Orange)
60–80%

- Key homeland security processes are documented and controlled across the organization.
- Comprehensive homeland security assessments are conducted throughout the organization on an annual basis.
- Analytic problem-solving tools are used within the organization to identify and solve homeland security problems.
- Homeland security issues are aligned with the organization's key business processes.

ELEVATED
(Yellow)
40–60%

- Process assessments are conducted in many parts of the organization to ensure a safe work environment.
- Customer, supplier, partner, and employee survey results are used to gauge homeland security readiness.
- Organization identifies and documents key processes that support homeland security.
- Homeland security issues are mostly aligned with the organization's key business processes.

GUARDED
(Blue)
20–40%

- Homeland security assessments are conducted only when a breach of security has occurred.
- Not all critical homeland security issues have been identified and addressed.
- Limited customer, supplier, and partner input is incorporated into documentation of homeland security process designs.
- Homeland security issues are partially integrated with the organization's operations and key business and support processes.

LOW
(Green)
0–20%

- Organization is in an appraisal mode rather than a prevention mode regarding its assessment of homeland security issues.
- Limited homeland security assessments are conducted.
- Homeland security issues to ensure a safe work environment are seldom addressed and documented.
- Homeland security issues are not integrated with the organization's operations and key processes.

Zero-Based Preparation

Risk of Attack Levels

Process Dimension (Categories 1–6)

Evaluation Factors

- ☒ **Approach** (methods used to accomplish the process)
- ☒ **Deployment** (application of the approach throughout the organization)
- ☒ **Learning** (refinement of the approach through cycles of evaluation)
- ☒ **Integration** (alignment of the approach throughout the organization)

HOMELAND SECURITY SCORING PROFILES

(Based on Homeland Security Advisory System. Baldrige Categories are profiled into five percentile ranges.)

World-Class
Preparation

SEVERE
(Red)
80–100%

HIGH
(Orange)
60–80%

ELEVATED
(Yellow)
40–60%

GUARDED
(Blue)
20–40%

LOW
(Green)
0–20%

Risk of Attack Levels

Zero-Based Preparation

7. Business Results

- Customer satisfaction results regarding homeland security initiatives have shown positive results over the past three years.
- Homeland security performance results have experienced a steady improvement over the past five years.
- Employee suggestions for homeland security improvement and innovative safe work practices show positive trends over the past several years.
- Homeland security results are trended and used to align overall corporate security.
- Organization's homeland security improvement results reflect improvement in cycle time and operational performance.
- Key measures of the organization's homeland security processes reflect cycle time reductions, and cost results have improved over the past two to three years in most parts of the organization.
- Comparative homeland security benchmark results reveal that the organization is leading its industry.
- Homeland security results are used to gauge vulnerability issues throughout the organization.
- Key measures of homeland security within operations, shipping, and customer contact reflect a three-year trend of positive results.
- Supplier partnership with organization's homeland security efforts show positive trends over the past two years.
- Customer involvement with homeland security issues reflects positive results over the past two years.
- Homeland security results are mostly collected and used to gauge vulnerability issues.
- Customer satisfaction with homeland security shows positive results and trends.
- Employee involvement in homeland security projects has shown positive results over the past two years.
- Employee satisfaction with organization's homeland security effort shows positive trends over the past three years.
- Homeland security results are partially collected and deployed.
- Limited homeland security benchmark results are collected by the organization.
- Employee satisfaction with homeland security within the organization has limited results and appears to be decreasing.
- Organization's improvement in homeland security efforts appears anecdotal and has limited results.
- Homeland security results are not reported or aligned with other organizational initiatives.

Results Dimension (Category 7)

Evaluation Factors

- ☒ **Performance Levels** (position of data performance)
- ☒ **Trends** (rate and breadth of data)
- ☒ **Comparisons** (results relative to appropriate benchmarks)
- ☒ **Linkage** (alignment of data with key organizational initiatives)
- ☒ **Gap** (missing segments of data)