

# 2 How to Use the Manual

## How to Use the Homeland Security Manual

This manual is designed to serve as an easy-to-use guide for an organization's cross-functional self-assessment team(s) to assess and score its homeland security readiness.

This manual can be used to provide a security check due diligence for an organization's homeland security efforts, to help its employees understand what Baldrige Criteria are asking, and to provide a template for its self-assessment and strategic planning efforts regarding homeland security. In addition the manual provides guidance for employees and employee teams to score their departments or total organization in 88 areas and serves as an annual benchmark for homeland security improvement and a strategic planning guide for short-term and longer-term homeland security planning. The manual assists employees in determining their organization's readiness in case of a mass terrorist attack. The manual can also be used to help employees collect homeland security data to benchmark against other "best practice" organizations and to ultimately develop a homeland security plan.

## How to Begin and Prepare for an Assessment

The assessment of an organization should begin with the full support and sponsorship of the senior leadership. The senior leadership should appoint a homeland security assessment team administrator.

The first step in preparing for the assessment should include conducting a homeland security assessment briefing for senior leadership. This session can be conducted by the organization's safety/security division or the person who has been selected by senior leadership as the assessment team administrator to lead the assessment process. The person(s) responsible for the briefing should review this manual and have a thorough understanding of homeland security issues and the Baldrige Criteria before conducting the session.

In addition, senior leadership must be educated in homeland security issues and the principles of Baldrige Criteria to appreciate the value of conducting the assessment. Several activities are recommended to help senior leaders develop an understanding of homeland security issues and Baldrige Criteria. These include the following:

- Reading books and articles on homeland security issues (a suggested resource list is included in this manual)
- Reviewing the Malcolm Baldrige National Quality Award Criteria (included throughout this manual)
- Benchmarking other public/private organizations to review best practices (see Appendix B)

After senior leaders have been briefed, the assessment team administrator should begin the process of soliciting assessment team members. Many organizations solicit members through their corporate newsletter, electronic mail, or a personal letter sent from the president/CEO inviting participation. Team members selections should be considered from a group of employees who have expressed an interest in better understanding homeland security and using the Baldrige Criteria as a template for improving their organization’s homeland security infrastructure.

Once team members have been selected, it is recommended that an assessment workshop be conducted by the assessment team administrator or team participants who have an understanding of homeland security issues and the Baldrige Criteria. The workshop may include using a case study for the team to practice identifying organizational strengths and opportunities for improvement in at least one or two categories (see <http://www.baldrige.org> for case study). During the workshop, the team will discuss each category and determine “What does this mean for my organization?” The use of this manual will help the team practice translating homeland security issues and Baldrige Criteria into simple language for their own organization-wide assessment.

## Assessing the Organization

### Team Member Selection

Assessment team members should represent a cross section of employees. All departments throughout the organization should be represented on the teams. Diversity adds value and strength to each assessment team.

In larger organizations, seven homeland security assessment/Baldrige category subteams would need to be developed. A subject matter expert (SME) for a particular Baldrige category should be selected as the category team leader. In smaller organizations where there are a limited number of personnel who could serve on assessment teams, all categories can be assessed by one team. Following are some sample assessment team compositions:

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### ASSESSMENT TEAM COMPOSITION (LARGE ORGANIZATION) (20 to 50 Members)

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#### Team 1

##### Leadership

- CEO, President, or Senior VP (*Team Leader*)
- Director of Legal
- Director of Public Policy
- Manager of Operations
- Customer
- Supplier
- Partner

#### Team 2

##### Strategic Planning

- VP, Strategic Planning (*Team Leader*)
- Director
- Manager
- Supervisor
- Customer
- Supplier
- Partner

#### Team 3

##### Customer and Market Focus

- VP, Marketing (*Team Leader*)
- Director
- Manager

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- Supervisor
- Customer
- Supplier
- Partner

#### Team 4

##### Measurement, Analysis, and Knowledge Management

- VP, IT (*Team Leader*)
- Director of IT
- Manager
- Supervisor
- Customer
- Supplier
- Partner

#### Team 5

##### Human Resource Focus

- VP, Human Resources (*Team Leader*)
- Director
- Manager
- Supervisor
- Customer
- Supplier
- Partner

Continued

**Team 6****Process Management**

- VP, Operations (*Team Leader*)
- Director
- Manager
- Supervisor
- Customer
- Supplier
- Partner

**Team 7****Business Results**

- VP, Strategic Planning (*Team Leader*)
- Director
- Manager
- Supervisor
- Customer
- Supplier
- Partner

Note: Some teams may decide to assess only selected categories within their organization that appear vulnerable to terrorist attacks or weak in deploying homeland security initiatives. This manual allows for complete flexibility regarding the extent to which an organization conducts its assessment.

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**ASSESSMENT TEAM COMPOSITION (SMALL ORGANIZATION) (6 to 8 Members)**


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**Team Assesses All Seven Baldrige Categories**

- President/CEO or Senior VP (*Team Leader*)
- Director
- Manager
- Supervisor
- Customer
- Supplier/Partner

**Pre-Assessment Meeting for Each Team**

Each team will need to hold a pre-assessment planning meeting to identify individuals to be interviewed during the assessment. Dates and interview times need to be agreed upon during this session, and an agenda and timetable should be prepared. After the team selects the individuals within the organization to be interviewed, a team member needs to contact all persons to be interviewed.

**Coordination of Assessment Team Schedules**

The assessment team administrator should coordinate all seven category team schedules with team members and develop an overall assessment plan and timetable. This schedule and timetable should then be submitted to the senior leadership of the organization for review and approval.

**Team Interview of Selected Participants**

After approval has been secured from senior leadership, each team is ready to begin its interview process with selected participants. The entire category team will take turns interviewing the participants. This allows for more interaction and input for the assessment team. During the interview process, all assessment team members will have a copy of this manual in hand and will make notes under each of the questions. Each category team may choose to interview two to three groups of participants representing various levels throughout the organization. Interviewing hints and tips are provided in Appendix D.

### **Assessment Team Consensus and Scoring of the Category**

After all category interviews have been completed, the category team leaders will hold a consensus review meeting in which all team members will review the findings regarding areas identified as strengths and opportunities for improvement. The team will reach a consensus and assign each item a percentile score and will ultimately award the category a total point score. A quick and easy organizational assessment for the organization's suppliers, partners, and customers is provided (see Appendix A) to help determine to what extent supplier and customer organizations have approached and deployed homeland security initiatives within their own organizations. This quick assessment may also be used as a preliminary analysis of one's own organization or to benchmark another organization's homeland security progress.

### **Entire Assessment Report Consolidated and Delivered**

All seven category teams will deliver their assessment to the assessment team administrator. The assessment team administrator will meet with all category team leaders to review results. After the assessment team administrator and all seven category team leaders have reached a consensus on the strengths, opportunities for improvement, homeland security planning issues, category percentile scores, and the overall assessment point score, the assessment is finalized and a homeland security plan is developed. The completed assessment and homeland security plan is then delivered to the president/CEO and the other senior staff members. The entire assessment process can take as little as two weeks or as much as one month to complete.

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7.1 What are your organizational challenges regarding homeland security?

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**Organizational Challenges**

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**Competitive Environment**

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**Strategic Challenges**

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**Performance Challenges**

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**Notes**

## Eight Steps for Successful Assessment Implementation and Manual Use

The following eight steps will further explain how this manual will be useful in simplifying the assessment process for the organization.

### Step One Complete the Organizational Overview

The assessment team administrator and senior staff should complete the organizational overview (pages 23–27) before the team(s) conduct the homeland security assessment. The organizational overview is the most appropriate starting point for the assessment and will provide a snapshot of the organization’s homeland security initiatives before the team(s) begins the assessment process. The information collected in the organizational overview should be used to identify potential homeland security issues and challenges. In addition, it may be used for an initial self-assessment.

### Step Two Read Baldrige Criteria

After the team or teams have been formed, members should read the Baldrige Award Criteria that appear at the beginning of each item throughout this manual. Under each item summary, the Baldrige Criteria appear under the heading *Areas to Address*.

42 Chapter Three

**1.2 Social Responsibility (50 pts.)** ← Item

Describe how your organization addresses its responsibilities to the public, ensures ethical behavior, and practices good citizenship. ← Item Summary

Process

**AREAS TO ADDRESS**

**a. Responsibilities to the Public**

(1) How do you address the impacts on society of your products, services, and operations? What are your key compliance processes, measures, and goals for achieving and surpassing regulatory and legal requirements, as appropriate? What are your key processes, measures, and goals for addressing risks associated with your products, services, and operations? ← Baldrige Criteria

(2) How do you anticipate public concerns with current and future products, services, and operations? How do you prepare for these concerns in a proactive manner?

**b. Ethical Behavior**

How do you ensure ethical behavior in all stakeholder transactions and interactions? What are your key processes and measures or indicators for monitoring ethical behavior throughout your organization, with key partners, and in your governance structure?

**c. Support of Key Communities**

How does your organization actively support and strengthen your key communities? How do you identify key communities and determine areas of emphasis for organizational involvement and support? What are your key communities? How do your senior leaders and your employees contribute to improving these communities?

1.2 Percent Score

Approach    Deployment    Learning    Integration

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### Step Three Review Questions

Following the Areas to Address pages of the manual are homeland security questions based on the Baldrige Criteria. This manual takes all Baldrige Criteria and breaks them down into simple questions so they are more understandable and user-friendly. This allows a clearer and more precise homeland security assessment to be conducted.

The questions are to be asked to different levels of employees throughout the organization. The assessment team should divide this task among its members.

42 Chapter Three

**1.2 Social Responsibility (50 pts.)** Process

Describe how your organization addresses its responsibilities to the public, ensures ethical behavior, and practices good citizenship.

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AREAS TO ADDRESS

**a. Responsibilities to the Public**

(1) How do you address the impacts on society of your products, services, and operations? What are your key compliance processes, measures, and goals for achieving and surpassing regulatory and legal requirements, as appropriate? What are your key processes, measures, and goals for addressing risks associated with your products, services, and operations?

(2) How do you anticipate public concerns with current and future products, services, and operations? How do you prepare for these concerns in a proactive manner?

**b. Ethical Behavior**

How do you ensure ethical behavior in all stakeholder transactions and interactions? What are your key processes and measures or indicators for monitoring ethical behavior throughout your organization, with key partners, and in your governance structure?

**c. Support of Key Communities**

How does your organization actively support and strengthen your key communities? How do you identify key communities and determine areas of emphasis for organizational involvement and support? What are your key communities? How do your senior leaders and your employees contribute to improving these communities?

1.2 Percent Score

Approach    Deployment    Learning    Integration

Simplified questions based on Baldrige Criteria and rewritten for the Homeland Security Organizational Assessment

Category 1: Leadership 43

44 Chapter Three

**1.2a(1)** How does your organization address societal impacts of homeland security on your products, services, and operations?

Interview notes:

Zero-Based

**1.2a(2)** How does your organization anticipate the public's homeland security concerns with current and future products, services, and operations?

Interview notes:

Zero-Based Preparation					World-Class Preparation					
0	10	20	30	40	50	60	70	80	90	100
Green (Low)			Blue (Guarded)		Yellow (Elevated)		Orange (High)		Red (Severe)	
(Circle Appropriate Percentile)										

**Zero-Based Organization**

- Organization has limited concern for anticipating the public's homeland security concerns with current and future products, services, and operations.
- Organization does not address or hold public forums to gauge homeland security concerns with current and future products, services, and operations.

**World-Class Organization**

- Organization surveys the public to identify homeland security concerns with current and future products, services, and operations.
- Organization uses its website and 24-hour response telephone system to allow the public to log in and register homeland security concerns with current and future products, services, and operations.

Approach    Deployment    Learning    Integration

**1.2a(2)** Organization anticipates homeland security concerns of the public with current and future products, services, and operations.

Interview notes:

**Homeland Security Planning Issues:**

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

Percent Scores Here

Zero-based and world-class examples (many organizations would fall somewhere between these two extremes)

These boxes will help determine the score

The Baldrige Criteria notes have been eliminated but are incorporated into the simplified questions throughout the manual.

### Step Four Zero-Based and World-Class

Before recording answers to the questions, review the examples of zero-based and world-class organizations' homeland security initiatives that appear in the center of the page.

Below the examples appear four boxes labeled Approach, Deployment, Learning, and Integration. These boxes will aid in assessing the kinds of information and/or data the question requires. (Refer to Chapter 1.)

### Step Five Make Interview Notes

Near the top of the page under each question is an interview notes section for recording answers to the questions given by employees as they are being interviewed by the assessment team. This data should be used to determine strengths, opportunities, and homeland security strategic planning issues located in the lower portion of the page.

44 Chapter Three

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1.2a(2) How does your organization anticipate the public's homeland security concerns with current and future products, services, and operations?

Interview notes:

Zero-Based Preparation World-Class Preparation

0 10 20 30 40 50 60 70 80 90 100

Green (Low) Blue (Guarded) Yellow (Elevated) Orange (High) Red (Severe)

(Circle Appropriate Percentile)

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**Zero-Based Organization**

- Organization has limited concern for anticipating the public's homeland security concerns with current and future products, services, and operations.
- Organization does not address or hold public forums to gauge homeland security concerns with current and future products, services, and operations.

**World-Class Organization**

- Organization surveys the public to identify homeland security concerns with current and future products, services, and operations.
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Approach   
  Deployment   
  Learning   
  Integration

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1.2a(2) Organization anticipates homeland security concerns of the public with current and future products, services, and operations.

**+ Strengths**

- 1.
- 2.
- 3.

**- Opportunities for Improvement**

- 1.
- 2.
- 3.

**Homeland Security Planning Issues:**

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

Interview Notes

M I T H ' P A U L A O S T S

### Step Six List Comments for Strengths and Improvement

On the lower half of the page, the question is restated. After the interviews are completed, review the interview notes. The team will then list strengths and opportunities for improvement. All comments should be written in short, complete sentences.

Category 1: Leadership 43

1.2a(1) How does your organization address societal impacts of homeland security on your products, services, and operations?

Interview notes:

Zero-Based Preparation World-Class Preparation

(Circle Appropriate Percentile)

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<p><b>Zero-Based Organization</b></p> <ul style="list-style-type: none"> <li>Organization does not address societal impacts of homeland security on its products, services, and operations and considers it a breach of security to expose its plans to guard against terrorist attacks.</li> <li>Organization does not address or detail societal impacts of homeland security on its products, services, and operations.</li> </ul>	<p><b>World-Class Organization</b></p> <ul style="list-style-type: none"> <li>Organization developed a brochure describing impacts of homeland security against terrorist attacks on its products, services, and operations and distributes the brochure to community agencies, key suppliers, partners, and customers.</li> <li>Organization holds public forums with communities where business is conducted to address societal impacts of homeland security on products, services, and operations.</li> </ul>
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Approach   
  Deployment   
  Learning   
  Integration

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1.2a(1) Organization addresses societal impacts of homeland security on products, services, and operations.

**+ Strengths**

- 1.
- 2.
- 3.

**- Opportunities for Improvement**

- 1.
- 2.
- 3.

**Homeland Security Planning Issues:**

Short Term (1 to 2 years)

- 1.
- 2.

Long Term (2 years or more)

- 1.
- 2.

Comments should be written in complete sentences

List short-term and long-term strategic planning issues

### Step Seven List Homeland Security Strategic Planning Issues

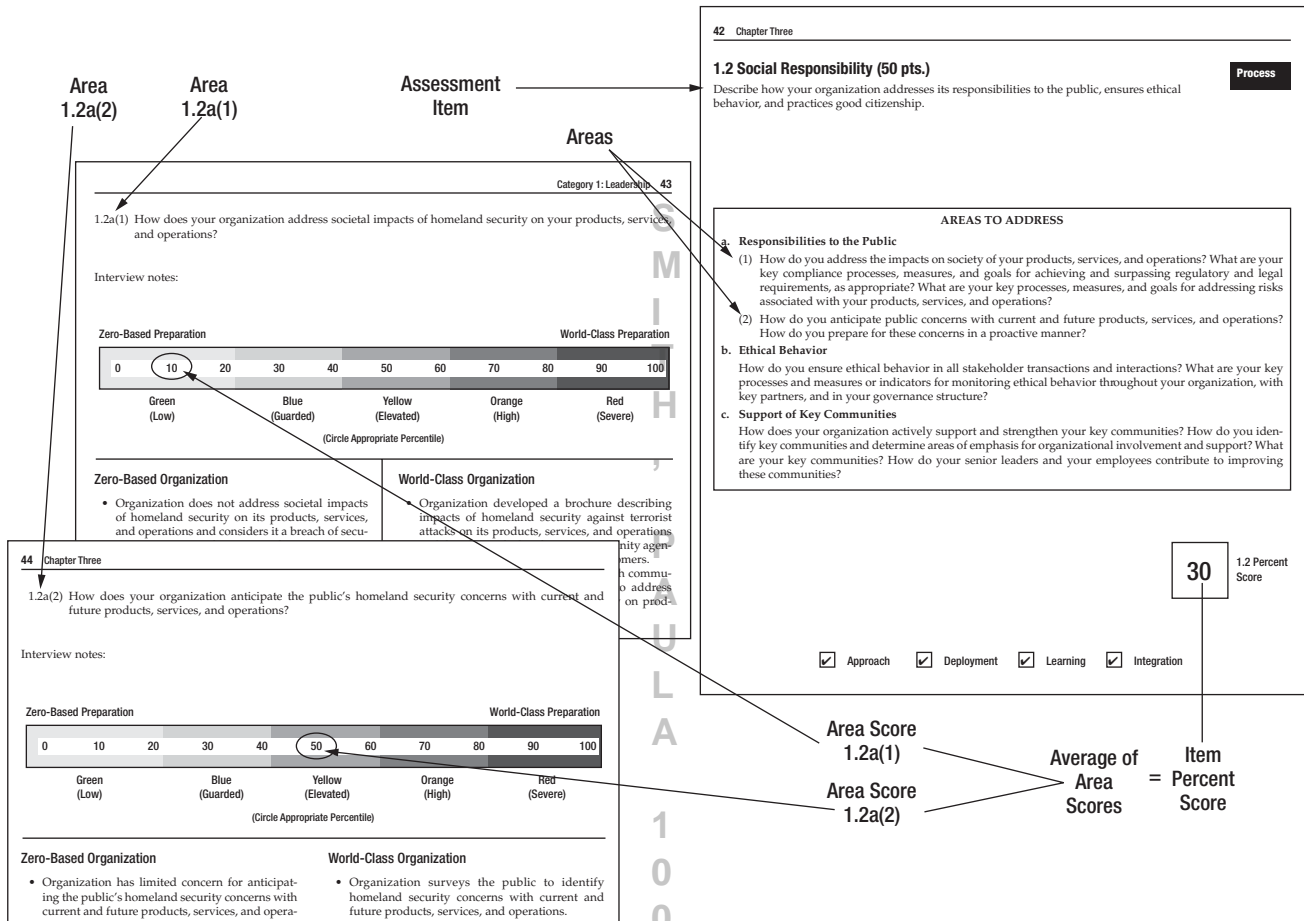
After reviewing the interview notes, strengths, and opportunities for improvement, the assessment team should list any short-term and long-term strategic planning issues. These data can be used later when developing a homeland security strategic plan for the organization. Homeland security plan and budget forms are available on the CD-ROM included with this manual.

### Step Eight Score Assessment Items

The assessment is broken down into seven Baldrige categories:

1. Leadership
2. Strategic Planning
3. Customer and Market Focus
4. Measurement, Analysis, and Knowledge Management
5. Human Resource Focus
6. Process Management
7. Business Results

These seven categories are divided into 19 assessment items (i.e., 1.1, 1.2, 2.1, 2.2, . . . ) and the 19 assessment items are broken down into 88 areas (i.e., 1.1a(1), 1.1b, . . . ). The percent score is reflective of the strengths and opportunities for improvement of the areas within each assessment item. Thus, throughout the assessment, all 19 items will obtain a percent score. All assessment item percent scores will be transferred to the Summary of Assessment Items for Homeland Security score sheet located at the end of Chapter 9. A graph illustrating the hierarchy of organizational homeland security scores, based on Baldrige Criteria, visually presents the percent scores of each assessment category.



The assessment scores will ultimately be reviewed, prioritized, and transformed into actionable strategies for homeland security improvement, and a homeland security plan can be developed. The transformation process for consolidating homeland security assessment findings into a homeland security plan is explained in detail in Chapter 10 of the manual. All assessment documents featured in this manual are available from the CD-ROM included inside the back cover.