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**Adaptation and Application of Federal  
Capabilities-Based Planning Models to  
Individual States: 'State Of Colorado Case  
Study' 2007 -2009**

**Cain, William A.**

Monterey, California: Naval Postgraduate School

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# Adaptation and Application of Federal Capabilities-Based Planning Models to Individual States:

## "State Of Colorado Case Study" 2007 -2009



➤ *Journal of Homeland Security and Emergency Management*  
<http://www.bepress.com/jhsem/vol7/iss1/6/>

- *Kurt A. Johnson, Center for Homeland Security UCCS and,*
- *W. A. Cain, Colorado Technical University*

*A State and Strategy in Transition*

*Refining Integration of Homeland Security Organizations,  
Processes and Management*



# Purpose Today

- **To Present ONE Example of Academic Research into Transitional Homeland Security Management Processes and Issues**
- **Demonstrate Colorado as A Model for Individual State, Local and Tribal Leaders for Adapting and Applying Federal Capabilities-Based Planning Systems to Their Homeland Security Programs**
- **Postulate That Participative/Cooperative Research Can Effect Change . . .**
  - **Or In This Case, Reinforce New Paradigms of Change and**
  - **Maybe Lead To Grants**
- **Or In Other Words . . . How Do We Get Them To Trust Us?**

# Background

## *The Research*

- *We Had No Theory*
- *Triangulation*
- *We Wanted To Blend Action Research Methods*
- *Applying A Modified Version of Qualitative Pattern Coding (Miles, 1994) and*
- *Warner's Restructuring Government Project (Study of Regionalism, Inter-Municipal Cooperation)*
  - *Participative/Cooperation*
  - *Earn Trust -- "We're From Academia and Here To Help"*
  - *Anonymous Survey of Stakeholders --*
  - *Structured and Unstructured Interviews -- Could We Cross-Reference understanding of Processes*

# The Model of Transformation

## *The 9/11 reaction --*

- *Macro (the FEDS) = Incoherent Spending Of Federal Dollars*
- *Micro (State, Local, Tribal) = "We Can Finally Get Something We Think We Need"*

## *The Ugly Audit Of '06; Then, the Audit Revisited '08*

*New Governor -New Day - Radical Change - Strategic Control -  
Local Ownership*

# Home-Rule (Municipalities Have Right To Self-Determination)

*. . . And, Elected County Sheriff's*

*. . . And Elected County Commissioners*

*Will of the People Is Local; Not Granted By the State, But  
“Chartered”*

# State Structured With Agencies:

*Department Of Public Safety “owns” the Fusion Center (CIAC)*

*DOLA owns Emergency Management*

*Department of Military and Veteran’s Affairs. . . National Guard*

*Natural Resources owns the Division of Wildlife (self sustaining)*

*Education*

*Health*

*Yada, Yada*



# Prelude to Capabilities-Based Planning

*Change Driving Events Will Force Us to Do What We Knew We Should Have Done in the First Place*

- *Now what does “Toyota” Mean?*

*Ambiguously Obvious Perception AKA “Hindsight”*

*The Collective Visceral Reaction to Threat Drives Fundamental (Organizational) Behavioral Change*

- *Late Cycle of Reactions*
- *Changes in Major American Institutions Occur Late In the Cycle Of Reactions to the Real Or Perceived Calamitous Threat*

# Department of Defense Planning

## *Resource-Based*

### *-- 1947 Transformation*

- *Organizational Transformation Resource-Centric Planning Against Designated and Defined Threats*
- *Post WWII Army, Navy, Air Force, Marines in The DOD "Corral"*
- *Issue - - - Who Gets the Money?*
- *Service-centricity . . . and, If Army gets Bomb-Sniffing Dog Training Then "we - - - USAF, USN, and USMC -- "Should, Too"*

# **"Cylinders of Excellence" Incentivized Vertically**

*Led To Good Forecasting, Resourcing, Acquiring And Maintaining Planning, Programming, Budgeting System -- 5-Year Plans - Evolutionary Approaches*

*Assured Friction When Attempting Horizontal Integration without Direct Reward to the Cylinder*



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# In 2003 Added “E” for Execution

*Became PPBE -- the S was dropped*

- *Still Resource and Service-Centric Competition-Based Content*
- *Services Dominated Requirements Process*

*Did Not Consider Full Range of Solutions To Meet Joint Needs*

*Leadership Focused On Fixing Problems At The End Of The  
Process, Rather Than Early In The Planning Process*

# Led To Capabilities-Based Planning aka CBP

***Definition: “Planning, Under Uncertainty, To Provide Capabilities Suitable For a Wide Range Of Threats And Hazards, While Working Within An Economic Framework That Necessitates Prioritization And Choice”***

## ***A Means***

- ***To Accomplish a Mission, and***
- ***Achieve Desired Outcomes by Performing Critical Tasks Under Specified Conditions,***
- ***To Target Levels of Performance***

# 2001 - 2006 Colorado: A State Of Confusion -- Or Was It Coordination?

## *Organizational Inexactitude*

- *Fractured Management Structure*
- *Lack Of Standardized Controls*
- *Competition Unfettered by Universal Strategy*
  - *Or where left to our own devices we find a way*



# Organizational Inexactitude

- *Fractured Management Structure*
- *Lack Of Standardized Controls*
- *Competition Unfettered by Universal Strategy*

# Examples Of Audit Findings: No Centralized Management Policies

## *\$7.8m Issue And Then There Was The Building*

- *Denver "Lost" A \$1 Million Check,*
- *County Officials Were Unable To Locate Equipment,*
- *Failed To Use Warranties For Repair,*
- *"Unauthorized" Purchases \$35,000 For Pens And Refrigerator Magnets*



# 3 Components Came Into Alignment In 2007

## *Election of A New Governor*

- *Creation of A Unifying And Politically Fitting Leadership Structure;*
- *A Challenge to Answer the Federal Audit and Put It Right*

## *New Governor's Office of Homeland Security,*

- *A Single Office Accountable to the Governor on All Matters Dealing With Homeland Security*

## *Development of a Strategy That Is*

- *Comprehensive and*
- *Collaboratively Focused;*

## *Recognizes Local "Ownership" within All-Hazards Homeland Security Regions*

- *Aligned Strategic Processes That*
- *Assess, In an Uncertain World, the Needs Of Colorado Communities With An Appreciation Of Risk And Resource Limitations*

# **Started With A New Vision: Colorado's Communities Working Together For A Safer Tomorrow**

*.. And Built A Comprehensive Strategy*

*Concept Of Collaborative Regional Administration: All-Hazards  
Emergency Management Regions*

- *9 All-Hazards Regions Encompassing 64 Counties*
- *A Lot of "Circuit Riding"*

*Coercion By Collaboration Of Multiple Municipalities As A Council*

*Coordinators Hired By and Accountable To Region Council*

*Members*



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# **A Transparent Process The Feds and the Citizens Would Accept;**

*Mapped To National Priorities And State Needs*

*Acquire "Buy-In" By State Agencies*

*Ensured "Place at the Table" For Local Emergency Managers, Law  
Enforcement And Other First Responders, ESF's, NGO's Private  
Sector*

# 5 Goals, 15 Planning Scenarios, And Capabilities-Based Planning

*The Capabilities-Based Preparedness Process Involves Homeland Security Partners In A Systematic And Prioritized Effort To Accomplish The Following:*

- Convene Working Groups;
- Determine Capability Needs;
- Assess Current Capability Levels;
- Identify, Analyze, and Choose Options;
- Update Plans and Strategies;
- Allocate Funds;
- Update and Execute Program Plans; And
- Assess And Report

# The Process -- State And Regional

## *Inclusive of Local Priorities*

- *With Confidentiality of Risk And Threat Issues*
- *Not Without Its Problems*
- *Denver Water In A Dillon Dam*

**[The Denver Post](#) Dillon Dam Road closed to cars Denver Water cites security, but sudden move roils Summit County residents**



# Well What About That Participative / Cooperative Part? And, What Was the Research?

*Trust Is Earned . . . Respect Easily Lost;*

- *“Rice Bowls” Were Being Broken While New Relationships Forged*
- *Apprehension of Confusion or Friction on The State’s Process*

*Benefit Had To Be Mutual To Many Stakeholders*

- *Issues, Real and Perceived Had To Be Resolved Quickly*

*Trust Came by “Making Their Job Easier”*

*So We Moved Food Carts Before Meetings;*

*Helped Clean-Up after Workshops/TTX’s;*

*And Training (NIMS, HSEEP, EOC, TLO)*



# **Result: Stakeholders Accepted Our Questionnaires And Answered Our Questions.**

*Integration, Note Taking, Memoing, Compare And Contrast*

- *Discussions Took Place Behind The Questions*
- *Goal = To Determine Acceptance Of Language And Common Processes;*

*Assessment Of True Transformation From*

- *Evaluation Of Acceptance And*
- *Progress With In Target Capabilities List*

# Findings

*Shared ownership*

*Common Language and Understanding*

*“Co-opetition”*

- *Innovation and value are more and more commonly generated in networks*
- *Collaborative dynamic of networks*

*Gaps*

- *Private Sector involvement*
- *Policy can be politically transitory; No Bedrock of Policy*



# Backups



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# Warner, Cornell Restructuring Local Government Studies

[http://government.cce.cornell.edu/government\\_restructuring.asp](http://government.cce.cornell.edu/government_restructuring.asp)

*Metropolitan area typically contains multiple political jurisdictions*  
*Public choice theorists* *argue political fragmentation will enhance choice and efficiency in local government service provision*

- *Political fragmentation of the metropolitan area makes it difficult to address Economic development,*
- *Service provision or Democratic voice at the regional level*

*Consolidationists* *argue that regional government is the solution*

- *Support for regionalism is weak*
- *More popular are inter-municipal cooperation or functional consolidation (specific to a service)*
- *Problems of equity, Democratic representation and*
- *Ability to address the need for broader multi-functional coordination*

# Reforming Pentagon Strategic Decision making

*Christopher Lamb and Irving Lachow's article from an NDU Strategic  
Forum*

*Ties together some excellent thinking on the subject*



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# Theoretical Memoing

*"Memos are theorized write-up of ideas about substantive codes*

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*Theoretically coded relationships emerge during coding, collection and analysis of data, and during memoing" (Glaser 1998)*

# “Core stage of grounded theory methodology”



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**Theoretically coded relationships as emerge during coding, collect and analyzing data, and during memoing" (Glaser 1998)**



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# Target Capabilities List

➤ *Common*

➤ *Planning Communications Risk Management Community Preparedness and Participation Intelligence and Information Sharing and Dissemination Prevent*

➤ *Information Gathering and Recognition of Indicators and Warnings Intelligence Analysis and Production Counter-Terror Investigation and Law Enforcement CBRNE Detection Protect*

➤ *Critical Infrastructure Protection Food and Agriculture Safety and Defense Epidemiological Surveillance and Investigation Laboratory Testing Respond*

➤ *On-site Incident Management Emergency Operations Center Management Critical Resource Logistics and Distribution Volunteer Management and Donations Responder Safety and Health Emergency Public Safety and Security Response Animal Disease Emergency Support Environmental Health Explosive Device Response Operations Fire Incident Response Support WMD and Hazardous Materials Response and Decontamination Citizen Evacuation and Shelter-In-Place Isolation and Quarantine Search and Rescue (Land-Based) Emergency Public Information and Warning Emergency Triage and Pre-Hospital Treatment Medical Surge*

➤ *Medical Supplies Management and Distribution Mass Prophylaxis Mass Care (Sheltering, Feeding, and Related Services) Fatality Management Recover Structural Damage and Mitigation Assessment Restoration of Lifelines Economic & Community Recovery*