

Illinois Emergency Management Agency



SMART Start
Darryl Dragoo
September 6, 2016



Strategic Thoughts

“Study the past if you would define the future.”
— Confucius



Topics of Discussion

- Strategy and service
- Starting development
 - Strategic vision and mission
 - Critical functions and strategies
 - Tangible, measurable outcomes
 - Strategy dynamics
 - Timeframes, reporting requirements and deliverables.



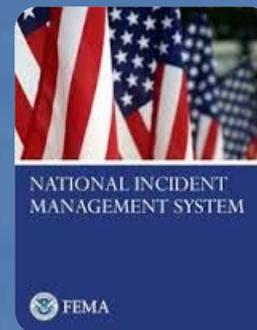
Agenda

- Considerations for strategy development
 - SMART
 - DECIDE
 - Strategy and Service
- Framing Strategy
 - Vision
 - Mission
- Risk Identification
- Strategy Development
 - Authorities
 - Funding
 - Frequency
- Standardizing and Determining Strategy
- Prioritization
- Application



SMART Start

- SMART development
 - Relies on input, advice and realism
 - Establishes the plausible and possible
 - Provides a means to monitor, record, report and adjust on strategies
 - Frames service and performance



Focus and Forum

- D.E.C.I.D.E.
 - Determine enabling authorities
 - Establish stakeholders and input process
 - Conduct a programmatic analysis and review
 - Identify risks, gaps, vulnerabilities and priorities
 - Develop strategies, goals and objectives
 - Execute and evaluate strategies and processes



SMART Planning



Strategy and Service

- What is a strategy?
 - Method or plan for achievement
 - Science of planning and marshalling resources
 - Expression to define a goal, or solution to a problem
- What is service?
 - Deeds, efforts or actions with value
 - Formal delivery of a process or plan
 - Performance of routine maintenance



Identifying Stakeholders

- Perception
 - Individuals
 - System
 - Organization



Nothing helps calibrate reality [more] than the honest perceptions of those who work closest to you."

Jay Samit

- Whole Community
 - Public, private and nongovernmental agencies, departments, organizations and individuals having functional roles in comprehensive emergency management program activities



Stakeholder Input

- Whole Community
 - Advisory Committees
 - Exercises and AAR/IP
 - Planning meetings
 - Educational events
 - Surveys and Questionnaires
 - Plan reviews and assessments
 - THIRA and HIRA

**'We don't see things as they are.
We see them as we are.'**

— Alan Watts



Focus and Targets



- Strategic level of consideration
 - What must be achieved or completed?
- Operational level of assignment
 - Who has the role and responsibility for the strategy, goals and objectives?
- Tactical levels are not established



Framing

- Vision statement
 - Inspirational
 - Long-term desirable
 - Single sentence - paragraph
- Mission statement
 - Purpose
 - Statement
 - Single sentence



Framing - Vision

- Vision statement
 - Requires teamwork and input
 - Allows for creativity
 - Drives ambition and achievements
- Considerations
 - Based on a review of the past
 - Established on efforts for the future
 - Expanded on the program's values
 - Present tense, focused on success



Framing - Mission

- Mission statement
 - Requires teamwork and input
 - Establishes dynamic intent
 - Sets the tone for concrete goals
- Consideration
 - Short
 - Inspires commitment
 - Avoids industry jargon



Discussion

- Points of interest
 - Pros and cons
 - Strengths and weaknesses
 - Problem solving concepts
- Group Discussions
 - Brainstorming session



Risks, Gaps and Vulnerabilities

- Risks – Understood weaknesses or issues identified through validation efforts
 - Exercises, Workshops, Seminars, Drills etc.
 - After-action Reports (AAR)/Improvement Plans (IP)
 - Surveys and Questionnaires
 - Audits
 - Assessments
 - THIRA, EMAP, Administrative reviews etc.
- Real-world events



Identifying Risks, Gaps and Vulnerabilities

- Purpose-driven process
 - Provide focus for strategies
 - Deliver priorities of effort
 - Basis for enhancement and improvement
 - Driven through proven points of information
 - Enabling authority
 - Documentation
 - Process implementation



Determining Risks, Gaps and Vulnerabilities

- Enabling authorities
 - Are we carrying out our mandates?
- Documentation
 - AAR/IP
 - Budgets and expenditures
 - Program or section reports
 - Surveys, questionnaires and informal notes
- Stakeholder input and advisory committees



Developing Strategies

- Essential Elements of Information
 - Pre-established critical and discreet pieces of intelligence necessary for strategy development
 - Clarify perceptions brought from the whole community
 - Contribute to a common, actionable set of strategies
- Group Discussion
 - Brainstorming session



Developing Strategies

- Essential Elements of Information
 - Enabling authorities
 - Stakeholders, customers and dependencies
 - Funding structures
 - Frequencies
 - Risks, gaps and vulnerabilities
 - Priorities
 - Goals and objectives
 - Schedules, timeframes and milestones
 - Supportive elements and standards



Developing Strategies - Template

- Critical Process Summary
 - Management tool
 - Executive overview and summary
 - Assignments
 - Enabling Authorities
 - Funding
 - Frequency
 - Priority
 - Schedules
 - Milestones
 - Updates and reference notes



Identifying Authorities

- Enabling authorities
 - Laws, regulations and rules
 - Policy
 - Executive order and ordinances
 - Plans and procedures
 - Grants, contracts and agreements
 - Standards
 - Position descriptions



Enabling Authorities

- Establish definable and defensible requirements
- Provide foundational criteria for establishing strategy
- Identify critical functions, processes and services
- Clarify priorities, tangibles and measureable outcomes
- Support planning efforts for the whole community



Identifying Strategies

- Enabling authorities provide a framework for strategy identification
- Definitions built off of understood criteria
 - “Enabling authorities”
 - Laws – programs or functional processes
 - Grant Deliverables/Guidance
 - THIRA
 - CDC PHEP Agreements
 - Industry standards and practice
 - EMAP Standard, NFPA etc.



Identifying Funding

- Allows for day-to-day and disaster operations
 - Variety of sources
 - Supported by financial and administrative procedures
- Directly related to enabling authority
 - Mandated or un-mandated
 - Line item directed to a deliverable
 - General use
 - Criteria or authorization bound



Identifying Funding

- Identifies a timeframe for use
- Provides origin
 - Tax base (county, municipal, district, etc.)
 - State
 - Federal
 - Donated
- Determines authorization for use
 - Criteria
 - Approved expenditure list



Identifying Frequencies

- Laws, rules and regulations
 - Il Adm. Code
- Grants and agreements
 - Emergency Management Performance Grants
 - Nuclear Safety Emergency Preparedness
 - Centers for Disease Control PHEP
- Financial and administrative policy
- Audits
- National standards
- Federal guidance



Establishing Frequencies

- Creates a format for reporting
 - Allows for work flow analysis
 - Sets the framework for tangibles and measurable outcomes
-
- Establish work effort and areas
 - Priorities and assignments
 - Targeted functional groups
 - Understood criteria

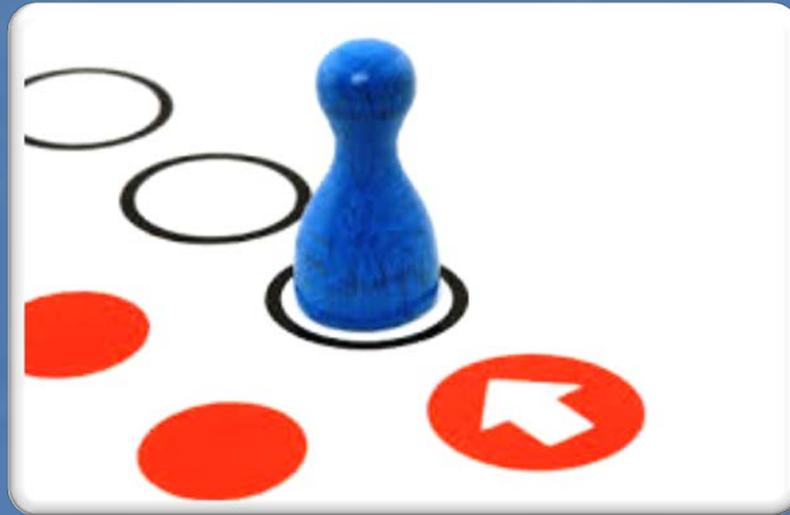


Discussion

- Points of interest
 - Pros and cons
 - Strengths and weaknesses
 - Problem solving concepts
- Group Discussions
 - Brainstorming session



Strategy and Set-up



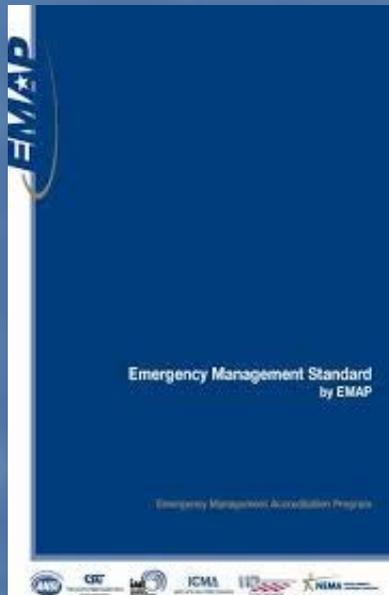
Standardizing Strategy

- Define specific areas of interest
 - Buckets
 - Critical functions
 - Mandated elements
- Establish work effort and areas
 - Priorities
 - Targeted functional groups
 - Mission assignments
 - Understood criteria
 - Corrective action and improvements



Standards Strategy

- EMAP Standard
 - Administration and Finance, Laws and Authorities, HIRA, Mitigation, Prevention, Planning, Incident Management, Resource Management, Mutual Aid, Communications and Warning, Operations and Procedures, Facilities, Training, Exercises, Crisis Communications



Standards Strategy

- Grant Guidance and Agreements
 - CDC Public Health Emergency Preparedness
 - Community Preparedness
 - Community Recovery
 - Emergency Operations Coordination
 - Emergency Public Information and Warning
 - Fatality Management
 - Information Sharing

<http://www.cdc.gov/phpr/capabilities/>



Standards Strategy

- THIRA and State Preparedness Report
 - Planning
 - Organization
 - Equipment
 - Training
 - Exercises
- IEMA Regional Dashboard
 - IL THIRA



Details By County

Summary:
Auto Generated Comments: Elements That Needs Attention: Electric(YELLOW), Public Safety Communications(YELLOW), Resource Management(YELLOW), Planning(YELLOW).
User Entered Comments: N/A

County:
Auto Generated Comments: Elements That Needs Attention: Electric(YELLOW), Ambulance Services(YELLOW), Long Term Health Care(YELLOW), Rural/Mass Transp(YELLOW), Planning(YELLOW).
User Entered Comments: N/A

Handwritten: _____
By All Clear: _____

REGION 2	COOK	DUPAGE	JEFFERSON	MCLELLAN	ST. LOUIS	ST. CHARLES	ST. CLAIR	ST. FRANCIS	ST. JOSEPH	ST. MARY	ST. MARYS	ST. PETERS	ST. VINCENT	UNION	WABASH	WARRICK	WELLS	WINDYBROOK	WYANDOTT	YATES
COOK	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
DUPAGE	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
JEFFERSON	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
MCLELLAN	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. LOUIS	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. CHARLES	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. CLAIR	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. FRANCIS	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. JOSEPH	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. MARY	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. MARYS	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. PETERS	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
ST. VINCENT	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
UNION	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
WABASH	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
WARRICK	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
WELLS	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
WINDYBROOK	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
WYANDOTT	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
YATES	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y

DATE & TIME UPDATED: 11 Aug 2016 9:35:32 am

COLOR CODES:
READY - GREEN
NEEDS ATTENTION - YELLOW
CRITICAL - RED
WINDUP - PURPLE
UNTESTED - GRAY

Refer to comments on following page(s)
Refer to comments on following page(s)
Refer to comments on following page(s)

Region 2 Overview

AGENCY	STATUS	DESCRIPTION	EMERGENCY CONTACT
REPORT PREPARED BY:			
DATE:			
TITLE:			



Strategy Determination

- What works best for:
 - Individuals
 - System
 - Organization
- What areas are:
 - Specific
 - Measurable
 - Achievable
 - Realistic
 - Time-bound
- What defines focus for the Program?



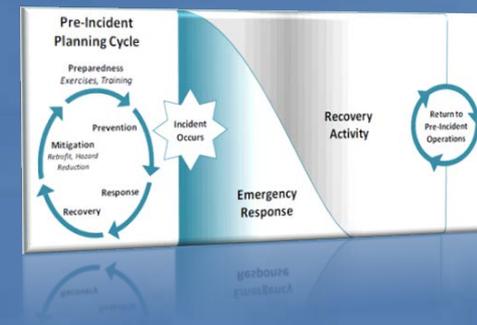
Discussion

- Points of interest
 - Pros and cons
 - Strengths and weaknesses
 - Problem solving concepts
- Group Discussions
 - Brainstorming session



Prioritization

- Process for scaling priority of effort
 - Clarifies criticality and timeframe
 - Minimizes overload and span of control
 - Allows for perception
 - Individual
 - System
 - Organization
- Establishes three key points of description



Prioritization

- Key elements of description
 - What is the strategy or priority?
 - What does the strategy or priority do, provide, establish or fulfill?
 - What will occur if the strategy or priority is not completed?
- Defining moment for determining a value-proposition or benefit of effort



Prioritization Determination

- Established points or functions
 - Enabling authority
 - Funding mechanism
 - Critical functions
 - Life safety or life essential services
 - Public safety, health and medical, environmental, etc.
- Core Capability
- Frequency



Prioritization and Perception



- Perception
 - Individuals
 - System
 - Organization
- Priorities
 - Enabling authorities
 - Standards
 - Grant agreements
 - THIRA
 - Preparedness Reports



Discussion

- Points of interest
 - Pros and cons
 - Strengths and weaknesses
 - Problem-solving concepts
- Group Discussions
 - Brainstorming session



SMART Application

- Determine method and buckets for strategies
- Completion of a critical process summary
 - One for each process or strategy
 - Defines the 3 what's?
 - Establishes enabling authority, funding, frequency and priority
- Validate and verify strategies against identified risks, gaps, vulnerabilities and priorities
- Review D.E.C.I.D.E points



Focus and Forum

- D.E.C.I.D.E.
 - Determine enabling authorities
 - Establish stakeholders and input process
 - Conduct a programmatic analysis and review
 - Identify risks, gaps, vulnerabilities and priorities
 - Develop strategies, goals and objectives
 - Execute and evaluate strategies and processes



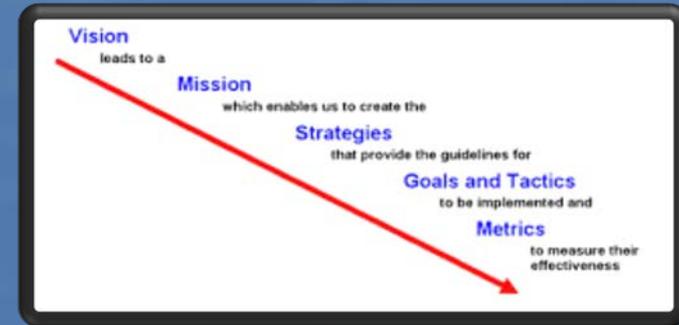
SMART Application

- POETE
 - Critical Process/Bucket
 - Planning
 - Risk Analysis
 - Last comprehensive updated in 2013
 - Inaccurate capability descriptions
 - Low stakeholder involvement
- Focus
 - Strategic
 - Operational



SMART Application

- Target
 - Organization
 - System
 - Individual
- Framing
 - Supportive of vision and mission statements
- Enabling Authority
 - II. Admin Code and Ordinance

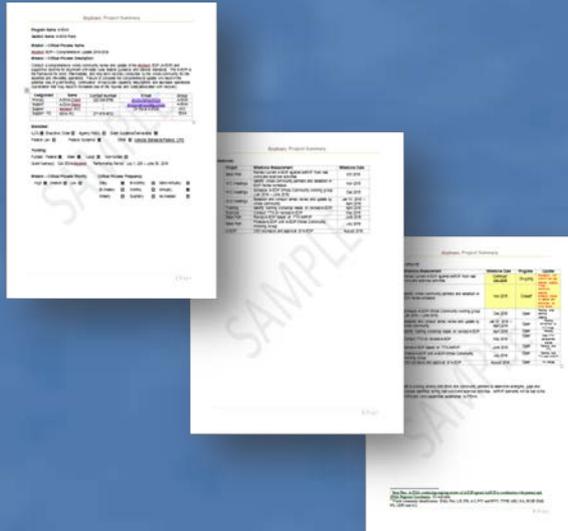


SMART Application

- Funding
 - State supported grant (EMPG)
 - General revenue fund
- Frequency
 - Annual review
 - Biennial update required
- Prioritization
 - High priority
 - Mandated, Life Safety, etc.



SMART Application



- Critical Process Summary
 - Defines the WHAT
 - Frames strategy and process
 - Provides key information
 - Establishes a management tool
 - Creates an executive summary
 - Drives reporting



Measurement

- Goals
- Objectives
- Milestones
- Metrics



Goals

- Tie directly to a strategy
 - Descriptive
 - Actionable
 - Performance based inputs
- Strategy 1: Planning
 - Goal 1: Establish and maintain an Advisory Committee allowing for whole community input into programmatic ...



Objectives

- Tie directly to goals and achievement of a strategy
 - Direct
 - Actionable
 - Provide an expected behavior
- Strategy 1: Planning
 - Goal 1: Establish and maintain ...
 - Objective 1: Establish an Advisory Committee for whole community input on programmatic activities.



Metrics

- Quantifiable
 - Outline what is plausible and possible
 - May be expressed in percent, total number, x/y, etc.
 - Define achievement and success, or shortfalls
 - Deliver reports and summaries
 - Provide for strategic evaluation



Milestones

- Established based on mandates, frequencies and programmatic schedules
 - Allows celebration of success or achievement
 - Provides for comparison across process and structures
 - Provides for standardization
- May be dynamic
- Date based (point in time)



Topics for Discussion

- How can we apply strategic planning to our organizations and programs?
- What are our weaknesses in the area of strategic planning?
- What are our strengths?
- Next steps?



Contact Information

Darryl Dragoo/ Strategic Planner
Preparedness and Grants Administration
Illinois Emergency Management Agency
217.306.6334
darryl.dragoo@illinois.gov

www.ready.illinois.gov

