Homeland Security Professional Education

A DFI-MIPT White Paper

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MIPT
National Memorial Institute
for the Prevention of Terrorism
*Preventing terrorism
or mitigating its effects*

DFI
INTERNATIONAL
GOVERNMENT SERVICES

FOREWARD

This paper provides the results of the Professional Education Survey conducted for DHS by MIPT/DFI. This survey provides valuable information concerning educational programs already in existence. Due to the compressed time associated with this survey, the MIPT/DFI team was unable to do a thorough analysis of how these education programs might fit into a more comprehensive Professional Development and Educational Program framework for Homeland Security. However, certain conclusions concerning this framework seem obvious.

First, the Department of Homeland Security is to be commended for taking a long-range view on how best to combat terrorism on U. S. soil. Terrorism appears to be the "Cold War" challenge of the 21st Century and will require a sustained and coordinated effort over time. Our challenge is not going to be solved by individual battles or single campaigns. The threat is serious and far more insidious than the Cold War threat we faced for four decades of the 20th Century. As Secretary Ridge so aptly stated, "the bottom line is that homeland security is not about one department, one level of government or one organization. It is a national call to action, a philosophy of shared responsibility, shared accountability and shared leadership. When the terrorist threat is directed at an entire nation, only an entire nation, working in close cooperation can deter that threat." That call to action, that shared responsibility, that shared accountability, and most of all the leadership for this effort will be led by dedicated professionals.

A solid Professional Development and Education Program must be based upon three pillars: education and training, operational assignments and individual personal development. These three pillars depend upon an honest feedback mechanism incorporating individual performance evaluation and assessment of potential. It is not that difficult to put a system

such as this together (much of the development effort has already been done) but the challenge is gaining acceptability from those in the system.

Acceptability springs from a strong Statement of Purpose. Nothing could be more important than eradicating the seeds of terrorism and making the world safer for our children and grandchildren. This Statement of Purpose must be the cornerstone of the Department's professional development and educational program.

Someone once said that if you don't know where you are going any road will take you there. The roadmap for our national goal needs to be defined by the vision statement for the Department. This vision, defining the desired end state, will allow the various partners at all levels to develop objectives over time. To be meaningful these objectives require resources and progress must be measured on a regular basis.

To achieve this desired end state requires a group of dedicated professionals at all levels of government and in the private sector. In order to manage the roadmap to success, these professionals require development so they can realize their true potential. Their development and education are continuous and occur at all levels.

At the entry level the DHS professionals should understand the fundamental issues of their profession. Here the effort is concentrated on the technical aspects of this profession. At the entry level it is much more a science than an art.

Utilizing the three pillars of the model, many of the professionals will advance to the mid-management level. The challenge here is to bridge the gap between guidance and programs.

These professionals have to be knowledgeable enough about the details to understand the impact of guidance on programs, as well as assisting those issuing guidance so that their instructions are not misunderstood. This requires a more balanced approach between the arts and science of the profession.

At the highest managerial level professionals must understand the importance of vision, strategic planning and resource allocation. They are the ones responsible for laying out the roadmap and ensuring that we stay on course or, if required, modifying our efforts. The winnowing out process to ensure the right professionals reach these managerial positions should again be based upon the Professional Development and Education program. This level of leadership requires an understanding of the science of the profession but is more heavily weighted toward the art of this profession.

In May 1962, General Douglas MacArthur in speaking to the Corps Cadets at West Point said "Yours is the profession of arms, the will to win, the sure knowledge that in war there is no substitute for victory; that if you lose, the nation will be destroyed." While this speech was geared towards a military audience in 1962, it is no less applicable to this new profession the nation must develop. Such a profession will require a robust Professional Development and Educational Program by the Department of Homeland Security. It is our hope that this educational survey will contribute to one of the solid blocks associated with this program.

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I. INTRODUCTION

The Department of Homeland Security recognizes the importance of providing education and training to its employees in order to retain talent and increase capabilities. The long-term goal of building a professional workforce must be considered alongside short-term challenges, including fighting the terrorist threat, dealing with organizational and bureaucratic hurdles, planning for significant retirements (succession management), and responding to the expectations of Congress.

The purpose of this White Paper is to provide a framework for developing a comprehensive professional education system for the Department of Homeland Security, in particular, as well as the broader homeland security professional community. The study methodology, research, analysis, and findings are offered. The DFI-MIPT study team began this project in June 2004 and will conclude this initial assessment in September 2004.

Six study findings that are key to the Department's efforts to build an integrated and flexible professional education system are:

- Homeland Security should be thought of as a new, innately multidisciplinary profession.

- DHS should approach professional education not as a stand-alone concept or system but as an essential element in a workforce management system that attracts and retains high-quality employees in all levels and specialties. The professional education system must actively and consciously prepare personnel to take on positions of greater scope, complexity, responsibility, and authority. As such, professional education must link to a progressive professional development system that formally requires and provides

incentives for career-long learning by tying education to individual performance goals and promotion.

- DHS should build a professional education strategy and system as a joint endeavor, with internal (DHS staff) and external stakeholders (interagency, state, local, private sector, and academic community actors) in mind as both students and contributors. This holistic approach reinforces the fundamentally cooperative nature of Homeland Security and builds on the shared sense of mission.

- The number of people, both within DHS (internal) and in the interagency, state and local, and private sector communities (external), needing access to professional education and the capabilities resident in universities and centers across the country necessitate the construction of a system that draws on a multitude of institutions for curriculum development, education, and certification.

- DHS must develop and institutionalize metrics and review processes that measure the performance of Homeland Security education courses and programs.

- DHS should set up an Academic Programs Office with clear planning and budgeting authority to implement, maintain, and review this professional education system. This office could reside in the Integration and Operations Staff, the Human Capital Office (HCO), or exist as a stand-alone office. Regardless of residence, the office should have a direct reporting relationship to the Secretary or the Deputy Secretary of DHS, such that its budget and plans cannot be determined within the HCO's own processes.

These findings are worth highlighting from others in the paper, since they are fundamental to sketching a picture of a DHS-designed, budgeted, and managed professional education system. DHS and the larger HS community face major challenges in determining how to educate a large volume of stakeholders, across multiple disciplines, and at different levels in their careers. Building an effective base to deal with these challenges over the long term is

unlikely to be easy, and will require on-going cooperation from multiple actors. Several assumptions and challenges with respect to building a DHS professional education system are imbedded in the bulleted findings above, and are further explained in the paper.

DHS is committed to developing and sustaining professional growth for its employees and HS stakeholders. In order to accomplish this goal, DHS is prepared to provide the leadership and resources necessary to begin codifying Homeland Security as an academic discipline. DHS leadership and support to the academic community is vital to the advancement of desired research and analysis on specific HS topics over time.

The three major sections of this paper:

- Frame the DFI-MIPT study team's methodology for researching and designing a professional education framework for DHS and the HS community (Section II);

- Capture the perspectives of experts interviewed and consulted (Section III); and

- Propose a framework that can integrate within the nascent DHS human capital management system (Section IV).

Findings from interviews or the DFI-MIPT-hosted expert panel are not attributed to specific individuals. Non-attribution allowed for greater openness in dialogue with study participants. Study findings are captured in Section III. In Section IV, the DFI-MIPT team draws upon study findings to offer perspectives and recommendations on the development of an idealized education framework to be considered in the context of Department goals and real world challenges.

II. PROJECT BACKGROUND

The creation of the Department of Homeland Security (DHS) is the largest federal undertaking of its kind since the implementation of the National Security Act of 1947, which created the Defense Department, the Central Intelligence Agency, and the National Security Council to better manage the national security apparatus and prepare for threats to the nation's interests. The Homeland Security Act of 2002 and a series of Executive Orders created the Department of Homeland Security for similar, integrative reasons. Until the founding of DHS, homeland security did not exist as a professional "field" or academic discipline, but rather as a combination of disparate careers, training certifications, research areas, and federal, state, and local government activities.

In response to the post-9/11 security environment, and to improve DHS' long-term effectiveness in meeting its mission, the Department seeks to establish a system of joint and interagency training and education in the "art and science" of homeland security. By training and educating DHS homeland security professionals, as well as stakeholders within the larger federal, state, local, and private sectors, the Department can help promote a common vision of homeland security and encourage cross-community dialogue, which is vital to protecting the homeland. Effectively training and educating these professionals is key to maintaining high retention and recruitment of new personnel over time. The implementation of this professional education system, if properly connected to human resource policy and practices, will go a long way to helping the Department's succession planning, especially as retirements begin to impact the senior ranks.

Establishing a homeland security "profession," supported by a "professional education system," is essential for attracting and developing an outstanding corps of DHS career professionals. Career professionals represent the core capability and institutional memory of

any organization. They are the people who must help integrate the 22 agencies represented by DHS (See APPENDICES 1 and 2). Developing HS as a profession will also contribute to the creation of a meaningful academic discipline, broadening and documenting an associated body of knowledge and improving analysis in this multidisciplinary, complex field.

The rise of homeland security as a distinct academic discipline has many parallels with the development of international security studies in the 1950s and 1960s. Both were born of historical occurrences: the attacks of September 11, 2001 parallel the emergence of the Cold War and the rise of superpower competition. Both represent an interdisciplinary response to a compelling US security problem, bringing together the humanities and sciences. Both disciplines have been deemed too important to be left solely to the traditional practitioners of the field (law enforcement for HS, the military for security studies). However, the discipline of international security studies has historically suffered from an inadequate research agenda, one that focuses much of its efforts on shorter-term policy analysis at the expense of basic theoretical work and historical examination. The HS discipline is in a position today that is similar to that of the security studies field 50 years ago. HS academics and practitioners have the opportunity, through a DHS professional education system, to ensure that the discipline evolves and strengthens into a robust branch of learning that advances the profession.

DHS is seeking to develop a professional education system that attempts to meet several critical areas of need within the Department and within the larger HS community. The goals of that system are as follows:

- Within the internal DHS community:

    – Perpetuate a joint "DHS" culture

    – Provide recommendations on how to create a senior service college-equivalent process as an entry-point to senior executive service

- – Define vision and skill sets needed to achieve vision

- – Institute a Department-wide introductory training program

- In the larger, external community (interagency, state, local):

  - – Erase cultural barriers and promote consistency

  - – Promote a common "Homeland Security Vision" among all stakeholders

  - – Recommend validated core curriculum for adaptation by universities and related institutions

  - – Capitalize on the existing training and education initiatives within DHS and across the community

DHS tasked DFI-MIPT with assessing the relevant factors, researching examples, and developing a high-level roadmap to shape a well organized educational process to breed a stronger HS workforce. In support of this effort, the DFI-MIPT team followed several interrelated steps in order to grasp the issues pertaining to the establishment of a professional education program and the current marketplace for HS programs. The study team:

- Evaluated other Government programs for model applicability and lessons learned including the Department of Defense and other DHS components

- Assessed recent "blue-ribbon panel" recommendations related to professional education to determine relevance and implementation feasibility (See APPENDIX 3)

- Surveyed the landscape of existing "homeland security" programs including the National Defense University, Naval Postgraduate School, HS Centers of Excellence, and selected academic institutions to identify strengths, weaknesses, and costs. From this initial survey DFI-MIPT attempted to determine omissions and gaps in missions or curricula (See APPENDIX 4)

- Synthesized the results and built a notional professional education model

STAKEHOLDERS

Although DHS is nominally the nation's primary entity for defending the homeland, it must work in coordination with hundreds if not thousands of public and private entities located around the US and around the world in order to accomplish its mission. Any professional education system needs to account for these stakeholders and identify what roles they play within the field of HS, whether as an operator, supporting entity, or policymaking body. Some organizations have discrete roles to play in HS professional education as customers of the system. Some will serve more than one role providing content and students. Any system DHS develops for education and skills training needs to account for the various roles these stakeholders may play.

Primary stakeholders in DHS' professional education system include those organizations for which the education and training system provides the cornerstone of their mission capabilities. Similarly, these entities should play a key role in the development of curriculum and should serve in establishing a cohesive HS academic discipline for the future. The priorities and parameters of this discipline cannot be wholly prescribed, as other's perspectives are needed to round it out. Aside from DHS and its component agencies for which this system is nominally being developed, state, local, municipal, and tribal authorities from around the US and its territories must be included as both customers of the curriculum and as key content providers.

DHS can play an effective integrating role for the community. There are many academic and other educational and training institutions that will serve as delivery vehicles for curriculum

and as research centers. One example is private industry, which accounts for a substantial portion of skills training and security service provision and needs to be included in this category as well.

There are also many organizations for which HS is a key, but perhaps not their primary mission area, or else have jurisdictions that exist largely outside the United States. These entities must be included in the DHS professional education system to ensure their effective linkage to DHS' mission. It is recognized that the Department of Defense and the National Guard Bureau, including the States' Army and Air National Guard, will play a key role in protecting the homeland. Key personnel from the Office of the Assistant Secretary of Defense for Homeland Defense, state Adjutant General offices, and the Services, to name but a few, need to participate in the system to address civil military relations issues and to give their perspectives on strategic planning and other crucial fields. Other United States Government departments and agencies such as Justice, State, and the NSC should also be included, not only to become more proficient in HS capabilities, but to raise all parties' appreciation of the jurisdictional gray areas and capability gaps between them. Finally, foreign governments and agencies such as Interpol will have key roles to play as both students and content providers to the system.

RESEARCH METHODOLOGY

ESTABLISHING A BASELINE

The DFI-MIPT study team began its analysis by sketching out a notional professional education system, its contents, and the general assumptions by which it would operate. The purpose of this exercise was to leverage previous experience and insights the team members had in this area, as well as to develop a baseline against which to measure future research findings. Furthermore, this allowed the team to identify at an early stage existing biases and

assumptions regarding the issue and provide the foundation for research questions and alternative models. To bound the study and limit its scope, the team envisioned a program designed for DHS professional employees from GS-9 (or equivalent) to the SES level. This portion of the workforce represents the rough equivalent of a military branch's officer corps. This cross-section includes personnel with baccalaureate degrees and the vast majority of the potential future leaders for the Department. The notional program was not intended to exclude lower-level or highly technical workers, nor ignore other necessary forms of employee skills training. Instead, the model would act as a framework for DHS to integrate other aspects of a professional education system and produce a single cohesive system.

Included in the model developed by the study team was the idea of educational "gates" that were defined sets of educational experiences (degrees or certificates obtained, skills training completed, etc.) that, for significant career steps, an individual would need to achieve before being eligible for advancement. The idea is not that the coursework composing a gate be taken all at one time, but rather that those items would all need to be completed prior to the person advancing through the gateway. Multiple gates would be established at various stages within an individual's notional career path, and they would be tied explicitly to the individual's career field. Therefore, a 20-year DHS employee could expect to have gone through several defined educational gates during his or her career. An important point to clarify, though, is that not every promotion or job change would have a mandatory education gate. Depending on the career field, and in some cases, the urgency of filling certain billets, some promotions would not require additional coursework or degrees. Skills training may be required, but those needs are only allowed for, rather than prescribed, by this model. Further analysis is required to identify the specific skills training needs and requirements by agency or functional specialty.

The definitions of education and training used by the team were developed by Dr. Jeff McCausland, Former Dean of the US Army War College and a Director at the National Security Council. Put simply, training is focused more on skills development and teaching an individual "what to think" or how to react in certain situations. Examples include operational skills (how to inspect a container at a port) or managerial skills (drafting a budget). Education teaches a person "how to think" about an issue or situation and tries to make him or her define what the proper questions and steps might be (the "Art and science" of homeland security). Training is the professional development focus during the early portion of a career; managerial and leadership training and education is emphasized during latter part of the span.

REVIEWING EXISTING RECOMMENDATIONS

There have been numerous commissions and other bodies stood-up to examine homeland security in the US during the past decade. As its next step, the study team reviewed the findings of these entities to see if there was any guidance or areas recommended for further analysis provided that would be relevant to the DHS professional education system.

SURVEYING THE HS EDUCATION "STRATEGIC LANDSCAPE"

The third portion of research consisted of identifying and interviewing existing HS-related training and education programs available in public colleges and universities. While homeland security as a academic discipline is still very new, many of its components (e.g. infectious disease research, training of first responders, strategic planning, consequence management, etc.) are more mature and have had years of scholarly development. The team began by consulting numerous sources to identify the full range of HS-related programs available from schools around the country.

The 22 agencies that were brought together under the Department of Homeland Security umbrella had a wide variety of programs in the professional education arena that needed to be identified and examined for their contributions to a larger HS education system. The team conducted research to identify existing programs geared toward both training and educating the DHS workforce. To provide more depth of understanding, the team contacted several programs within selected DHS agencies including the Leadership Center at Customs and Border Protection (CBP), the Coast Guard Office of Workforce Performance, Training and Development (G-WTT), and the Transportation Security Administration's (TSA) Federal Security Director education program to learn more specifically about what they were already doing in the area of professional education and how their programs are structured. To date, only CBP and the Coast Guard have made themselves available for an interview to help determine what resources were already available within the Department.

ASSUMPTIONS

The research and analysis work conducted to date has enabled the team to refine and reorganize its initial assumptions. These refined assumptions, along with our specific research findings, underpin the recommendations to the Department in Section IV. The following are assumptions that the study team established and validated during the course of research and analysis. They helped form the basic structure from which analysis and recommendations have been developed based on specific recommendations from interviews, and they are provided to the reader here as context for the remainder of the paper:

- **The primary purpose of professional education is to ensure DHS staff is intellectually equipped to meet the organization's mission.**

- **Education and training are distinct yet interrelated activities, both of which are necessary parts of professional development.**

- **A professional education program at DHS must be integrated within a broader human resource strategy and plan.**

- **A career at DHS could span 30 years or more.**

- **There is a core set of subjects and concepts with which all staff must have familiarity.**

- **Not all schooling has to be owned or devised by DHS.**

- **The DHS professional education program should leverage existing component agency systems for education and training.**

III. KEYS TO A PROFESSIONAL EDUCATION PROGRAM

OVERVIEW OF KEY RESOURCES

There are a number of homeland security-related resources available to support DHS in its efforts to train and educate both employees and external stakeholders. A survey of the homeland security landscape shows that a host of universities, 4-year colleges, community colleges, and private sector companies offer degree and certificate programs that may be utilized by DHS in growing homeland security professionals. DHS can also benefit from the work being done by research centers and consortia to advance and disseminate information on homeland security. Finally, DHS can integrate best practices from existing federal government professional education models and academic programs in developing a homeland security professional education system.

The following provides a summary of findings collected from a review of existing professional education models, interviews with representatives from 28 out of 120 identified HS-related programs nationwide, and a 1 and ½ day working group attended by subject matter experts on homeland security. Due to the condensed timeframe in which to conduct the interviews, the study team contacted a sampling of programs providing HS-related education, training, research and other resources while also reaching programs from across the US. The results are not comprehensive, but identify key areas that could help to define and shape a successful DHS model for professional education.

ILLUSTRATIVE PROFESSIONAL EDUCATION MODELS

The study team surveyed a field of existing professional education models and determined that three of the models were particularly relevant to DHS:

- US Army Officer Professional Education Model

- Customs and Border Patrol Professional Education Model

- Department of Defense Civilian Professional Education

The three models, each of which help fulfill different missions but are each characterized by a common mission and culture of contributing to national security, provide an important overview of the assumptions and constraints involved in designing a professional education program for a large agency or department. Reviewing the three models was necessary in illuminating the methodology, benefits, lessons learned, and best practices in forming and cultivating a fully operational professional education system. Throughout, the emphasis was on integrating the beneficial aspects of legacy systems within DHS without allowing those systems to become a barrier to integration goals and objectives.

Relevant characteristics of the three models were extracted and used as a conceptual foundation upon which to build a notional model of DHS professional education. Empirical research, assumptions, and team members' study of professional development evolved into a base for the recommendations and observations in Section IV.

Army Officer Professional Education Model

The US Army Officer Professional Education (PME) model is representative of each of the Services' approaches to building a core of trained professionals. Generally, the military PME model is characterized by its linear and strictly pre-determined format. In this context, linear means the flow of officers through the system is intended to proceed in a series of discrete stages with very few entry points at mid-career. Within the system, a comprehensive blend of skills-based training, managerial skills, leadership development, and broader education is being taught as part of the professional development of military officers. In fact,

this system is an integral part of the development of service branch and overall service culture, appealing to a sense of one's patriotism and a feeling of belonging to a military "family." The individual's buy-in to the culture and the shared sense of purpose are what makes the lack of choice in education possible and somewhat unique from other government programs.
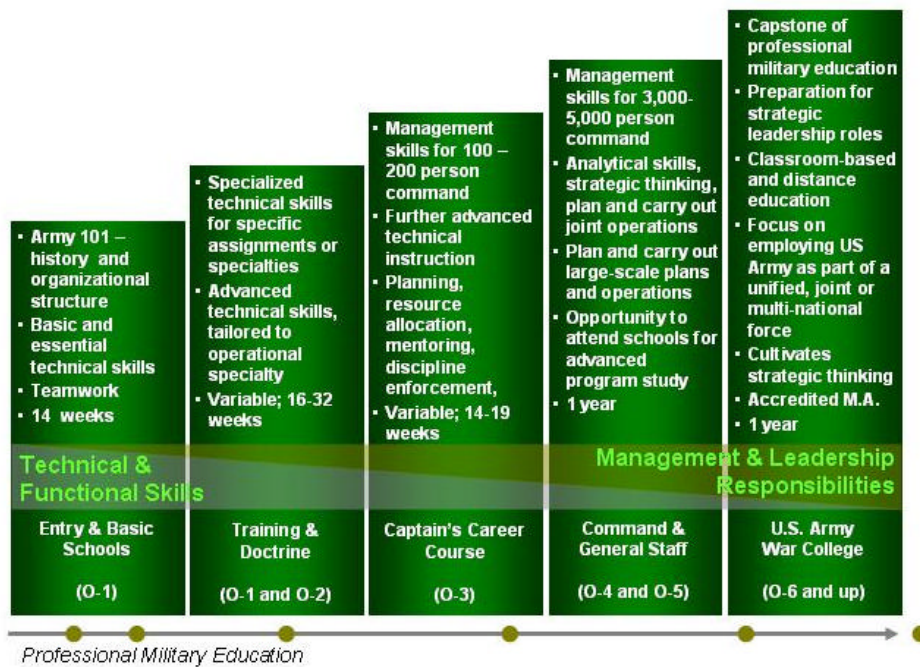
Figure 1: Army Officer Professional Education Model

The structured nature of the professional education system allows for increased transparency in the expectations of both the Army officers and Army leadership, the latter of which relies upon the officer corps to be highly skilled, intellectually flexible, and well prepared in times of war and peace. The PME system goes further to tie professional education and training to one's career progression, ensuring that education is not only encouraged, but rewarded and that time spent in class, away from post, does not adversely affect an officer's future chances of promotion.

An officer's career in the Army begins with attendance at a military service academy, a basic course, ROTC, or an alternate entry program for directly commissioned officers. The goal of these educational institutions is to provide an officer with an understanding of the Army's mission, its strategic responsibilities, its place in the defense of the United States, as well as the basic technical skills of military life at the small unit level. Particular importance is placed not only on the indoctrination into the US Army and its principles, but also on the technical skills deemed essential for a junior-rank Army officer. Inherent in the lessons of the education and training provided by the Army at this initial stage is the concept of teamwork and leadership at the tactical level, which is reinforced throughout an officer's career.

Technical and functional training continues as the officers are assigned to technical specialties and are required to receive extensive skills training in order to develop expertise in that particular area. Such training can last up to eight months and generally requires either deployment or relocation to a school facility.

As junior officers look to promotion to field grade rank (O-4 through O-6), they are required to attend a Captain's Career Course, which is designed to introduce military officers to broader management skills. While the course includes advanced technical training, the emphasis on functional specialties begins to diminish, while such managerial skills as planning, resource allocation, and discipline enforcement are given greater weight. This course marks a pivotal point in an officer's career, as his or her responsibilities (and the education and training that enable him or her to fulfill them) require less technical expertise and more managerial abilities.

As an officer's career continues, managerial and leadership skills become the focus of education. Majors and Lieutenant Colonels (O-4 and O-5) attend Command and General Staff College – a 1-year course that prepares them for the management of units comprised of approximately 5,000 soldiers. The course also incorporates analytical skills, strategic thinking and planning, as well as ability to carry out joint operations. At this stage in an officer's career, "jointness" plays a particularly important role as the Army strives to teach its officers how to work and fight alongside other military branches. The pervasive inter-service rivalry necessitated the inclusion of joint education into the Army PME system. Goldwater-Nichols legislation in 1986 set in motion this shift in focus. This mandatory joint exposure has consistently been credited as a central cause of US war-fighting effectiveness in recent operations.

Lieutenant Colonels (O-5), Colonels (O-6) and general officers (O-7 and up) have an additional opportunity to attend service war colleges – US Army War College – in order to obtain a master's degree (O-6s) or learn additional leadership and strategic thinking skills. The master's degree courses, lasting one year, incorporates both distance and classroom based education and focuses on cultivating strategic thinking, leadership abilities, and employing the US Army as part of a unified, joint, multi-national force. The degree is mandatory for promotion to general officer rank and is open to Lieutenant Colonels and Colonels. A separate capstone and continuing education courses for general officers are also offered at the War College in order to provide a greater familiarity with the US political environment and strategic concepts.

The success of the Army PME system, however, is partly a result of maintaining a singular entry point and only offering periodic pre-determined exit gates along an officer's career path. All commissioned officers (with the exception of such highly specialized professions as doctors and chaplains) enter as junior lieutenants (O-1) and are committed to service for a

pre-determined length of time, depending on their technical specialty. This characteristic of the Army PME is markedly different from the civilian professional education models, as civilian agencies and companies expect and rely on the expertise and experience of individuals entering employment at junior, mid-, and senior levels. As a result, it is unlikely that a civilian professional education system could be modeled as strictly as that of the Army, as it must allow for the entrance of new employees at all professional levels in order to attract the highly skilled professionals in the private sector. This is particularly relevant as the US Office of Personnel Management is seeking new tools for luring private sector candidates into the civil service to address the challenge of impending waves of retirement from federal employment. DHS faces similar trends, though the scale of the challenge was not assessed for this report.

The Army is also endowed with the authority, manpower and funding to dispatch individuals from their current assignments to attend lengthy educational courses away from home without significant regard for the potentially adverse effect on retention or job satisfaction. Personal sacrifice is a well-advertised part of the profession. Civilian employees do not generally exhibit the same willingness to take lengthy courses away from home unless they are assured that their career would not suffer as a result. A civilian agency, therefore, must consider the resource and hardship implications of the US Army model and structure its education and training accordingly.

It is important to note that the goals and foci of the various military branches' professional education systems are currently being reassessed. A significant body of recent literature exists that questions the current focus on educating all officers with the intent on building broadly educated strategic thinkers and leaders of large units or commands. Increasingly, officers and experts question why highly capable tactical combatants and leaders are forced into an education program (and promotion consideration track) that may take them away

from their most significant contribution to the force. An example has been repeated that occasionally, the best fighter pilot or squadron commander would be kept as just that, even at the same rank for the rest of their career, if they so desire. Skills training would be provided as needed, but broadening education would not be pursued. Subject to the up-or-out policy being removed from the military regulations, such a decision could result in forfeiture of promotion consideration. However, anecdotally, it has been suggested that such a provision could increase job satisfaction, increase the operational capabilities of small units, and clear the way for those more interested in and capable of senior leadership work on that track. The applicability of these assertions within the military could have some relevance to DHS as it seeks to identify future leaders while meeting the functional needs of the Department.

US Bureau of Customs and Border Protection Leadership Development Model

The US Bureau of Customs and Border Protection (CBP) provides one example of the type of professional education program already resident within DHS, but one that is perhaps better defined than its counterparts. The Office of Training and Development's Leadership Center manages the program, which is tasked with overseeing all training, education, and development programs within CBP. The National Training Plan provides an annual overview of courses being offered, guidance on which courses people in the various career tracks should take, and an explanation of how those courses relate to the bureau's goals and priorities.
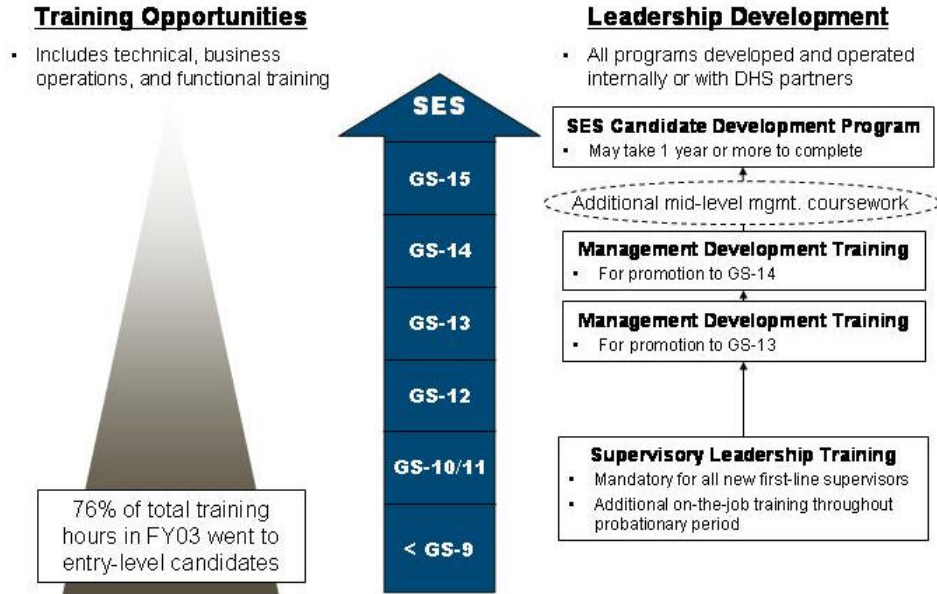
Training Opportunities
- Includes technical, business operations, and functional training

Leadership Development
- All programs developed and operated internally or with DHS partners

SES

GS-15

GS-14

GS-13

GS-12

GS-10/11

< GS-9

76% of total training hours in FY03 went to entry-level candidates

SES Candidate Development Program
- May take 1 year or more to complete

Additional mid-level mgmt. coursework

Management Development Training
- For promotion to GS-14

Management Development Training
- For promotion to GS-13

Supervisory Leadership Training
- Mandatory for all new first-line supervisors
- Additional on-the-job training throughout probationary period

Figure 2: DHS Customs and Border Protection Professional Education Model

Many skills-focused training courses are available to employees at all levels to teach new hires the basics they need to do their jobs or to add complementary or advanced skills. The program is designed to train people hired-in at any level in the organization. CBP offers several levels of training for its management and executive level employees, beginning with a 2-week mandatory training program for new first-line supervisors and on the job training throughout their probationary period regardless of their career field. As individuals advance, they are also provided management development training courses before promotion to the GS-13 and GS-14 levels. Other training opportunities are available to managers at different levels, but the common theme is that they focus on management and leadership skills vice education-type activities meant to enhance a person's cognitive or broad analytic abilities. To aid in the delivery of content to its students, CBP utilizes distance learning (e-Learning and the Office of Personnel Management's GoLearn online system) as well as CBP-TV, which is available at nearly 80% of CBP's facilities nationwide.

CBP is also one of only two DHS component agencies to offer its own Senior Executive Service (SES) Candidate Development Program, which is designed to prepare higher level permanent government employees for service as senior leaders in the bureau. Using OPM's SES candidate development program guidelines, individuals in the program must find an SES-level mentor to oversee their activities, develop an individual development program, conduct a 360° personal assessment, 16 weeks of development activities, and 80 hours of interagency training. This coursework could take a candidate longer than one year to complete.

While the CBP program is not nearly as rigorous as the Army PME model, it does provide an outline of how a professional education system functions within a civilian government agency and with a focus on improving their capabilities in their mission areas. Unlike the Army model, individuals in the CBP model can enter at any point during the career timeline without penalty. On the other hand, the focus of the CBP program is on skills training rather than education and no provisions are made for instilling "jointness" in individuals' progression until they are almost at the end of the program in SES candidate development – a small number of staff. Opportunities to support information sharing or other cooperation may be lost due to the lack of emphasis on jointness in junior and mid-level staff education. Ultimately, the CBP program does offer a wide variety of programs to help its employees do their jobs more effectively, and takes the time and effort necessary to integrate their professional development program within a larger human resources management framework.

Both the Army model and CBP model demonstrate how educational gates are used prior to career advancement to ensure employees have the skills requisite to their new responsibilities. Further, the two models provide an illustration of the spectrum of entry-to-senior level professional development programs that could be developed by DHS. While the

Army model is very robust, it would be impractical for direct transfer to civilian DHS employees. The CBP model, in contrast, shows how a general professional education system could be constructed to provide opportunities for enhancement, but without the specific focus on breeding leaders with the critical thinking skills required in the homeland security arena.

Department of Defense Civilian Education Model

The DoD civilian professional development system is not as comprehensive and structured as the Army PME or CBP models. Required courses and career gates for the majority of the staff are not defined and education and professional development are not uniformly required for advancement. Little information is easily available about the professional development strategy, courses offered, or the skills and abilities emphasized by the education and training provided. This may be a symptom of a young program, just redesigned in 2001. The professional education system, which has been under review and in the process of redesign by the Civilian Personnel Management Service (CPMS), consists of education for the senior staff and courses for the junior- and mid-level employees.

The Defense Leadership and Management Program (DLAMP) oversees education for the senior staff and is responsible for cultivating future DoD civilian leaders through inter-agency civilian training, education, and development. Eligibility for attendance is open to GS-14/15 level employees and provides for a graduate degree obtained through participation in a fellowship, attendance at military PME universities, or DLAMP-funded part-time study at non-DoD universities. Junior- and mid-level education is available through both DoD and non-DoD institutions. Professional education does not play a central role in the DoD civilian workforce development at lower grades, which accounts for the limited opportunities for professional development.

The profile of a DoD civilian employee has several important similarities to that of a DHS civilian employee. First, there is a similar sense of purpose based on having a role in ensuring the security of the nation and its interests. Second, DLAMP was ostensibly designed to produce the future civilian leaders of the Department of Defense, a large bureaucracy drawing on many different agencies and subordinate departments. However, the DoD civilian professional development and human resource systems do not appear to provide a clear linkage between DLAMP completion and promotion potential for individuals. While there could be a high correlation between the numbers of employees who matriculate through DLAMP and those who are promoted to SES (data was not available for this analysis), there is no apparent connection in DoD personnel regulations. There is therefore high potential for expensive education programs to be conducted by taking significant numbers of personnel out of their job for long periods of time, but will have no bearing on one's opportunity to be promoted to lead within the Department. Anecdotal evidence has supported this concern. The lesson for DHS seems to be that there should be a clear linkage between professional education and career progression so time and money can be saved, but also to maintain the morale of the important senior management ranks (GS-14/15s).

OVERARCHING ISSUES

In addition to reviewing professional education models, the study team conducted interviews and small-group discussions with HS-program representatives and subject matter experts to identify a set of core issues that DHS should consider in developing a homeland security professional education system. These issues received considerable attention by those engaged in developing homeland security programs independently across the country and must be integrated with any professional education model. A discussion of overarching issues stemming from survey and working group findings will focus on the following:

- Curriculum (Training vs. Education)

- Course Delivery Methods (Schoolhouse vs. Distance Learning)

- Accreditation

- Consortia and Partnerships

Once these overarching issues have been presented, a summary of lessons learned will be provided.

Issue 1: Curriculum (Training vs. Education)

DHS has a unique opportunity to shape the future of professional education for its employees, while simultaneously strengthening the ability of non-DHS actors to contribute to homeland security. In order to determine existing HS-resources, the study team identified over 120 HS-programs nationwide offering a spectrum of "training" and "education" capabilities in homeland security. This list is not exhaustive. Indeed, new programs have surfaced throughout the study period. The programs on this spectrum demonstrate that while differences between training and education exist, the line between them is blurred in many fields. According to the programs surveyed, universities and 4-year colleges tend to emphasize "education" in the field of Homeland Security, while community colleges focus on "training" first responders (e.g., police, fire fighters, etc.) and instant responders (i.e., security guards). Drawing on our study assumptions, this assessment concentrates on HS-education, which has received less attention and funding than HS-training to date, but is vital for building a workforce to deal with the complexity of preparing, preventing and responding to the terrorist threat.

The universities and 4-year colleges surveyed offer a menu of HS-related degree and certificate programs. Since "Homeland Security" has not yet been recognized as an independent and defined discipline, BA, MA, and Ph.D. degrees are, for the most part, being

offered in traditional disciplines (e.g., computer science, sociology, political science, architecture, civil engineering, etc.) with homeland security minors or concentrations. By embedding "tracks" within mainstream disciplines, faculty are building upon their professional expertise and are placing important HS-related concepts in a defined and recognized framework. This approach appears to be positive in the short term as it allows HS issues to be assessed in a legitimate and scholarly setting. The BA and MA degree-programs, in particular, appear well positioned to serve DHS by providing future employees with a background in key concepts and an introduction to critical thinking and team building. As DHS moves toward developing a Homeland Security profession, however, there will likely be an increased demand for the development and recognition of Homeland Security as an acknowledged discipline that, at its core, draws multi-disciplinary expertise into a common academic and professional debate.

While succeeding in BA and MA programs may serve as a pre-requisite for entering into and progressing through a DHS career to a management or leadership position, certificate programs provide an attractive alternative to furthering specific capability goals for the individual and the Department. Graduate-level certificate programs may be particularly attractive to DHS professionals who have limited time, rigid work schedules, and/or an existing graduate-level degree. Certificate programs are generally shorter than degree programs and often offer a distance-learning component. By participating in a certificate program, DHS professionals are able to gain education in new areas without spending the time and resources to acquire a second master's degree. A certification regime could also potentially replace a master's degree requirement for promotion to GS-15 and SES levels.

Interviewees noted that it is important for those that commission the education program to put all certificate programs on a similar level of academic rigor, mostly aimed at graduate-level coursework. In many fields, "certificates" can be had in anything from learning basic

office software skills to attending a conference on how to use the organization's new travel system. It was deemed important that the definitions of this term, and other terms pertaining to the professional education program, be well understood and advertised.

Issue 2: Course Delivery Methods (Schoolhouse vs. Distance Learning)

The majority of the programs surveyed offered schoolhouse courses on homeland security, or a mix of schoolhouse and distance learning opportunities. There were exceptions, however, where programs did not offer in-house HS-related courses, but solely provided online/distance-learning alternatives. As a rule, however, as long as a student was enrolled in the college or university and met core requirements, he or she was admitted to the class. In some cases, programs were willing to develop short courses for specialized audiences, as well as travel to meet students in their location for greater convenience (i.e., hold a course at a fire department or police station, travel to visit governors, etc.).

Online and distance learning is becoming an even more popular means of accommodating the educational needs of individuals working in HS-related fields. Of the programs surveyed, almost all said that they plan to offer an online program or component in the future, if they did not have one already. Given their increased flexibility, online programs are particularly attractive to the HS-student market, including military personnel, first responders, policymakers, and executives in relevant fields - many of who have jobs that preclude them from an extended absence to attend a traditional degree program. Online programs also offer the advantage of allowing for a larger throughput of students than schoolhouse courses. Given the number of DHS employees in need of homeland security education, this increased capacity may be attractive to the Department.

Despite the advantages, however, there are also several disadvantages to online and distance learning. The primary disadvantage is that online and distance learning lacks the in-person interaction and team building that is an important component of training and educating professionals in the field of homeland security. Cooperation is a difficult skill to reinforce virtually. Some of the programs surveyed have responded to this challenge by requiring students to participate in joint problem-solving and case-based activities online. Another recognized disadvantage is the cost of offering online and distance learning courses. One survey respondent noted that it is 75% more expensive to offer online as opposed to schoolhouses courses, assuming that schoolhouse space is available. The cost reflects the start-up investment, technological component, and increased demand on professors' time (i.e., keeping up online discussion throughout the day). Once the start-up investment has been made, however, the price of online education may decrease substantially.

Issue 3: Accreditation

At the start of this study, the team sought to use school or program accreditation as a means of comparing HS-related programs. At present, however, there is no educational or training standard specific to homeland security. Instead, virtually all of the programs offering HS-related coursework have or are seeking accreditation from regional accrediting bodies, which accredit familiar academic programs (e.g. biology, history, mathematics, etc.) as well as multidisciplinary major programs (e.g. international relations). Without an accreditation specific to homeland security, it is difficult to judge the quality of one program relative to another. Second, the lack of a common standard makes it difficult, if not impossible, for people taking courses across universities to combine their credits and receive a degree or certification in the field of homeland security.

Despite these challenges, none of the 28 HS-programs surveyed expressed a strong desire for a specialized DHS accreditation. Respondents instead sought guidance from DHS on its

professional needs and long-term vision in order to design appropriate curriculum and better position themselves in the marketplace. Although survey respondents did not expressly desire DHS accreditation for their programs, accreditation coupled with the creation and recognition of homeland security as a discipline could help to ensure professional standardization. In the absence of a DHS accrediting body, an agreed upon set of performance measures or metrics by which to evaluate effectiveness could be useful to determine the quality of specific HS-related programs.

Issue 4: Consortia & Partnerships

In the absence of official guidance from DHS, partnerships are forming between universities, 4-year colleges, industry, etc. for the purpose of sharing HS-related information and strengthening capabilities necessary to attract HS funding. DHS' award of Centers of Excellence contracts to universities working in partnership with other institutions on Science and Technology matters has furthered cooperation in the homeland security arena. Institutional partnering has taken on several forms. In some cases, partnering has meant forming HS-related consortia for the purpose of future cooperation (i.e., the National Academic Consortium for Homeland Security – 150 partners). In other cases, institutions – including private industry – are reviewed and formally admitted to a partnering body (i.e., Institute for Defense and Homeland Security – 57 partners). These consortia are relatively new and are, therefore, just beginning to advance HS education and cooperation.

Partnering is also taking place between academic institutions, the private sector, and government. A number of universities, 4-year colleges, and community colleges surveyed are cooperating with the private sector and government to offer HS-related internships for their students (i.e., University of Denver-NORTHCOM). This provides familiarity and career relevant experience, particularly for students who are seeking to enter the field at junior or mid-career levels.

LESSONS LEARNED

Survey respondents and working group participants were asked to identify lessons learned in the process of developing HS-related programs. Respondents repeatedly called for the "integration" of know-how in developing HS-related professional education. Subject matter experts agreed that homeland security is by necessity multidisciplinary and, therefore, requires cross-fertilization of ideas and cooperation. This cross-fertilization is impaired by the lack of emphasis on team building and active critical thinking, both of which should be stressed at all levels in any HS professional education system.

In order for existing programs and resources to best assist DHS in training and educating its workforce and non-DHS homeland security stakeholders, respondents suggested that DHS clearly identify, prioritize, and disseminate its educational requirements by subject matter. Although interviewees recognized the challenges that DHS is currently facing, they consistently expressed frustration with DHS' changing mission and organization. Multiple respondents expressed concern that internal confusion and daily changes in DHS had created a ripple effect, thereby causing unnecessary confusion in the marketplace for HS-related education. One respondent further suggested the creation of an "academic liaison" office to serve as a focal point in DHS for academia. This position would be similar to the existing "private sector liaison" and "small business sector liaison" and would help to facilitate communication across communities. Such an office would further integrate the Centers of Excellence portfolio with the larger professional education portfolio.

The survey also highlighted frustration with the lack of long-term funding available from DHS. Existing research monies have been earmarked for the Centers of Excellence, but have not trickled down to universities nationwide. The market for HS funds remains very competitive with the majority of funding being given to first responders (i.e., emphasis on HS training). While training is a vital component of protecting the homeland, education is a

necessary counterpart. The current distribution of resources again highlights the need to invest time and money in developing a mature education system.

Although much remains to be done to develop a DHS professional education program to support career progression, the study findings demonstrate that a great deal of valuable work has already been done to provide training and education in the field of homeland security. Non-DHS programs appear receptive to market forces and are developing creative and credible programs in the absence of specific guidance from DHS. DHS should draw upon these existing resources, as well as professional education models, and incorporate best practices to shape and develop its homeland security professional education system. This action will serve the department, the larger HS-community, and the citizens DHS seeks to protect.

IV. OPTIONS FOR A DHS PROFESSIONAL EDUCATION PROGRAM

INTRODUCTION

This study of professional development reinforces the belief that the development of a professional education system that contributes to the recruitment and retention of the most qualified individuals is crucial to the effort of transforming America's national security institutions writ large, as mandated by the 2002 National Security Strategy. The study further validated the nation's need for effective civilian policy makers who can manage change and apply strategic thinking to solving today's security problems.

The cultivation of such policymakers, particularly at a government agency early in its development and complicated in its composition, should be closely linked to the professional development system that attracts new employees at all levels and specialties and invests in their education.

The topic of succession planning has received great attention in the federal government, as large numbers of SES members are eligible to retire and leave their departments. GAO analyses show that of the 6,000 SES employed by the federal government in September of 1998, 71% will be eligible to retire at the end of the fiscal year 2005. This rate, according to GAO, is about 20% higher than the group of SES members employed in 1998.[1] While the retirement rates and eligibility of the 400+ SES personnel in DHS were not available for this analysis, surveys by the GAO of all departments suggest that similar retirement trends are occurring across the federal government.

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[1] Government Accountability Office, "Senior Executive Service: Retirement Trends Underscore the Importance of Succession Planning," May 2000, GAO/GGD-00-113BR.

Federal agencies have been working to assess the most effective succession planning policies and practices, resulting in guidance literature produced by OPM and GSA. Most recently, OPM released the "White House President's Management Agenda" that recognizes the importance of succession planning and identifies promising practices of various federal departments. These practices include mentoring programs for promising GS‑13 through GS‑15 employees, rotational programs for new senior personnel, competency‑based leadership training programs for mid- and senior‑level employees, and agency‑wide leadership development programs.   These practices are consistent with the findings of the study team and are discussed in this Section.

HOMELAND SECURITY AS A PROFESSION & DISCIPLINE

DHS involvement in the design and oversight of homeland security professional education should bring the additional benefit to legitimizing the discipline of homeland and national security. While the study of national security has existed and has drawn attention from political scientists and international affairs experts as its own academic discipline, homeland security remains a relatively unknown and unexplored field. Interviews with educators and program deans at universities and colleges across the country suggest that homeland security programs would welcome the guidance and, perhaps, the direction from DHS especially if it could speak generally for the homeland security community on the subjects and capabilities that a homeland security program should cover. DHS participation in the design of the curricula and courses would not only help establish the discipline of homeland security, but also accelerate the development of highly-skilled, qualified professionals and academics with expertise in the "art and science" of homeland security.

By forging closer relationships with universities through fellowships, consortia, and internships that have homeland security programs or those in development stages by actively participating in the development of program structure, DHS can further expand its human and intellectual capacity. For a discipline in such nascent state, DHS will find it in its best interest to directly spark the cultivating of the discipline, educators, professors, and potential accreditation endorsements. Even without controlling the academic agenda, DHS will benefit over the long term by initiating and participating in forums. It is advisable to open the stage to the widest variety of academic disciplines and views today. However, there will be universities and programs that DHS will want under contract to consistently provide education services for its workforce and other key players.

A key theme to instill among the various educational and training components is the need to define the nature of the homeland security profession and to reinforce the common sense of purpose and duty that will help build the culture of cooperation and sharing. The professional education curriculum can then be designed based on the shared characteristics, skills, qualities, and attributes that DHS views as essential to a homeland security "professional". The resulting system would consist of two main components, consisting of the shaping of homeland security professional culture along with the more traditional education of technical and managerial skills.

The creation of a culture of homeland security professionals will cultivate a shared sense of mission and create an identity for the workforce in a way that technical and managerial education and training alone cannot. This way of thinking about the mission of DHS and its role in protecting the homeland will facilitate the development and maturity of the study of homeland security and encourage the retention of employees. Fostering this idea and its practice is the hook for the non-DHS stakeholders. A core reason for the development of the shared purpose and mission of homeland security is its potential use as a tool to bring

together the 22 separate agencies and the wide variety of stakeholders who cling to legacy methods of dealing with the federal government.

DHS PROFESSIONAL EDUCATION ASSUMPTIONS

A DHS-established professional and continuing education system should emphasize the Department's underlying doctrine, policy, and strategy in an institutionalized process taught by trained professionals. In addition, the system must be based on required capabilities and competencies that support the department's vision for employee career progression. Whether an employee joins DHS at an entry level, mid-career level, or senior level, there should be opportunities for education and advancement. In some, but not all cases, advancement would be contingent upon completing professional education requirements such as graduate or certificate programs. Different types of education and training are necessary for advancing along technical vs. managerial vs. leadership career tracks.

During the course of the study, the DFI-MIPT team identified and validated seven assumptions. These assumptions represent the foundation of the recommendations made for the development of the DHS professional education system.

- **The primary purpose of professional education is to ensure DHS staff is intellectually equipped to meet the organization's mission.** Any DHS-sponsored professional education program should help employees fulfill their assigned tasks and prepare him or her for promotion and, potentially, leadership within the HS community. As the Department's mission brings it into contact with other organizations, educating other stakeholders (interagency, state/local personnel, etc.) is also a part of the program's objectives.

- **Education and training are distinct, yet interrelated activities, both of which are necessary parts of professional development.** Training is focused more on skills

development and teaching the individual "what to think" or how to react in certain situations. Education teaches the person "how to think" about an issue or situation and tries to make him or her define what the proper questions and steps might be (the "Art and science" of homeland security). Training is the professional development focus during the early portion of a career, managerial, and leadership training and education are emphasized during latter part of the span.

- **A professional education program at DHS must be integrated within a broader human resource strategy and plan.** An employee's career path, complete with options and regardless of specialization, should be mapped to a professional education program over the length of his or her career. Education should be planned and resourced as an incentive to recruitment and hiring. Some promotion and career advancement should be tied to identifiable educational "gates."

- **A career at DHS could span 30 years or more**. While it is recognized that fewer people remain with the same organization for such a long period today, a professional education system must be robust enough to continue to serve the needs of DHS employees at all pay-levels and lengths of service. Furthermore, the professional education system should not adversely impact the ability to attract mid-to-senior level job candidates from outside federal employment by enforcing inappropriate junior-level coursework requirements for new mid- to senior-level hires.

- **There is a core set of subjects and concepts with which all staff must have familiarity.** Initial education (i.e. a "DHS 101" course) is needed for current employees and new entries, regardless of grade, to help foster a common understanding of the Department, its mission, and the scope of its activities. Further, this course would help reinforce a shared sense of purpose and a culture of cooperation. The course would emphasize:

- Understanding of diversity of threats – complexity and the need for critical thinking

- – Unique, broad nature of DHS' mission

- – Basics of law and policy relating to homeland security

- – Homeland security resources including organizations, personnel, and funding

- **Not all schooling has to be owned or devised by DHS.** Valuable homeland security training and education programs currently exist elsewhere in the public and private sectors that DHS has neither mandated nor directed. These capabilities can be leveraged by DHS in developing a professional education program. Distance learning (web-based courses, bookending) may be an acceptable and desirable method of course delivery, in various courses and tracks.

- **The DHS professional education program should leverage existing component agency systems for education and training.** Important and valuable work has already been done by DHS component agencies that should be integrated into any new system. Further, operational skills training for agency personnel should not be adversely impacted by any new DHS-wide professional education system.

LINKING DHS PROFESSIONAL EDUCATION TO CAREER PROGRESSION

The model in *Figure 3* demonstrates a notional career progression for DHS employees. It shows that while entry into DHS can occur at any grade, the focus is on the majority who enter as junior staff and stay for a career. Most who achieve advancement to management or leadership positions results from pursuing both technical expertise and management skills and responsibilities over time. However, a small number of employees can choose to pursue a technical or functional path and become senior technical specialists in their field with very few at the SES rank. Nor do most employees advance to GS-15 and SES levels strictly within their original field, as broadening of experience and skills is required. The model is rooted in the idea that while lateral moves within the Department may not require additional

professional education, advancement to some mid-level and most senior positions would be contingent upon obtaining a Master's degree.
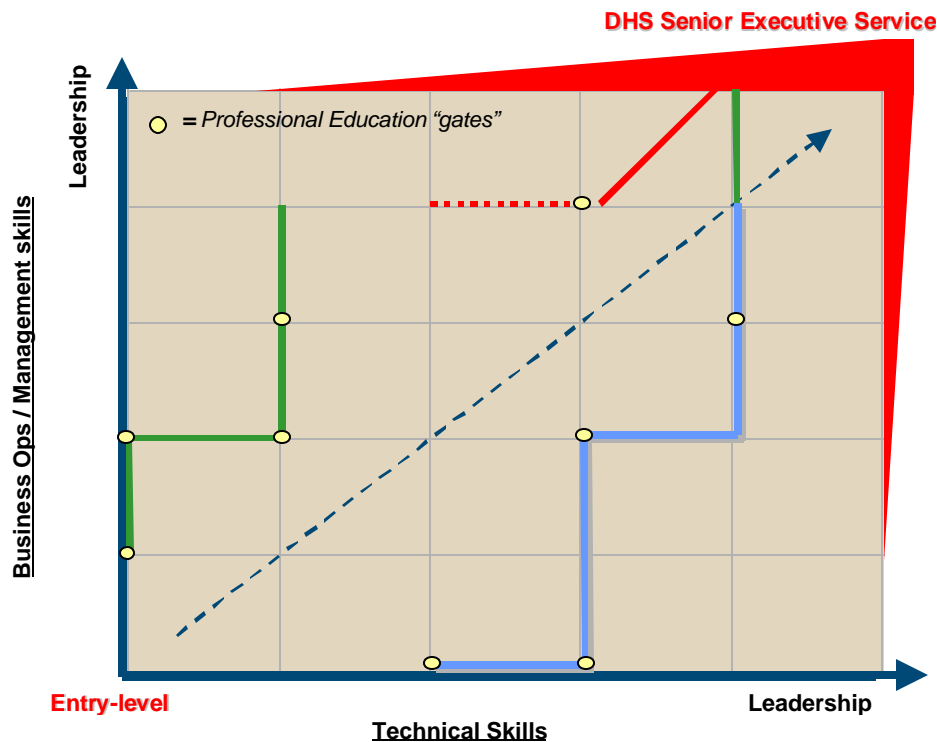
Figure 3: Notional Model of DHS Career Progression

DIMENSIONS & COMPONENTS OF HS EDUCATION

DHS should seek to foster a culture of continuous learning at all career levels, including individuals in the Senior Executive Service. It is apparent in organizations where this works well that employees are happier and more productive. That goal can be accomplished by viewing homeland security education through three distinct, yet interrelated, dimensions. A career-specific dimension would provide for training and education specific to one's technical specialty and would ensure the presence of highly skilled employees within DHS. A crosscutting dimension would focus on DHS professional education as a broader subject and provide education in such topics as the nature of terrorism, history and mission of HS,

and strategic planning. A third and final dimension involves agency-specific curriculum, designed to provide education and training in agency-specific skills, topics, and issues.

Creating firm "gates" in the progression of a typical DHS career should not prevent or limit the entry of potential candidates, but instead facilitate the designation of required training and education, and stimulate the professional development mentorship and career planning. Thus, a new hire entering as a mid-level employee will be able to easily acquire information on available training, promotion cycles, and possible career progression routes in order to maximize both the employee's contribution to DHS's mission and the potential of his/her own career.

A challenge that is unique to DHS in designing a professional development system comes not only from the fact that DHS is comprised of 22 disparate agencies, but also from the missions and responsibilities that the Department shares with other government agencies and departments.

Because the mission of DHS requires it to work closely with the Department of Defense and other agencies to prepare for such tasks as response to use of WMD, law enforcement functions, and emergency preparedness and response, allowance must be made to include employees of other agencies with relevant missions. Interagency education can be further expanded to include other actors, including state, local, and international responders in order to include all interested and relevant stakeholders. Potential approaches include providing a limited number of slots for other players and creating a curriculum that is adaptable for use by state, local, or other interested parties.

PROFESSIONAL EDUCATION – MODEL GATES & CAREER LEVELS

In order to effectively design a successful professional development system, the study team identified five primary career levels with characteristics and foci associated with them.

- Basic Course

    – 2-week course

    – Focus on providing DHS-wide introduction

    – Participation: all new employees and continuing staff

- Junior Level Course

    – Focus on technical and functional education

    – Refresher on critical thinking & multidisciplinary approach to education

    – Certificate programs – a week to multiple months of part-time study

- Mid-level Course

    – Some courses with focus on advanced technical fields

    – Basic program and staff management skills

    – Introduction to strategic planning

    – Gate to management (GS-12/14)

    – Uncertain duration – seeking other models

- Senior Level Course (prior to promotion to SES)

    – Master's degree/Certificate or equivalent skills/experience prior to professional advancement – 1 to 3 years of part-time study

    – Focus on strategic planning and management for those selected for SES promotion; 4-8 weeks

- – Gate to SES

- Senior Level Course (after promotion to SES)

    - – Short courses (1-8 weeks)

    - – Orientation for SES appointees

Basic Course

The interviews conducted with educators and program deans, as well as the results derived from the working group, indicate the particular importance of a DHS basic course ideally for all employees. The basic course should focus on awareness of issues relevant to DHS's mission as well as the role of one's technical field within the larger structure of DHS. This suggested two-week course should cover a broad range of substantive and organizational issues, including current threats, the nature of terrorism, the history and mission of HS, teambuilding, and critical thinking. While the course is not designed to create "experts" in the field of homeland security, it will provide valuable insight into the structure and mission of DHS and context for new employees to see their contribution to homeland security.

The working group discussion strongly suggested that this introductory course emphasize critical thinking, teamwork, introduction to group process, as well as the complexity of organizational response. The conclusions, which were based on the assumption that course attendees will at least have a bachelor's degree, allowed for variation in course material based on the career level of the new employee. This would mean that SES and all other new employees could be split for part of the two weeks in order to cover topics that are specific to SES jobs, including strategic planning and the US political environment. Working group participants stressed a classroom-based delivery method for the basic course in order to establish a relationship and build comradeship among all new employees, regardless of rank or grade. With delivery method playing an important role in the success of the basic course,

DHS should conduct it in classroom-based environment, while using distance learning for those courses that do not emphasize DHS culture and mission. Students would not be individually tested on the material presented, however the course would need to be evaluated regularly to ensure its value. All subsequent coursework provided as a portion of the professional education system, whether provided by DHS or any other entity, should involve student testing in some form.

Junior and Mid-level Courses

At this time, the study team has not outlined a detailed plan for personnel at these levels. Beyond the bulleted description earlier in this section, a few principles hold true. First, these are the stages of career development when personnel should be exposed to critical thinking and strategic planning as academic topics, both in the abstract and in applied case studies and table-top exercises. The uniqueness and non-linearity of the threat, and the resulting need for multi-disciplinary prevention, preparedness and response actions make Homeland Security unique among domestic policy fields. The broad thinking that is necessary to understand and apply strategic planning to a HS practitioner's particular job requires and education, rather than skills training approach. However, much of this could be done in a professional certificate approach rather than in a degree program, thus reducing the need to be away from the office for long periods of time. Aspects of this education can be done through distance learning. Skills training in ones' technical field will likely take more of employees' time than education at the junior level. This ratio will vary as one moves to mid-career positions.

Courses for mid-level employees should provide additional emphasis on future leadership needs and skills required at senior levels. With succession planning in mind, DHS should seek to prepare its mid-level employees for potential promotion to SES levels by providing qualified employees with the tools necessary to fill the positions vacated by the retiring SES

members. Advance planning and additional preparation for qualified mid-level staff can ensure that DHS maintains its leadership and senior expertise capacity.

Senior level & SES Professional Development

Many of the topics covered in the basic course, including legal issues, role of DHS, management skills, and critical thinking, should continue to be reinforced throughout all career levels, particularly senior and SES levels. Thus, education will not end with promotion to SES, as has been the experience of one of our working group participants. Additionally, this approach will create a vehicle for the delivery of technical training for senior-level employees, who may need a course in strategic planning, large-scale budget management, familiarity with the political environment, and interagency operations. How such requirements may be set is not yet clear.

Because of the size and history of DHS, the professional development and education system should place particular emphasis on cross-agency familiarity. DHS should consider a condition for promotion to SES level to be previous experience in at least one other DHS agency. This practice would ensure that senior managers and leaders appreciate the opportunity to obtain diverse experience and that their loyalties and expertise are not limited to a particular agency. The US Army experienced a similar requirement in the form of Goldwater Nichols, which mandated joint exposure and has consistently been credited as a central cause of US war-fighting effectiveness in recent operations.

Professional Corps & Technical Specialties

The "up or out" mentality within technical specialists, which has been the accepted method of professional development at senior levels, both limits the ability of senior staff to remain in their technical specialty and forces individuals with little interest in management and

leadership to choose between career advancement or resignation. This practice could adversely affect long-term staff retention in key fields and may force senior technical specialists into management positions. Allowing senior technical specialists to advance to SES levels without taking on significant management and leadership responsibilities will ensure that highly qualified staff are not forced out and that the individuals who fill SES management roles want to undertake those responsibilities.

ADDITIONAL CONSIDERATIONS

Distance Learning & Classroom-based Education

Recent technological innovations have created the opportunity to provide education via distance learning methods, which allow, in some cases, for an increased throughput and the ability to reach students. Educators and other professional education models surveyed indicated that distance learning is a valuable and important component of professional development, but stressed that it is not appropriate for the effective delivery of all courses. A basic DHS course delivered entirely in a distance learning environment is less likely to adequately convey the shared sense of mission and cooperation that is so instrumental in the success of DHS professional development.   While creating a classroom-based basic course for all new employees is feasible, doing so for all of the existing DHS employees is far more challenging due to logistical and productivity considerations. Alternative options for the existing employees' participation in the basic course may need to be considered.

Mentoring

The complexity of a professional education system that seeks to address the unique qualities of 22 different legacy agencies and several new directorates places particular importance on mentoring as a way to ensure that new employees are exposed to all of the components of the professional development system and understand their options. Gates, education ties to

advancement and promotion, available fellowships, training, and courses, as well as the various requirements – these are all characteristics that a new employee must learn. An efficient way to ensure that all questions are answered and a new employee is aware of all available professional development opportunities is to foster a mentoring culture within DHS by encouraging more senior staff to hold regular meetings with junior and mid-career employees to provide them with training in mentoring and counseling techniques. Some of this can be enabled virtually, thus eliminating the requirement for close geographic proximity.

METRICS

In order to determine the effectiveness and efficiency of HS education programs, DHS should consider both qualitative and quantitative evidence. The quality of HS programs can be judged via a collection of anecdotal evidence provided through survey interviews and auditor reviews. The efficiency of HS programs can be determined through a review of systematic performance measures. A recent GAO report confirmed the study team's finding that effectiveness metrics especially in DoD distance learning courses, do not exist currently, but must be developed to justify their adoption.[2] Two important performance measures that can be used to assess HS programs include throughput and funding levels.

Throughput, which refers to a program's ability to train/educate a desired number of HS professionals, can be measured as follows:

- Frequency and duration of HS-related courses per year

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[2] Government Accountability Office, "Military Education: DOD Needs to Develop Performance Goals and Metrics for Advanced Distributed Learning in Professional Military Education," July 2002.

- Number and type of courses per year (e.g., schoolhouse vs. online/distance learning)

- Number of course/program enrollment vs. graduates per year

- Number and type of research areas (e.g., cyber-terrorism, agro-terrorism, CIP, etc.)

- Level of education/level of professional seniority of student program participants

Funding refers to the costs associated with training/educating HS professionals and can be measured as follows:

- Funding available per student for course/program/research agenda

- Funding available for program per year

- Average cost per student (from beginning to program completion)

These are basic metrics that could be applied to any academic program, and should be considered as a minimal assessment tool. Although an understanding of throughput and funding is essential for evaluating and comparing HS programs, the programs surveyed were hesitant to provide this information. The majority of programs, in fact, did not provide the requested information.

ROLE OF DHS

The effort to develop a professional education system at the Department of Homeland Security comes at a critical time for both the Department and the homeland security field. As DHS continues integrating the activities of its component agencies and reaching out to governments and communities around the US, the time is ripe to look internally and take strategic steps to better prepare its workforce and partners for the daunting tasks they face.

The extent to which DHS is involved in designing the professional education system versus contracting out for it is a matter within its discretion. However, its participation in the conceptual and strategic thinking about the goals of the system and its composition is crucial. This system will eventually become a contributing factor in determining the department's ability to attract highly qualified staff, retain them, and provide a high quality of service. Further, only a federal department truly has the reach to integrate the priorities and needs of the external community.

At the two ends of the spectrum of DHS involvement lie the full participation in the design of all programs, courses, and curricula, and the market-based approach, which lets the universities, federal, state, local and private sectors determine their own requirements and foci. On this high-level question, the study team has determined that the middle road solution should yield the best results. The foundation of this set of recommendations and considerations is the establishment of a holistic professional development system that forms specific professional education gates that are linked to career advancement, but that ensures that external stakeholders have a hand in guiding the education foci of the program. This would allow DHS to mandate specific courses and education and training capstones for its junior, mid-, senior-level, and SES employees, but also help guide education for the larger community. This program would be managed through an Academic Programs Office, described in a later paragraph, which would collect and analyze input on program design and curricula from the field and academic stakeholders. In addition, this office would have the responsibility and resources to manage contracts for the DHS employees' education program. The philosophical and structural elements that further define this model are elaborated in the following paragraphs:

- Create a HS Profession

The introduction of a holistic professional education system creates a unique opportunity for DHS to shape the nature of its workforce, enhance its effectiveness, and monitor its contribution to the DHS mission. The ability of DHS to design this system in the early stages of the Department's formation allows it to reassess the goals, organization, and processes of the Department as a whole and to adapt the education and training components to maximize the utility to its employees. The community is ready to see DHS be proactive in this area. Yet, the Department must also be conscious of the existing legacy systems within its many agencies and constituent departments. Leaders should strive to utilize these existing resources when they have unique or outstanding capabilities developing a comprehensive, but flexible professional development system.

- Establish an Academic Programs Office

The study team's research has shown that in order for DHS' professional education system to succeed in its tasks, it needs to be far reaching. Within the organization, it needs to be closely tied to larger human capitol planning on recruiting, staffing levels, and employee evaluation and promotion and be responsible for all academic matters. This would include tying together outreach and planning related for the Centers of Excellence program to the broader education plan. The system needs to reach out to other parts of the homeland security community to ensure their participation in curriculum development and student participation to help reinforce the cooperative nature of the homeland security mission. In short, the system needs to touch all parts of the homeland security operational spectrum in order to foster the notion on a single homeland security profession but also have the planning and budgeting authority to fulfill this ambitious education plan. This office must also have a reporting relationship that is independent enough from the Human Capital Office such that education cannot be used as a bill-payer for other personnel issues without senior leadership (Secretary or Deputy Secretary) being involved in that analysis and decision.

- Build a Network of HS Resources

In addition to the linkages to the practitioners, DHS needs to develop a system that works with the many research and educational organizations around the US to leverage skills, expertise, experience, and resources. The DHS Centers of Excellence program is the first step in this process, linking DHS to the academic community and building coalitions among the many disciplines who work on HS issues. Partnerships between universities, the private sector, and government have great promise if adapted widely. However, the best way for DHS to ensure their consistency with the Department's themes and priorities is by assuming the lead role in their determination.

The Department should also create a database to track needed and available skills, programs, training, courses, and research initiatives, which would enable immediate access to needed information. The database will also serve an important function in identifying gaps in professional education, communicating them to the HS community, and locating appropriate solutions to fill those gaps.

- Fund Initiatives & Programs

The creation of a professional education program for the DHS and the larger community of HS professionals requires such specialized knowledge as curriculum development, program design, and course delivery. These skills, found among academics and education specialists, should be capitalized upon and cultivated. Such initiatives require some measure of DHS funding to provide credibility and impetus along with the guidance. Without federal a funding plan being applied to this education program, the field will likely continue on their individual and consortia-developed tracks without taking DHS guidance seriously. Further, DHS should explore funding the consortia and partnerships that allow the Department to

reach not only other HS experts, but also state and local stakeholders. The discipline of HS cannot grow and develop without both DHS endorsement and funding.

Finally, the DHS professional education system, in whatever form it takes, must help the Department meet its operational goals and objectives. DHS and the HS community will continue to evolve to meet the ever-changing threats to our nation. Effective professional education of homeland security personnel is a critical capability DHS will need in order to deliver on its mission.

APPENDIX 1: Department of Homeland Security Organizational Chart (as of March 2004)
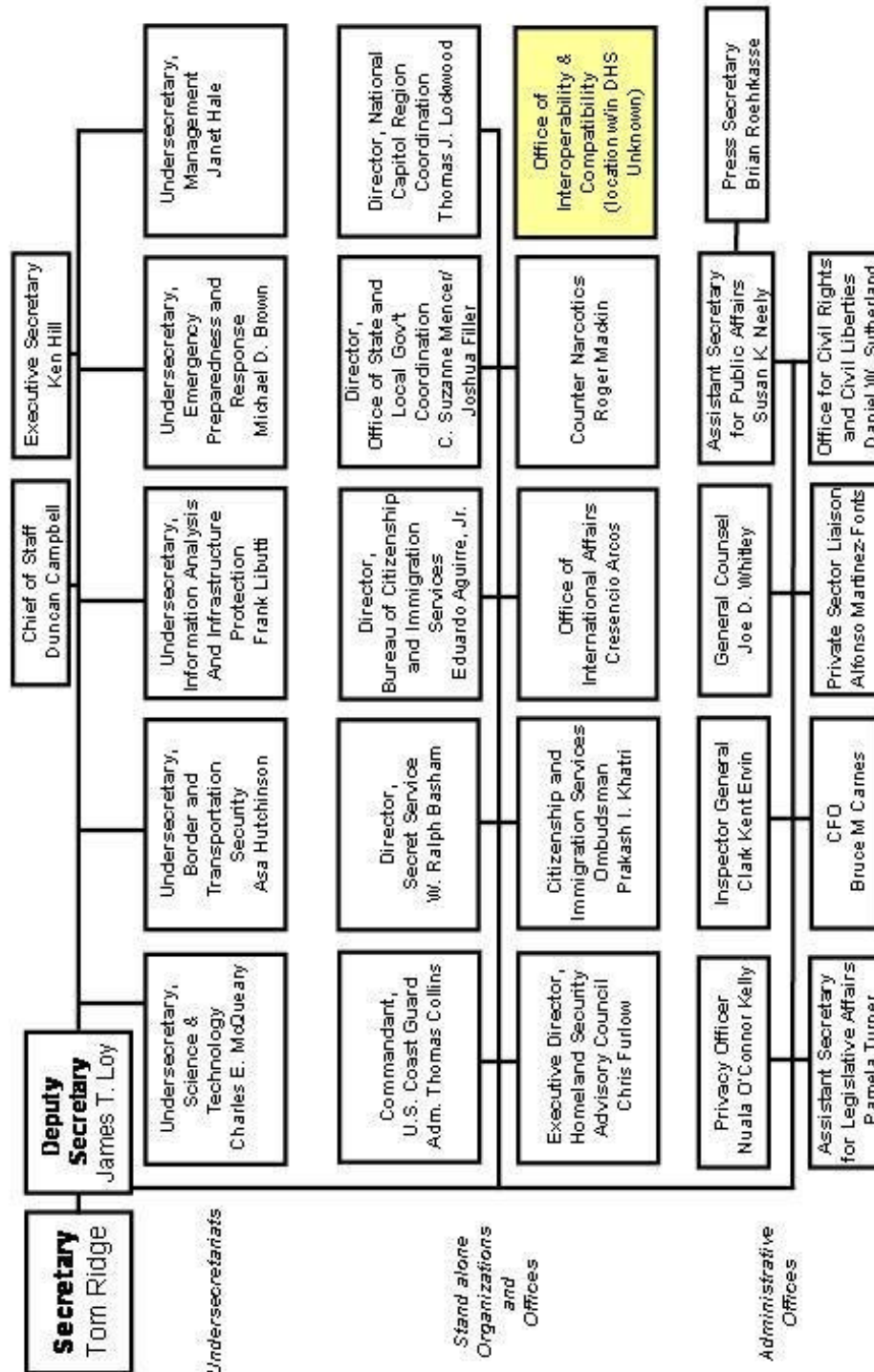
APPENDIX 2: Department of Homeland Security Component Agencies (with original
              Department noted)

Under Secretary for Border and Transportation Security
- The US Customs Service (Treasury)
- The Immigration and Naturalization Service (part) (Justice)
- The Federal Protective Service
- The Transportation Security Administration (Transportation)
- Federal Law Enforcement Training Center (Treasury)
- Animal and Plant Health Inspection Service (part) (Agriculture)
- Office for Domestic Preparedness (Justice)

Under Secretary for Emergency Preparedness and Response
- The Federal Emergency Management Agency (FEMA)
- Strategic National Stockpile and the National Disaster Medical System (HHS)
- Nuclear Incident Response Team (Energy)
- Domestic Emergency Support Teams (Justice)
- National Domestic Preparedness Office (FBI)

Under Secretary for Science and Technology
- CBRN Countermeasures Programs (Energy)
- Environmental Measurements Laboratory (Energy)
- National BW Defense Analysis Center (Defense)
- Plum Island Animal Disease Center (Agriculture)

Under Secretary for Information Analysis and Infrastructure Protection
- Federal Computer Incident Response Center (GSA)
- National Communications System (Defense)
- National Infrastructure Protection Center (FBI)
- Energy Security and Assurance Program (Energy)

Independent Agencies or Components
- Secret Service
- US Coast Guard
- The Immigration and Naturalization Service (remainder) (Justice)

APPENDIX 3: Selected Bibliography – Reports Reviewed for Task 2 of Work plan

- Gilmore Commission report, volumes 1 through 5 (1999 – 2003)
- Hart-Rudman Commission report, Phase III, February 2001
- "Emergency Responders: Drastically Underfunded, Dangerously Unprepared" Clarke, Metzl and Rudman, CFR June 2003
- "DHS Personnel System Design Effort Provides for Collaboration and Employee Participation" GAO, September 2003
- "TOPOFF 2 After Action Conference Report" ODP, September 2003
- "Preliminary Observations on Proposed DHS Human Capital Regulations" GAO, February 2004
- "Selected Recommendations from Congressionally Chartered Commissions and GAO" GAO, March 2004
- "Winning the War on Terror" Rep. Jim Turner, Ranking Member , Select Committee on Homeland Security, US House of Representatives, April 2004
- "The Chief Operating Officer Concept and its Potential Use as a Strategy to Improve Management at the Department of Homeland Security" GAO, June 2004

APPENDIX 4: Existing Homeland Security Programs

Programs Interviewed By Study Team

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
American Public University System (B.A.)			■									
American Public University System (M.A.)		■										
Corinthian Colleges		■	■									
National Defense University (IHSS)	■											
Naval Postgraduate School	■	■										
Purdue University	■	■	■				■	■	■	■	■	■
University of Denver		■										
University of New Haven		■	■									
University of Washington		■										
Community College of Denver (Associate)						■						
Community College of Denver (Certificate)						■						
Eastern Michigan University					■	■	■	■	■			
Iowa Central Community College						■						
Louisiana State University					■	■						
Portland State University				■	■			■	■			
Southwestern College						■						
Texas A&M (Ingrative Ctr for HLS)					■							
Tulane University				■	■	■	■	■	■	■	■	■
University of Massachusetts, Amherst				■	■	■	■	■	■			
Harvard University							■	■	■	■	■	■
Institute for Defense & Homeland Security							■			■		
Ohio State University								■				
Stanford University (CISAC)							■	■				
University of California, San Diego							■	■	■	■	■	

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
University of Maryland, College Park								■	■			
University of Minnesota							■	■				
Carnegie-Mellon										■	■	■
Texas A&M (HRRC)										■	■	

Other HS Programs

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
Curry College		■	■									
Fairleigh Dickinson (Graduate Certificate)		■										
Fairleigh Dickinson (Undergraduate Certificate)			■									
George Washington University (Center for Excellence)	■											
George Washington University (ICDRM)		■										
CUNY, John Jay College of Criminal Justice		■										
Massachusetts Institute of Technology		■	■				■	■	■			
National Defense University (SNEE)	■											
National Graduate School (Certificate)		■										
Penn State University		■	■									
American Institute of Homeland Defense (Associate Degree)					■	■						
American Institute of Homeland Defense (Certificate)					■							
Cleveland State University				■	■	■						
Fairmont State Community & Technical College						■						

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
George Mason University				■	■	■						
Indiana University of Pennsylvania				■	■							
Kaplan College						■						
National Graduate School (M.S.)					■							
Northern Virginia Community College					■							
Ohio University				■	■	■	■	■	■			
Sonoma College					■							
Southwest Texas State University					■							
Teikyo Post University					■	■						
Uniformed Services University of Health and Sciences				■								
University of Akron					■	■	■	■				
University of California, Los Angeles					■							
University of Findlay (Ohio)					■							
University of Georgia				■	■	■	■	■				
University of Louisville					■		■	■				
University of Massachusetts, Lowell				■								
University of Michigan, Ann Arbor					■	■	■	■	■			
University of North Carolina, Chapel Hill				■	■							
University of North Carolina, Charlotte				■	■							
University of Tennessee				■	■							
Brandeis University							■	■	■			
California Polytechnic State University, San Luis Obispo							■	■				
California State University, Fullerton							■	■				
Case Western Reserve University							■	■	■			
Dartmouth College							■	■		■	■	
Duke University							■	■				

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
Florida Agricultural & Mechanical University							X	X	X			
Florida State University							X	X				
Georgia Institute of Technology							X	X	X			
Idaho State University							X	X				
Iowa State University								X	X			
Kansas State University							X	X	X			
Los Alamos National Laboratory							X	X	X			
Louisiana Tech University							X	X				
Miami University							X	X	X			
New York University							X	X				
North Carolina Agricultural & Technical State University							X	X				
Northern Illinois University							X	X				
Northwestern University							X	X				
Oklahoma State University							X	X				
Rutgers University							X	X	X			
South Dakota State University							X	X				
South Dakota State University							X	X	X			
Stony Brook University							X	X	X	X	X	X
SUNY College of Environmental Science & Forestry							X	X				
Syracuse University							X	X				
Tennessee State University							X	X	X			
Texas Tech University							X	X				
Univerisity of Texas, San Antonio							X	X				
University of California, Berkeley							X	X	X			
University of California, Davis							X	X				
University of California, Irvine							X	X	X			

Name of School	Education			Training			Research			Resource		
	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr	Sr	Mid	Jr
University of California, Riverside							X	X				
University of California, San Francisco							X	X				
University of California, Santa Barbara							X	X			X	
University of Cincinatti							X	X				
University of Florida							X	X	X			
University of Idaho							X	X	X			
University of Illinois, Chicago							X	X	X			
University of Missouri							X	X	X			
University of Missouri, Rolla							X	X	X			
University of Nebraska							X	X				
University of Pittsburgh							X	X	X	X	X	X
University of South Florida							X	X				
University of Southern California							X	X	X	X	X	X
University of Tennessee							X	X				
University of Texas, Arlington							X	X	X			
University of Wisconsin, Milwaukee							X	X		X	X	X
West Virginia University							X	X				
Indiana University										X	X	
Iowa State University											X	X
University of Hawaii, Manoa										X	X	
Virginia State University										X	X	

APPENDIX 5: Succession Management

BACKGROUND

The following review of the topic of succession management is presented here as a brief overview, as the issue is relevant to the discussion of professional education and development. While it does not represent a complete survey of the available information on the topic, it provides background information and a summary of issues pertinent to the discussion of professional education.

For the purposes of this discussion, "succession management" refers to strategic human resource planning undertaken to ensure the availability of a qualified pool of candidates to replace the anticipated large number of retirees, particularly from the Senior Executive Service (SES) and GS-14/15 levels in the near-term. Over the past 15 years, a number of studies have considered the possibility that the current combination of executive-level workforce demographics, career options, and retirement plans could give rise to an unintended shortfall in senior leadership levels. As early as 1989, the Government Accountability Office (GAO) (formerly the General Accounting Office) discussed the importance of good personnel management practices and identified the need to improve succession planning efforts to accommodate an anticipated high rate of SES retirements.

Both governmental and non-governmental organizations continued to monitor the issue and produced studies and surveys that attempted to bound the problem and suggest actionable remedies. In 1995 OPM issued the "Executive Succession Planning Tool Kit" and GSA followed with the "Succession Planning Guide" in the summer of 2001, while the National Academy of Public Administration (NAPA) conducted a study of succession planning and human capital strategies through 2003. These reports sought to provide guidance to the various federal departments and agencies and encourage efficient and effective planning for

the high number of potential retirees from the SES corps. Successful planning and management, combined with stronger recruiting and retention policies can help agencies maintain leadership capacity without experiencing significant shortages in qualified personnel.

ASSESSING THE PROBLEM

Concern over succession planning has reached a wide audience in the federal government, as large numbers of SES members are expected to retire in the next 5-10 years, taking their expertise and institutional knowledge with them. A preliminary review of relevant studies found the following:

- In 2000, the GAO surveyed senior staff retirement rates across the Federal government's departments; GAO expected the retirement rate to increase continually by 7% each year between FY99 and FY05.[3] Although this survey did not specifically include the Department of Homeland Security, the report suggests that similar retirement patterns are occurring throughout the federal government.

- GAO analysis shows that of the 6,100 career SES members employed by the federal government on October 1, 2000, more than half will have left the service by the end of the fiscal year in 2007.[4]

- Further compounding the problem is the GAO conclusion that 46% of GS-15s and 34% of GS-14s, which constitute the SES successor pool, will have retired or left by 2007.[5]

- The increased SES retirement rate, according to a GAO report cited by the National

[3] Government Accountability Office, "Senior Executive Service: Retirement Trends Underscore the Importance of Succession Planning," May 2000, GAO/GGD-00-113BR.
[4] Government Accountability Office, "Senior Executive Service, Enhanced Agency Efforts to Improve Diversity as the Senior Corps Turns Over," January 2003, GAO-03-34.
[5] Ibid.,

Academy for Public Administration, is expected to continue through 2012.[6]

While most recognize that increasing retirement rates may create a problem for government agencies, dissenting opinions have arisen about the magnitude of the issue. Goveexec.com, an information source on the federal community for decision makers across the federal government, asserted in May of 2003 that of the employees who were considering leaving the federal government, only half were planning to do so through retirement.[7] The article further suggested that retirement trends were misleading, citing much lower quitting rates among federal employees when compared with those in the private sector. Surveys and other research show that job satisfaction is an important factor related to retention rates; having exciting and challenging work, with potential for career growth, has also been shown to be a primary retention factor, regardless of the employment sector.

FEDERAL GOVERNMENT AND "PROMISING PRACTICES"

The White House President's Management Agenda recognizes the importance of succession management and has commended agencies that have taken the initiative to institute effective human capital strategies to address future personnel shortages. In addition to this effort to direct long-term thinking about human capital needs, the White House further surveyed several agencies[8] and identified "promising practices:" mentoring programs for promising GS-13 through GS-15 employees; rotational programs for new senior personnel; competency-based leadership training programs for mid- and senior-level employees; and agency-wide leadership development programs. These "promising practices" are intended to

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[6] National Academy of Public Administration, "Final Report and Recommendations: The 21st Century Federal Manager," February 2004.

[7] Friel, Brian, "Data Shows 'Human Capital Crisis' May Be Overstated," http://www.govexec.com/dailyfed/0503/050203b1.htm, May 2, 2003.

[8] The agencies surveyed are Department of Energy, Office of Personnel Management, Department of Energy, Social Security Administration, Department of Transportation, and Department of Veterans Affairs.

prepare employees for promotion to SES-levels by providing them with an adequate, well-rounded, and comprehensive education.

For those agencies that lack comprehensive succession planning practices, the Office of Personnel Management is preparing to launch the SES Federal Candidate Development Program (FedCDP), which combines class work, e-training, and real life experience for those employees interested in becoming an SES member. This 14-month immersion program will focus on both academic education, leadership development, and on the job field training and will draw on participants from all interested agencies, as well as a limited number of applicants from outside the civil service. Upon successful completion of the program, individuals will be eligible for immediate and non-competitive entry into SES. The outline of this program has not yet been made public, though the Human Capital Offices throughout the federal government have been consulted on this program. The program will be voluntary for the federal Departments and Agencies, so DHS may participate at its discretion. Any HS-specific education or training that DHS would require of its hires attending this program would be additive to the program's universal curriculum.

DHS SUCCESSION MANAGEMENT: METRICS AND NEXT STEPS

Succession management is not a problem that is unique to DHS; in fact, GAO reports suggest that every government agency foresees higher than normal retirement rates among its SES members.   Unique to DHS however, is consolidation of 22 separate agencies into a single organization. While organizing this extended workforce may be a challenge, it also affords DHS an opportunity to work across its constituent agencies to mitigate some of the succession management issues. To scope the problem, DHS should undertake a structured examination of DHS-specific succession management issues. This examination should:

- Develop metrics and defining a DHS baseline

- Integrate existing component plans with a unified DHS human capital strategy

- Conduct a time-based "gap analysis" across the DHS components

Metrics: Developing a coherent, DHS-specific strategy for succession management requires an understanding of the depth of the problem. For DHS to move beyond anecdotal concerns requires specific metrics to bound the problem and provide a baseline for comparison. Statistical data on DHS demographics of SES and GS-15 (and possibly GS-14) members within each agency and within the Office of the Secretary are required to make any specific judgments on the scope of DHS' potential problem. This data should include the percent of current employees eligible for early and regular retirement, new hire rates, and existing recruitment strategies, including compensation and education plans.

Human Capital Strategy: Existing research and surveys of government agencies' succession challenges conclude that succession planning must be integrated into the overall human capital strategies. The recruitment of specially qualified personnel, improvement of management practices to prevent early frustration and departures of staff, and new policies to encourage retention all must be developed as part of a centralized plan. These practices alone, however, are unlikely to fill the many positions vacated by retiring SES members and GS-15s. The value of institutional experience, particularly for a department with such specialized mission and role as DHS, should not be underestimated and DHS may consider seeking SES candidates with previous experience in the Department, which, while an effective strategy, can be hard to implement due to the existing shortages among retiring GS-15s. This problem may be ameliorated by planning for succession no later than GS-11/13 level by instituting programs and advertising the importance of a professional education and cross-departmental work experience. Such measures will help ensure that qualified

candidates are developed to fill the anticipated vacancies – a practice that is in line with the recommendations President's Management Agenda outlined above.

As a complement to the human capital strategy, a strong professional education program would not only provide DHS with qualified employees, but can also facilitate succession management. Various potential solutions have been considered, including early identification of potential SES candidates and their expedient promotion through pay grades. That option, however, is just as likely to breed resentment and discontent within the department – the opposite of DHS' goal of creating a shared sense of purpose. A comprehensive professional development and education program, with strong curriculum for mid- and senior-level personnel can enhance the Department's existing human capital and can minimize the problems associated with high rates of retirement among GS-15s and SES members. If the workforce management policies of the Department are properly tied to professional development opportunities, the future leaders will distinguish themselves through high performance.

Time-based "gap analysis": DHS' integration of 22 separate agencies into one department has presented unique challenges, such as the difficulty in obtaining metrics about retirement rates and centralizing workforce management practices. However, this integration may also allow DHS more flexibility in dealing with succession planning. By analyzing current staffing levels and trends, DHS can forecast critical shortages (and surpluses) by agency and professional field. DHS should consider developing the capacity to perform this analysis and the implement the processes to fill employment gaps by transferring staff between agencies. Such practices could prove useful in enhancing information sharing between agencies, improving cooperation in interagency matters, and in better planning for capabilities across agency competencies.

SUMMARY

The issue of succession management, while thoroughly researched and analyzed by the federal government and the non-profit sector, cannot be assessed for impact on DHS without specific metrics and detailed information about retiring, quitting, and incoming senior managers at GS-14/15 and SES levels. With such metrics DHS can evaluate the extent of the problem, conduct a time-based "gap analysis," and identify areas with critical shortages of qualified personnel. Existing component plans can then be unified with DHS' overall human capital strategy and appropriate remedies can be developed to address the problem of succession management.