



DEVELOPING FOUNDATIONAL DOCTRINE

End State: Foundational Doctrine applies to the overall mission of the organization. It is dynamic and responsive to the mandate of the organization and the times in which it is carried out. Foundational Doctrine addresses:

- a. **The Operational Environment** – *The realities of the world in which the mission is to be accomplished*
- b. **The Mission** – *The purpose and need for the agency and the activity*
- c. **Roles and Relationships** – *Performance expectations and behavioral principles*
- d. **Leadership and Accountability** – *Expectations and measures of performance for leaders at all levels*
- e. **Operations** – *Principles that guide actions toward accomplishing the mission*
- f. **Risk Management** – *The purpose, need, and emphasis to manage risks associated with the mission environment*

Intent: Building on the experience derived from and following the Pulaski Conference (June 2005), the intent of this paper is to provide an outline that may be used to guide formation of Foundational Doctrine.

Format: This paper presents a sequential process leading to development of a body of principles that collectively form the foundational doctrine for a resource area or component. The process itself is founded upon four basic principles:

- Foundational Doctrine is the purview of national agency leadership, and requires informed consent of the NLT prior to implementation
- Foundational Doctrine may affect inter- and intra-functional operational relationships, and requires the effected entities be identified and included in the development
- Foundational Doctrine may affect inter-agency operational relationships, and requires the effected entities be identified and included in the development
- Foundational Doctrine must establish the basis upon which the service is designed and delivered, and requires stakeholders be identified and included in the development

Planning: Identify and convene a team, which includes a leader (Incident Commander), logistics and financial support lead (Section Chief), functional area expertise (1-2), professional facilitation / organization and corporate coaching skills (1-2), expertise in doctrine and doctrinal approach, and media (print and visual) expertise. The following planning should be accomplished two months prior to conference date

- Identify the intent for the foundational doctrine and describe the end-state for conference activities
- Agree to roles and responsibilities of team members

Planning (Continued)

- Identify conferee demographics and intent
 - Attributes
 - Persons experienced and knowledgeable of operations and management in the function
 - Persons considered to be a real student of his or her art
 - Persons with track records of initiative in bringing continuous improvement to the workplace
 - Persons with demonstrated ability to see how things fit together in the larger picture
 - Persons who works effectively when given leader's intent and the authority to carry out assignments
 - Population
 - Intra- and inter-functional
 - ◆ Practitioners of the service or activity
 - ◆ Customers of the service or activity
 - Intra- and inter-agency
 - ◆ Customers of the service or activity
 - ◆ Partners in delivery of the service or activity
 - ◆ Stakeholders in the service or activity (e.g. line officers)
 - Establish conferee selection and notification process
 - Establish conferee responsibilities and expectations
- Sketch conference agenda and flow. Identify processes for eliciting conferee participation and generating creativity (“Ad workshop”, group work, etc.), conference weaving strategies, awards, and celebrations
- Identify how conference products will be developed (consensus) and packaged (print and visual)
- Identify conferee pre-work, reference library, and information packet contents and format
- Establish criteria for conference site
 - No phone or television
 - Easily accessible to / from major airport / airline hub
 - Comfortable and located in a natural environment
 - Food on-site
 - Access to commercial reproduction facilities (FedEx Kinkos e.g.)
- Identify logistical needs, including personnel support requirements
 - Acquisition of conference site, provision for lodging and meals
 - Identify number and skills of support personnel required
 - Include individual with micro-purchasing authority
 - Transportation coordination for conferees and cadre (air and shuttles)
 - Related interagency agreements, contracts, etc. (travel, per diem, overtime authorizations, etc.)
 - Conferee identification and mailing of notices, information, etc.

Planning (Continued)

- On-scene logistical support (room layout and preparation, “business center” (computers, printers, misc. supplies for conferees), radios, markers, flip-charts/easels w/ 2 to 3 pads per group, note pads, pens and pencils, staplers, three-hole punch, folders, reference supplies from applicable publications, blank CDs, thumb-drives, etc.
- Welcome room and packets
 - Maps of trails and local area
 - Blow-up map of facility
 - Nametag
 - Brochures
 - Evaluation forms
 - Agenda
 - General framework
 - List of participants
 - Location of meeting rooms
 - Communications—emergency phone numbers or procedures
- Celebrations and awards
- Job Hazard Analysis and facility evacuation plan

Conferee Experience: Upon conclusion of the conference, conferees should be able to relate the following as their experience and the work they performed:

- I received a package in the mail two weeks prior to the conference that included:
 - A name plate – First name only
 - Reference materials, supplemental information, doctrinal definitions and examples, expectations and end-state
 - Support information and documents... foundational law, policy
 - Logistics information, override codes, and / or travel arrangements information
 - Conference site information
 - Expectations

I knew what I went to do. I was well prepared to participate.
- I arrived on day-1 and got on a shuttle to the conference site. I arrived before the pre-conference meeting
 - Travel logistical support, agency and non-agency (ticket purchase for non-agency personnel, expectations on arrival times, facilitated travel from airport to conference site), was crisp and efficient
 - I was provided with contact names and numbers for any travel problems I might encounter

I knew when and where I needed to be. Travel went smoothly.

Conferee Experience (Continued)

- The pre-conference meeting laid down the groundwork for the week's effort; mostly about process...
 - It was explained why my name plate was as it was, our identity is based on our contribution, not our rank
 - The conference support personnel were identified, and their roles explained
 - We then were provided a presentation on the concept and purpose of doctrine, how it fit with our legal mandate and policy, and where this week's effort fits in the larger scheme of things
 - We were then given a rundown on the facility and safety considerations
 - We started early on the first morning (0730) with the chance to ask questions regarding the task and the process
 - Roles of the conference cadre were identified and explained
 - Go-no go as relates to group understanding of process was identified, explained, and implemented

Questions I had about the process were answered before we began.

- Later on the first morning of the conference, the Leader (Director, agency leader, etc.) provided us with "commander's intent". The message outlined the issues we face because we lack good doctrine, and what the expectations are for our work this week (see products we provided, below). We understood the Leader would implement our work to achieve the end state, which he also described. The Leader then left, to return on the final day of the conference
 - End-state was provided in the pre-work package as well. It included expectations of format, context, and the agency's ability to implement
 - The relationship to operational doctrine, and its development to come, was explained
 - Relevance to major shift in agency operational approach was emphasized

The end-state was clear and contributed to how we organized and proceeded.

- Facilitators and conference cadre helped maintain focus and energy through consistent monitoring and interaction with our groups
 - Progress was consistent with time-frames. Wasted energy was kept to a minimum
 - The on-hand materials (reference and working) were adequate to facilitate our efforts.

Our collective energy was well focused and coordinated toward achieving the end-state.

- The accommodations were just right... not too elaborate, not austere
 - There was a job hazard analysis and an emergency medical plan. Other emergency issues were provided in safety briefing and orientation
 - The food was good, plentiful, and provided adequate variety, including vegetarian options

The environment was just right to accomplish our task. It provided comfort, variety, and stimulated my ability to think and contribute.

Conferee Experience (Continued)

- We completed our task and products on schedule.
 - We provided a set of clearly stated principles, which form the foundational doctrine for the agency mandate in the functional area
 - We identified the logical next steps and time frame to develop operational doctrine for the functional area in cooperation with the interagency community
 - We developed a framework and system for presenting the doctrine in a streamlined and coherent form to the field
 - We identified a system and process to establish the relationships and link doctrine to executive vision, agency mission, training, support, operations, administration, etc.
 - We established a process and infrastructure for the ongoing evaluation, review, revision and distribution of doctrine within the agency
 - We presented our work to the leader on the morning of the final day. It was accepted with gratitude. Each of us was called to shake the leader's hand and receive a token that denotes our contribution to this effort
 - We left the conference site on a shuttle to the airport, where we caught our flights. All of us arrived at home before 6:00 PM.

The work was hard, yet stimulating. It forced me to think in ways different than before. I am confident the product will be instrumental to ensuring the long-term efficacy of our agency, our mission, and our relevance to the American People.

