U.S. Coast Guard

PERFORMANCE IMPROVEMENT GUIDE

Fifth Edition
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| Editors: | SCPO Robert R. Buxman |
| | Christen M. Wehrenberg |

Project Coordinator: **SCPO Robert R. Buxman**

Contributors: **AIM Consulting**
CWO Michael J. Brzezicki
SCPO Robert R. Buxman
CPO John M. Callaghan
Charles D. Coiro
Frederick L. Hooghouse
LT Jacqueline M. Leverich
Lori J. Maselli
CDR Joseph M. Re
Paul E. Redmond
Jason M. Siniscalchi, Ph.D
LCDR Richter L. Tipton
Frank S. Wood
Jeff L. Wright
Christen M. Wehrenberg
Stephen B. Wehrenberg, Ph.D

Preface to Fifth Edition

The *Performance Improvement Guide* (PIG) is published by the US Coast Guard Leadership Development Center, in collaboration with the Office of Performance Management (CG-0954).

The Coast Guard strives to be the best-led and best-managed organization in government. That's a never-ending challenge for all Coast Guard people. This guide is an aid to help you respond to the challenge; its contents were selected to involve employees, enhance team effectiveness, ease problem-solving, facilitate better meeting management, improve processes, increase customer satisfaction, and improve overall performance to produce superior mission results.

The PIG is an idea source of tools, processes, and models. Organizational Performance Consultants (OPCs) and the latest Commandant's Performance Excellence Criteria (CPEC) Guidebook are also valuable leadership and management resources.

The Leadership Development Center appreciates the many improvement suggestions made by users of previous editions. Though the PIG format remains largely the same, its contents and organization have changed. Changes to this edition include:

- ➢ A reorganized and expanded tool section, including basic project management tools
- ➢ A section on senior leadership, including strategic planning
- ➢ Updates to examples
- ➢ Updates to wording choice and explanations to reflect the Coast Guard's evolution in its continuous improvement efforts

We hope you find this a useful, informative resource.

The Leadership Development Center Staff
and the Performance Excellence Program

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U.S. COAST GUARD LEADERSHIP COMPETENCIES

The Coast Guard's definition of leadership is:

> "You influencing others to achieve a goal"

In this guide you will find ideas and resources to help you positively influence others to achieve unit goals. Whether you're a team leader, team member, or facilitator, you have the potential to lead and influence change.

The Coast Guard uses 28 leadership competencies consistent with our missions, work force, and core values of Honor, Respect, and Devotion to Duty. These competencies fall into four categories:

- LEADING SELF
    - Accountability and Responsibility
    - Followership
    - Self Awareness and Learning
    - Aligning Values
    - Health and Well-Being
    - Personal Conduct
    - Technical Proficiency

- LEADING OTHERS
    - Effective Communications
    - Influencing Others
    - Respect for Others and Diversity Management
    - Team Building
    - Taking Care of People
    - Mentoring

- **LEADING PERFORMANCE AND CHANGE**
    - Customer Focus
    - Management and Process Improvement
    - Decision Making and Problem Solving
    - Conflict Management
    - Creativity and Innovation
    - Vision Development and Implementation

- **LEADING THE COAST GUARD**
    - Stewardship
    - Technology Management
    - Financial Management
    - Human Resource Management
    - Partnering
    - External Awareness
    - Entrepreneurship
    - Political Savvy
    - Strategic Thinking

The discussions, strategies, models, and tools in this guide strongly support the development of most of these competencies. For more information on the Coast Guard's Leadership Competencies, see the Coast Guard Leadership Development Program, COMDTINST 5351.1 (series).

LEADERSHIP RESPONSIBILITIES

Senior leaders, team leaders, and facilitators play key and support roles in the managing and improving organizational performance. These roles include identifying important opportunities; aligning with stakeholders; selecting the appropriate tools; planning work; training team members; cultivating teamwork;, implementing solutions; and leading long-term change.

The following matrix outlines some key and support roles:

Team Role Matrix

Role	SL	TL	FAC	Team
Manages organization	●	○		
Conducts planning	●	●	○	
Interfaces with organization	●	●	○	
Selects team		●		
Builds team	○	●	○	○
Manages project	○	●	○	○
Coordinates pre- and post-meeting logistics		●	●	○
Focuses energy of group on common task	○	●	●	●
Encourages participation		●	●	●
Contributes ideas		●		●
Protects individuals and their ideas from attack		●	●	●
Focuses on process		○	●	●
Remains neutral			●	
Helps find win/win solutions	○	●	●	●

SL = Senior Leaders   ● Key Role
TL = Team Leader   ○ Support Role
FAC = Facilitator

The senior leader, team leader, and facilitator roles, responsibilities, and checklists presented in this guide provide a brief overview. For more in-depth discussion, please refer to the additional references section.

SENIOR LEADERSHIP

Senior leaders—whether at the organizational, unit, or work group level—are responsible for effective management. Management should be part of a regular routine, not a separate event. Leading-edge organizations use performance measurement and management systems to gain insight into, and make judgments about, the effectiveness and efficiency of their programs, processes, and people. Best-in-class organizations determine and use indicators to measure progress toward meeting strategic goals and objectives, gather and analyze performance data, and use the results to both drive improvements and successfully translate strategy into action.

Effective Management

The Commandant's Performance Excellence Criteria (CPEC) provides a systematic way to improve management practices across the organization. The criteria are slightly modified from the Malcolm Baldrige National Performance Excellence Criteria, which are based on core principles and practices of the highest performing organizations in the world. The Commandant's Performance Challenge (CPC) Criteria are a subset of the CPEC tailored specifically for new users.

Organizational Profile:
Environment, Relationships, and Challenges

Category 2
Strategic Planning

Category 5
Workforce Focus

Category 1
Leadership

Category 7
Results

Category 3
Customer and Market Focus

Category 6
Process Management

Category 4
Measurement, Analysis, and Knowledge Management

Figure 1. CPEC Framework: A Systems Perspective

Actively using the criteria fosters systems thinking with a focus on factors such as missions, customers, innovation, people, measurement, leadership, processes, readiness, and stewardship. The way each leader manages assigned responsibilities has implications for the entire Coast Guard and the public we serve. In other words, *management matters*—excellent management practices equate to performance results. The best way leaders can learn how the CPEC can help them accomplish command goals is to use the system.

The criteria are built upon eleven core principles and concepts. These principles and concepts are the foundation for integrating key performance requirements within a results-oriented framework. These core principles and concepts are:

- Visionary Leadership

- Customer-Driven Excellence

- Organizational and Personal Learning

- Valuing Employees and Partners

- Agility

- Focus on the Future

- Managing for Innovation

- Management by Fact

- Public Responsibility and Citizenship

- Focus on Results and Creating Value

- Systems Perspective

For more CPEC information, see the Commandant's Performance Excellence Criteria Guidebook, COMDTPUB P5224.2 (series).

Strategic planning is the process by which leaders clarify their organization's mission, develop a vision, articulate the values, and establish long-, medium-, and short-term goals and strategies.

The Strategic Planning Process presented in this guide is based on the Hierarchy of Strategic Intent shown below. At the top of the hierarchy is the organization's Mission and Vision, both of which should be long-lasting and motivating. At the base of the hierarchy are the shorter-term strategies and tactics that unit members will use to achieve the Vision.

Hierarchy of Strategic Intent

Strategic
(Organizational)
VISION
MISSION
VALUES
STRATEGIC PLANS

Operational
(Area/District)
OUTCOMES
CRITICAL SUCCESS FACTORS
BUSINESS PLANS

Tactical
(Sector/Unit/Team)
GOALS
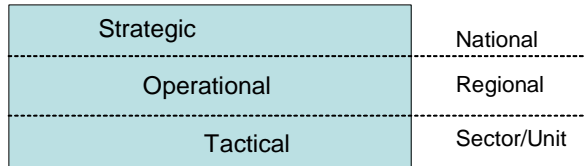STRATEGIES
TACTICS
TEAM/ACTION PLANS

Use the Hierarchy to answer "Why my organization does X" by looking up one level, e.g., "this set of tactical plans exist to achieve that Outcome." Answer "How" the organization will accomplish X by looking down one level, e.g., "our Strategies are how we will attain our Critical Success Factors."

Does every Unit Need its Own *Strategic* Plan?

The traditional view of planning might dictate that leaders at field units and even individual HQ program offices leave Strategic Planning to the senior-most, agency-level leaders, as depicted here:

Traditional View:

Strategic	National
Operational	Regional
Tactical	Sector/Unit

However, in reality, every USCG command/staff has strategic value. To ensure each is ready to perform its assigned responsibilities, able to sustain and improve performance, and to anticipate and prepare for future needs, planning at all levels—Strategic, Operational, Tactical—is necessary.

The Reality:

Strategic	National
Operational	Regional
Tactical	Sector/Unit
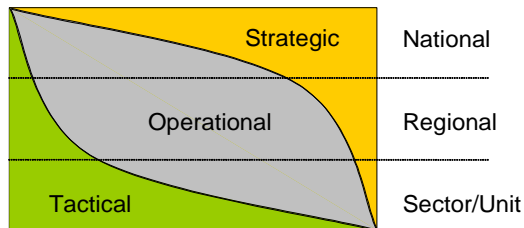
There are, however, differences in the planning scope and horizons at the national, regional, and unit levels—perhaps 18-24 months for cutters, 5 years for Sectors, 5-8 years for Areas, and 20 years for the Coast Guard.

Strategic Planning process steps are listed below:

Step 1.0 Develop Guiding Documents. This includes developing Mission, Vision, and Values statements; if these already exist, review them to prepare for strategic planning.

Step 2.0 Define the Strategy. This step is the heart of strategy development; it establishes Outcomes, Critical Success Factors, and outlines the Goals to accomplish both.

Step 3.0 Develop Action Plan and Execute. This includes developing action plans, allocating resources, and deploying the plan. Avoid an "Execution Gap," by conducting Action Planning in a disciplined manner and Execute Action Plans with accountability.

SITUATION ANALYSIS AND STRATEGIC ALIGNMENT

Prior to strategic planning, leaders should study all the factors that may affect the organization during its target time-frame. Leaders should align the strategic plan with efforts up and down the chain of command in such a way that it maintains a "unity of effort" or common strategic intent. This analysis focuses on the following.

- **Planning Assumptions:** resource constraints, strategic challenges, organization sustainability issues, and emergency business continuity

- **Environmental Factors:** Coast Guard strategic, operational, and tactical plans; and financial, societal, ethical, regulatory, and technological risks

- **Future Focus:** Major shifts in technology, missions, or the regulatory and competitive environments (particularly those derived from up-line plans)

- **Performance Metrics:** such as mission/operational performance status and other key effectiveness measures

- **Assessments:** Organizational Assessment Survey (OAS); Commandant's Performance Challenge (CPC); unit climate surveys; compliance inspection and audit findings; strategic capability; and organizational strengths, weaknesses, opportunities, and threats

Process Steps

DEVELOP GUIDING DOCUMENTS

Once the leaders are ready to engage in the planning process, they should revisit or establish organizational Guiding Documents, such as, Mission, Vision, and Values Statements. Since these Statements are long-lasting, they may require only slight adjustments to respond to changes in the operational or competitive environments. Reviewing them reorients the planning team toward this enhanced future state. If such documents do not exist, they must be developed before any other planning can occur. The essential steps in this process are:

S T E P 1 : D e v e l o p G u i d i n g D o c u m e n t s

DEFINE THE MISSION

A **Mission** refers to why an organization exists – its reason for being or purpose. Generally, for most military organizations, the mission is clear and unambiguous. Well-articulated Mission Statements are those that clarify:

- For Members – What to expect and how they fit in;
- For Customers – What the products and services are;
- For Leaders – How to direct decision-making.

A **Mission Statement** must:

- Be clear and understandable;
- Be brief enough for people to keep it in mind;
- Be reflective of the organization's distinctive competency;
- Be broad enough to allow implementation flexibility;
- Be narrow enough to maintain a sense of focus;
- Be a template by which members can make decisions;
- Reflect organization values, beliefs, and philosophy.

DEVELOP THE MISSION STATEMENT

To develop a Mission Statement, leaders may facilitate the following process with a team specifically selected for this purpose.

1. Individually, develop a mission statement based upon the criteria listed here.
2. As a group, share individual Mission Statements.
3. Identify common themes and *must haves*.
4. If useful, choose and modify an individual statement.
5. Devote 5-10 minutes to refine the chosen statement.
6. Check the refined statement against the criteria.
7. If necessary, select a sub-team to finalize the statement offline.

DEVELOP THE VISION

Vision refers to the category of intentions that are broad, all inclusive, and forward thinking. A Vision should:

- Provide aspirations for the future;
- Provide a mental image of some desired future state;
- Appeal to everyone's emotions and aspirations.

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