

U.S. Coast Guard



PERFORMANCE IMPROVEMENT GUIDE



Sixth Edition
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Preface to Sixth Edition

The *Performance Improvement Guide* (PIG) is published by the U.S. Coast Guard Leadership Development Center.

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 designed to help you respond to this challenge; its contents were selected to involve employees, enhance team effectiveness, focus problem-solving, facilitate better meeting management, improve processes, increase customer satisfaction, and improve overall performance to produce superior mission results.

The PIG is an ideal 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 (LDC) appreciates the 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 Tools section
- 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

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U.S. COAST GUARD LEADERSHIP COMPETENCIES

The Coast Guard's definition of Leadership is:

“You influencing (or inspiring) others to achieve a goal.”

This guide provides ideas and resources to help achieve unit and team improvement goals. The Coast Guard uses 28 Leadership Competencies consistent with its missions, workforce, 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

<http://www.uscg.mil/leadership/resources/competencies.asp>

LEADERSHIP RESPONSIBILITIES

Senior leaders, team leaders, and facilitators play key and support roles in 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
 TL = Team Leader
 FAC = Facilitator

● Key Role
 ○ Support Role

The roles, responsibilities, and checklists for senior leaders, team leaders, and facilitators presented in this guide provide a brief overview.

SENIOR LEADERSHIP

Senior leaders are responsible for effective leadership and management. Excellent organizations:

- Use management systems, tools and models to gain insight into, and make judgments about, the effectiveness and efficiency of their programs, processes, and people
- Determine and use indicators to measure progress toward meeting strategic goals and objectives, gather and analyze performance data, and use the results to 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 based on the Malcolm Baldrige National Performance Excellence Criteria, which are based on core principles and practices of the highest performing organizations in the world.



Figure 1. CPEC Framework: A System's 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.

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 Workforce Members and Partners
- Agility
- Focus on the Future
- Managing for Innovation
- Management by Fact
- Societal Responsibility
- Focus on Results and Creating Value
- Systems Perspective

For more CPEC information, see the Commandant's Performance Excellence Criteria Guidebook, COMDTPUB P5224.2 (series) <https://cgportal2.uscg.mil/library/SitePages/COMDTPUB.aspx>

Strategic Planning

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. Essentially, strategic planning is the way effective leaders prioritize organizational efforts to create unity of effort.

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 use to achieve the vision.

Hierarchy of Strategic Intent

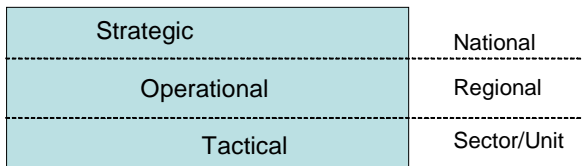


Use the Hierarchy to answer “Why the organization does X” by looking up one level, e.g., “this set of tactical plans exists to achieve that outcome.” Answer “how” the organization will accomplish X by looking down one level, e.g., “strategies are how to attain the critical success factors.”

Does Every Unit Need Its Own *Strategic* Plan?

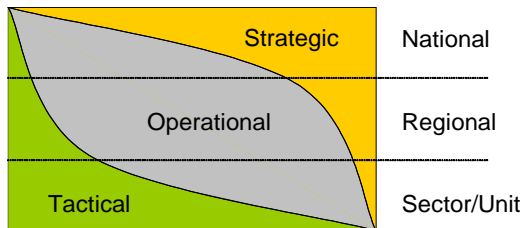
The traditional view of planning is that leaders at field units and individual HQ program offices leave strategic planning to the senior-most, agency-level leaders, as depicted here:

Traditional View:



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

The Reality:



There are 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

Senior leaders: prior to strategic planning, study all the factors that may affect the organization during its target time frame. Align the strategic plan with efforts up and down the chain of command to maintain a “unity of effort” or common strategic intent.

Situation analysis focuses on the following:

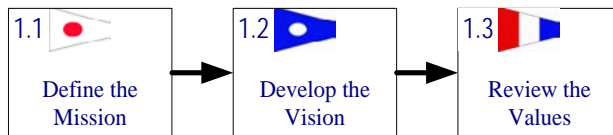
- **Planning Assumptions:** Resource constraints, strategic challenges, organization sustainability issues, and emergency business continuity
- **Environmental Factors:** Coast Guard strategic, operational, and tactical plans; and financial, societal, ethical, regulatory, and technological risks
- **Future Focus:** Major shifts in technology, missions, or the regulatory and competitive environments (particularly those derived from higher echelon plans)
- **Performance Metrics:** 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 (SWOT)

Process Steps

DEVELOP GUIDING DOCUMENTS

Senior leaders: Begin the planning process by revisiting or establishing 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 the guiding documents reorients the planning team toward an 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:



STEP 1: Develop Guiding Documents

DEFINE THE MISSION

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 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 above
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

BRAINSTORM INDIVIDUAL AND COLLECTIVE LEGACY

Start by defining *the organization* for which the vision is being developed. A vision can be developed for a subgroup of a larger organization, which has a separate, broader, more inclusive vision. Subgroup visions must be aligned with and mutually supportive of the larger organizational vision. Ask the group to individually list their responses to the five questions below. Tell participants they will be asked to share their answers to Questions 4 and 5 with the group.

The Five Vision Questions

1. What do you like about being a part of this organization?
2. What do you like about the organization's mission?
3. When it's at its best, what do you like about the organization?
4. What legacy would you like to leave behind?
5. What legacy should we collectively leave behind?

REPORT INDIVIDUAL RESPONSES TO THE GROUP

Once everyone has listed their responses, go around the room and ask each participant to share his/her responses to Questions 4 and 5. The following ground rules apply:

- Speak from the heart
- Listen carefully
- Seek first to understand (ask clarifying questions only)
- Do not evaluate responses

IDENTIFY COMMON VISION THEMES

As a group, identify the common themes in the individual responses to the questions. Has a vision or the elements of a vision emerged? What's missing? Facilitate discussion until all key elements have been fully developed and are clear to all.

FINALIZE VISION STATEMENT OFFLINE

If necessary, select a smaller team to work offline to finalize the vision statement. The team will use the responses and common themes as input to develop several vision statements for the group's approval. The simple act of developing these concepts within the group will provide enough direction to continue developing the strategic plan.

***Trick of the Trade:** Never wordsmith in a group! That will destroy momentum.*

Why Does a Unit Need Its Own Vision?

Unit leaders often resist developing a vision statement. Many feel that their command's vision should match the Commandant's vision or the District Commander's vision. They are correct to the extent that a unit's vision must be aligned with and supportive of those higher in the chain of command; however, many higher echelon visions are too broad or all encompassing to be relevant to the members of a given unit. More importantly, each unit has a specific or unique role in successful mission execution and mission support. Leaders are responsible for articulating that role and setting a vision to drive improvement and higher levels of performance.

A unit vision should span a couple of CO tours or about five years. A five-year vision is often a *reach* for a field unit and is generally long enough to hold a crew's focus. It is also a reasonable time frame given the ever-changing nature of the Coast Guard's operating environment and initiatives responsive to a given Commandant's Intent.

REVIEW THE VALUES

Values are the essence of the organization. They describe who we are and how we accomplish our work. Values affect:

- Decision making
- Risk taking
- Goal setting
- Problem solving
- Prioritization

Core Values form the foundation on which we perform work and conduct ourselves. The values underlie how we interact with one another and the strategies we use to fulfill our mission. Core values are essential and enduring and cannot be compromised.

Any strategy session should review the Coast Guard's core values listed below. The organization's mission and vision and all aspects of the strategic intent should be aligned with these values. Because the Coast Guard's core values are so pervasive, it is not necessary for units to develop their own; rather, assess how/if the unit behaves consistent with and reinforces the values.

U.S. Coast Guard Core Values

HONOR. Integrity is our standard. We demonstrate uncompromising ethical conduct and moral behavior in all of our personal actions. We are loyal and accountable to the public trust.

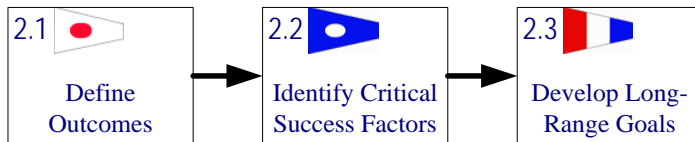
RESPECT. We value our diverse workforce. We treat one another with fairness, dignity, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team.

DEVOTION TO DUTY. We are professionals, military and civilian, who seek responsibility, accept accountability, and are committed to the successful achievement of our organizational goals. We exist to serve. We serve with pride.

DEFINE THE STRATEGY

Defining the strategy is a leadership responsibility. While action planning can be jointly accomplished by organizational leaders and frontline teams, Coast Guard leaders cannot delegate strategy development.

Developing strategy encompasses defining outcomes from the stakeholders' perspective, identifying critical success factors, and developing goals for an 18- to 36-month time horizon. These strategic plan elements lay the groundwork for all strategic activities within the command. The following outlines essential steps in this process.



Step 2: Define the Strategy

DEFINE OUTCOMES

Outcomes are the organizational or public benefit(s) that the unit seeks to achieve or influence:

- Outcomes identify the impact the organization has as opposed to the activities in which it engages
- Outcomes should be derived from stakeholder perspectives and expressed as expected results from the organization
- Outcomes should encompass multiple stakeholder perspectives to ensure they are “balanced”

Outcomes are not always under the full control of the organization; many factors can influence outcomes. However, if outcomes are well defined and continually focused upon, *they can be attained more often than not!*

IDENTIFY STAKEHOLDERS

1. Begin by asking:
 - Who has an interest in what the organization provides?
 - Who cares whether the organization succeeds?
2. Ask participants to answer these questions using sticky notes (put one stakeholder or group name on each). When finished, randomly place the notes on chart paper or a whiteboard.
3. Ask participants to “affinitize” (see page 109-111) the stakeholders by clustering similar notes into categories. Attempt to create four to eight categories and name them.
4. Display these relationships in a diagram or chart.

DEFINE STAKEHOLDER EXPECTATIONS

1. Break the participants into groups and assign one previously defined primary stakeholder to each group.
2. Ask each group to envision themselves riding an escalator on which two members of their assigned stakeholder group are just ahead of them. “The stakeholders do not realize you are there and they are discussing their experience with your organization as you’ve defined it in its enhanced future state (vision).”
3. Ask the group, “What do you want to hear them say?”
4. Have each group report out the top two or three stakeholder quotes that most represent a future desired outcome. Record key items or common themes that cut across groups.

DEVELOP OUTCOMES

1. Identify five to seven common outcome themes. Assign breakout groups to develop them into outcome statements. Outcome statements should be measurable and directly reflect the vision.

2. Ask each group to report their outcomes. Take comments, but do not allow the group to wordsmith.
3. Assign an individual or small team to finalize the outcome statements offline.

IDENTIFY CRITICAL SUCCESS FACTORS (CSFs)

CSFs are what the organization *must absolutely do right, or manage well*, if it is to achieve its outcomes.

- Organizations may not control all factors leading to outcomes; however, CSFs are wholly within their control. CSFs generally relate to processes, people, or technologies that enable outcome achievement.
- CSFs are leading indicators for outcomes. Successful organizations know their CSFs and how they affect outcomes. These causal relationships are monitored and reinforced through a robust measurement system.
- Until cause-effect relationships are identified, CSFs are no more than a management hypothesis based on individual experience, theory, or background. Use measurement to validate these hypotheses.

IDENTIFY CSFs

Develop a list of potential CSFs by asking the group:

- What must you absolutely do right or keep in control to achieve your desired outcomes?
- What is within your ability to control?

REDUCE TO THE CRITICAL FEW CSFs

If break-out groups are used, have each group report their top CSFs. Together, the larger group identifies common themes, paring the list down to three to four CSFs.

DEVELOP LONG-RANGE GOALS

Goals are intentions that make the vision, mission, and outcomes actionable. They typically encompass a shorter time frame than a vision or an outcome. Goals address organization aspects, including mission, operations, customers, processes, people, and resources. They facilitate reasoned trade-offs and must be achievable. Goals usually cut across functions and can counteract sub-optimization.

CREATING GOALS

1. Review the previously developed material.
 - Outcomes – Ensure the goals are directly aligned with and support the outcomes.
 - Critical Success Factors (CSFs) – Ensure the goals support achieving the CSFs.
 - SWOT Analysis (see box and tools) – Ensure strengths align to opportunities; establish goals to leverage strengths to exploit opportunities; identify weaknesses that line up with threats; establish goals that mitigate weaknesses and consequently reduce threats.
2. Identify six to eight potential organizational goals; ensure goals are concrete and attainable. If break-out groups are used, have them report out goals and consolidate.

SWOT Analysis (See pg. 162)

STRENGTHS: *Internal aspects* of the organization that will help achieve outcomes and CSFs.

WEAKNESSES: *Internal aspects* of the organization that will impede the ability to achieve outcomes and CSFs.

OPPORTUNITIES: *External events/happenings* that may help achieve outcomes and CSFs.

THREATS: *External events/happenings* that may impede achievement of outcomes and CSFs.

AUDIT GOALS

- Ensure the goals align with higher echelon plans by auditing them against outcomes, CSFs, and SWOT
- Ensure perspective balance among mission/operations, customer/stakeholder, internal processes, people, and finances/resources
- Ensure the goals meet the *Goal Writing Primer* criteria

Goal Writing Primer

CREATING GREAT GOALS!

- Avoid the tendency to create too many goals: “If everything is important, then nothing is important.”
- Ensure goals support the mission, vision, outcomes, and CSFs
- Ensure the *why* of each goal can be articulated
- Make sure the goal describes a desired state or outcome

CREATE SMART GOALS

- Specific
- Measurable
- Action oriented
- Realistic
- Time based

DEVELOP THE ACTION PLAN AND EXECUTE

In their book Execution: The Discipline of Getting Things Done, Larry Bossidy and Ram Charan highlight the major reason most organizations fail in their attempts to implement strategy; they call it the “execution gap.”

Therefore, action planning must be a component of execution. This step in the strategic planning process is the key to “operationalizing” the strategy that leadership has fashioned. The best plans are worthless if they cannot be implemented. The following outlines essential steps in this process.



STEP 3: Develop the Action Plan and Execute

DEVELOP STRATEGIES AND TACTICS

Strategies and tactics are actions that can be accomplished within a 12- to 18-month time frame. They are tied to resources, specific milestones, and deliverables in order to be monitored for progress/accomplishment. Strategies and tactics are not static and may be modified as circumstances in the strategic environment change. They must be tied closely to a goal or set of goals in the plan and provide some strategic value to the organization.

- **Strategies** are specific, quantifiable, assignable sets of actions or projects that lead to accomplishing a goal over a specific time period.
- **Tactics** are specific tasks within a strategy that can be assigned to an individual or team to accomplish over a short period of time.

DEVELOP STRATEGIES

Leadership group: involve mid-level and front-line organization members in generating strategies that will effectively accomplish the goals. Strategies can cover one or multiple goals. Once identified, assign responsibility to a division or team for each strategy to be undertaken.

DEFINE TACTICS

Strategies should be further broken down into tactics by the responsible division or team. As the team identifies tactics, it should consider:

WHAT the strategy is intended to achieve

WHY achievement is important

WHO will participate in accomplishing the strategy

HOW the strategy will achieve the goals

WHEN deliverables are needed to accomplish the strategy

ESTABLISH AN ACTION PLAN

As it formulates its list of tactics, the planning team will assign each tactic to a work team or individual along with a milestone date. After a few *toll-gate checks* and improvement cycles, the action plan is *approved* by the leadership team.

The Balanced Strategic Plan

Comprehensive strategy and measurement balances:

- Past, present, and future performance
- Near- and long-term strategic challenges
- Strategic, operational, and tactical considerations
- Perspectives of product and service, customer effectiveness, finances and budget, human resources, and organizational effectiveness

A balanced strategic planning approach acknowledges that good strategy development requires a holistic view of organizational performance.

ALLOCATE STRATEGIC RESOURCES

To deploy the strategy, the leaders engage in a process to identify and allocate resources for strategy execution. Recommended methodology:

IDENTIFY NON-DISCRETIONARY FUNDING

1. The CO and the unit funds manager identify the non-discretionary funds available for strategic projects.
2. The planning team creates the ground rules for using the funds to execute strategic action plans.

PRESENT DIVISION ACTION PLAN

1. Division heads present their proposed actions for meeting the goals and estimate the people and funding required to complete the action.
2. The planning team questions the assumptions and the validity of the proposed actions in a facilitated discussion, including how each action may affect other divisions or planned actions.
3. After all have spoken, the planning team breaks into sub-teams to further refine proposals.

REFINE ACTION PLANS AND RESOURCES

1. When groups reconvene, the facilitator puts the plans and resources into a strategic resource worksheet or spreadsheet for all to see.
2. The process continues through the questioning, refining, and reshaping cycle until consensus is reached (usually requires three to four cycles).
3. The team leader documents the final resource allocation in the strategic resource worksheet.

MONITORING PROGRESS AND EXECUTION

Monitoring and controlling progress involves collecting and disseminating performance information as well as issues and concerns that may negatively affect achieving a strategy or tactic. Leaders and other stakeholders use this information to make midcourse direction and resource corrections. It also provides a fact-based method to hold individuals accountable to achieve assigned strategies and tactics.

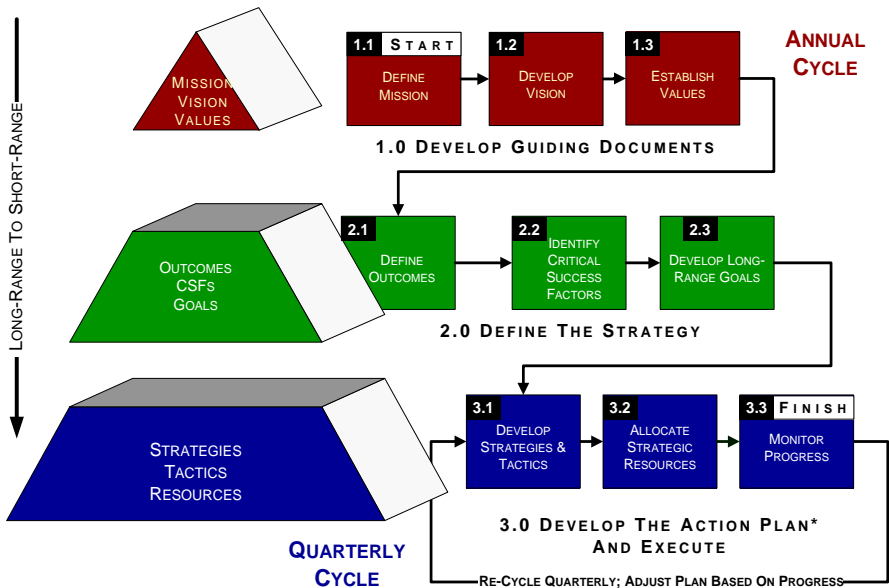
EXECUTING STRATEGIC PROJECTS

1. Some action may be more easily executed as a project. In these cases, proper planning should precede any quantifiable work. The assigned team or individual develops and documents the plan using a project abstract, GANTT chart, etc.
2. The responsible individual or team works closely with a leadership champion or sponsor to ensure the project requirements are being met and pays particular attention to deliverables and timelines.

CONDUCT STRATEGY/PROGRESS REVIEW MEETINGS

1. Responsible entities are accountable for execution. They and their leadership champions confer regularly and keep stakeholders informed of progress.
2. Responsible entities brief leaders during regularly scheduled strategic progress reviews. During these briefings, the responsible person explains current status, presents any new challenges and barriers to progress, and outlines next steps. Midcourse corrections arising from the review session are incorporated into the next update to the action or project plan.

Strategy drives action:



Refer to the table of tool usage for additional planning tools.

TEAM LEADERSHIP

Effective team leaders help inspire and focus small- to mid-size groups (natural work groups, problem-solving teams, focus groups, etc.) to achieve project goals. Team leaders are selected based upon the team's function and are typically designated in a charter. For those on a natural work group, a team leader is normally established by billet or position. Any team member may be designated as team leader for a particular meeting or project piece.

Regardless a group's scope, effective team leaders:

- Ensure optimal team composition
- Develop stakeholder commitment
- Communicate vision
- Outline boundaries
- Give proper direction and support
- Use facilitative leadership
- Build teamwork
- Ensure accountability

While the position of being a team leader is only assigned to one person, all team members should be ready to take on informal leadership roles.

Key Roles & Tasks of Team Leader

Key Roles of Team Leader	Tasks
<p>Organizational Interface</p> <p><i>representing the project to others</i></p>	<ul style="list-style-type: none"> ● Gain and maintain alignment with chartering body/senior managers ● Make presentations ● Maintain written communications ● Initiate personal contact and request feedback ● Champion performance improvement initiatives
<p>Team Building</p> <p><i>using methods and creating an environment so each member participates in generating ideas, interpreting findings, and making decisions</i></p>	<ul style="list-style-type: none"> ● Use team-building methods. For example: <ul style="list-style-type: none"> ○ Use warm-up activities ○ Develop ground rules ○ Use group idea-generation tools ○ Use consensus for making decisions ○ Help the team through the stages of group development ● Cultivate full participation. For example: <ul style="list-style-type: none"> ○ Enforce guidelines ○ Negotiate and mediate ○ Counsel individuals ○ Adjust membership ● Provide training in models and tools
<p>Project Management</p> <p><i>directing the team's attention to the necessary work</i></p>	<ul style="list-style-type: none"> ● Select and manage important projects ● Align with stakeholders ● Establish scope ● Build and lead teams ● Identify work ● Create and update work plans ● Manage resources ● Monitor progress ● Review performance

Organizational Interface

Alignment and continuous communication with senior leadership and other key stakeholders is crucial to running a successful project. One essential tool is a charter (see page 118). A charter outlines expectations from all parties, clarifies roles and responsibilities, and aligns team efforts to organizational needs. Some issues that the chartering body and team leader should discuss prior to commencing the team's activities are:

- Purpose of the charter
- Role(s) of the team leader and chartering body
- Parameters the team has to work within (time, funds, equipment, people, and policy)
- Who has decision-making authority
- Concerns regarding accomplishing the charter objectives
- Strategies to accomplish the desired objective

In addition to the team leader, another person key to a successful project is the champion or sponsor. For a chartered team, the sponsor is the person who approves the charter. This person must be high enough in the organization to address problems within the scope of the project.

The team leader keeps the sponsor aware of progress and is committed to team success by encouraging the sponsor to attend meetings, discussing concerns, and informing the sponsor about:

- Team goals and project plans
- Interim findings and recommendations
- Roadblocks encountered
- Resources needed
- Milestones reached

Good alignment is often the difference between success and failure. For more information on charters, see the Tools section.

Beyond the charter, team leaders ensure that the interests of people not on the team are adequately represented. They get commitment from people who may be affected by the team's actions.

Key questions to ask before putting the team together are: "Who has a stake in the outcomes of the project? To what extent will these stakeholders support the team's efforts?" One effective method of answering these questions is to conduct a stakeholder analysis. For more information on stakeholder analysis, see the Tools section.

Team Building

Team leaders select members based upon project requirements, as well as each member's knowledge, skills, and ability to work as an effective team member. They continue to build the team's interpersonal and rational skills. Ignoring the interpersonal side of the equation may hinder team effectiveness or, in more extreme cases, lead to failure.

In this respect, an outside facilitator can help team leaders be more effective. Inviting an outside facilitator allows a team leader to focus on the content of a meeting while the facilitator helps the group with process. Often, this split leadership approach pays big dividends in terms of group development and success.

Some team leaders decide to facilitate their own meetings. If so, then refer to the facilitator checklist for guidance. Be aware, performing the roles of both team leader and facilitator can be difficult, especially where there is passion for an issue.

Team leaders who develop good facilitation skills can foster an environment where people remain open and engaged. Two techniques may help:

- **Listen first:** Although leaders often ask for other thoughts, subordinates or team members may simply nod in agreement. To overcome this, ask team leaders to find out what their co-workers think before sharing their opinion. Set the tone by saying, "I'd like to first hear what each of you thinks about this."
- **Acknowledge emotion:** Confront emotion when it arises and get to the facts behind it. Pretending someone isn't upset will close group communication. (See Managing Conflict in the Group Leadership Section page 63.)

Project Management

Team leaders need a working knowledge of project management skills. They must have expertise in teamwork, building teams, guiding group development, and managing conflict. Knowing the four project phases, collectively known as the project life cycle, helps team leaders manage the overall process more effectively:

- **Initiating**
 - Select a project
 - Draft a charter
 - Develop guiding statements
 - Determine scope
- **Planning**
 - Formally identify the work required
 - Ensure adequate budget, personnel, and resources
 - Schedule
 - Assess risk
- **Execution**
 - Manage resources
 - Manage changes
 - Monitor status
 - Communicate
- **Close-out**
 - Evaluate
 - Develop an after action report
 - Save records
 - Celebrate

A Closer Look at Project Phases

Initiating

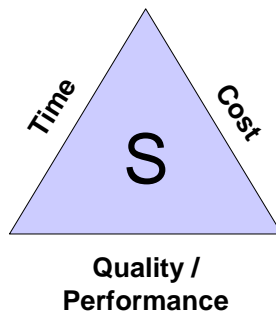
Before embarking on a project, ask questions such as: “Why is this project important? What is the business case for this project? Are there other projects with a higher priority? Will senior leadership support this project? Will customers and other stakeholders be happy that this project is being worked on?”

Once a project has a green light, formalize project details through a charter. A charter can help ensure support and alignment, and help avoid pitfalls. For more information on charters, see the Tools section.

In order to ensure project success, senior leaders and project managers must maintain control over project scope. Scope creep happens when a project grows too large or becomes too difficult to complete and can derail the best laid plans.

Project Control

- In order to maintain control of the scope of the project (S), you must have control over at least one key factor: Quality, Cost, or Time
- Consider: What key factor drives your project?



Planning

Planning includes identifying the work, resources, performance requirements, and time required. Identify work by completing a work breakdown structure (WBS) or other planning tool. Work should be broken down to the appropriate level of detail, typically into 80 hours or smaller segments. The 80-hour rule helps project managers maintain control of the project by promoting check-in after task completion. See the Tools section for other planning tools.

Look at task dependencies in addition to the personnel, resources, and time required. Task B is dependent upon Task A when Task A must be completed before Task B can be started. Task dependencies and project requirements impact the overall timeline.

Execution

Execution means getting the work done. During execution, senior leaders and project managers ensure communications between all concerned parties and consider any proposed changes along the way. Scheduling regular team briefs with key stakeholders helps avoid problems.

Close-Out

Closing out a project properly helps teams determine how well they met project outcomes and identifies opportunities for improvement. By developing the ability to plan and implement projects, managers enhance overall organizational performance.

For more project management principles beyond the scope of this guide, see the Additional Resources Section page 171.

FACILITATIVE LEADERSHIP

Facilitate:

- To make easy or easier
- To lighten the work of, assist, help
- To increase the ease of performance of any action

Webster's New World Dictionary

Facilitators help teams achieve their goals through the use of team tools, disciplined problem-solving techniques, and continuous improvement methods. They apply good meeting management principles, give and receive feedback, and make adjustments.

A facilitator guides, teaches, and encourages the team. A facilitator's role is to help the group with process, not to influence the content and the final product.

Key Roles & Tasks of Facilitator

Key Roles of Facilitator	Tasks
<p>Coach the Team Leader</p> <p><i>coaches the team leader in the process of accomplishing the meeting objectives</i></p>	<ul style="list-style-type: none"> • Conduct one-on-one planning with team leader • Provide agenda guidance • Provide feedback to the team leader
<p>Facilitator</p> <p><i>uses methods to solicit ideas so each member participates in generating ideas, interpreting findings, developing solutions, and making decisions</i></p>	<ul style="list-style-type: none"> • Clarify team members' roles • Facilitate agenda. For example: <ul style="list-style-type: none"> ○ Warm-up exercises ○ Ground rules ○ Idea generation ○ Decision making ○ Data collection methods ○ Data analysis • Monitor sequence of model • Focus team on task at hand • Monitor stages of group development • Manage group dynamics and individuals • Cultivate cooperation. For example: <ul style="list-style-type: none"> ○ Mediate ○ Encourage ○ Enforce ground rules ○ Coach
<p>Trainer</p> <p><i>trains team members</i></p>	<ul style="list-style-type: none"> • Provide just in-time (JIT) training on: <ul style="list-style-type: none"> ○ Models and tools ○ Team roles and responsibilities ○ Continuous improvement concepts

Facilitator Behaviors

The Facilitator . . .

- guides the group through a predetermined process/agenda
- encourages group members to participate
- focuses and refocuses the group on common goals and tasks
- ensures an environment of mutual respect amongst group members
- explains their role and how they can help the group
- assesses the group's progress and commitment for a given task and suggests alternative approaches as needed
- suggests agenda topics and approaches to most efficiently and effectively help the group meet its goals
- records group ideas in a way that allows participants to see and build on ideas
- trains group members on new tools and techniques just-in-time
- enforces the group's ground rules when they are violated
- energizes the group through a positive and enthusiastic attitude
- manages conflict and helps the group find win-win solutions

The facilitator is often a **discussion moderator**. In this role, the facilitator is primarily an observer who ensures that group members have an equal opportunity to contribute ideas and differ with each other. When ideas are introduced in their simple form, they often need time to take shape. While it may seem contradictory, it is also important to allow for a healthy amount of differing when ideas are moving along and the group seems committed to them. This will help the group avoid the common pitfall of “groupthink.” This term was coined to describe a state when a group is moving along so efficiently that no one wants to contradict or slow the momentum.

Another important reason to be a discussion moderator is that there are usually equal numbers of introverts and extroverts in any group. Extroverts often thrive in group settings because they find it natural to think aloud and build on other people's ideas. Introverts are often at a disadvantage in most group settings because they are usually more reflective and hesitant to shout out ideas. They like to have extra time to process information. Excellent facilitators realize this and make adjustments to maximize the contributions of introverts while not slowing down the contributions of the extroverts.

Several facilitator behaviors help to encourage participation and protect ideas:

- **Gate opening:** Provide quiet individuals the opportunity to participate. Some people will not cut another person off and will wait for a quiet moment before speaking. In some meetings, there are little to no quiet moments. Create an opportunity by using techniques such as silent brainstorming (writing down ideas individually before discussing them). Note: Many introverts do not like to be called out or put on the spot, so ask the question before calling on someone or having a volunteer answer.
- **Safe guarding:** Ensure that individuals have a chance to finish their thoughts. When ideas begin to flow quickly, some members begin before others have finished. Not everyone has the ability to present a complete and polished thought off the top of their head. Safe-guarding might sound like: "Before we move ahead, let's give Petty Officer Gonzales a chance to finish her thought."
- **Harmonizing:** Make efforts to reconcile differences, look for where ideas or opinions are similar, or downplay disagreements and strong negative statements. Harmonizing might sound like: "There seems to be a lot of passion here;

can we agree that we all want to achieve the same goal and calmly discuss the different options for going about it?”

- **Observing and Commenting:** Provide verbal feedback to the group/team concerning the interaction of the group/team members, or the process/structure by which the group/team is proceeding to accomplish its purpose. Feedback may sound like, “There are a lot of different options being brought up. I’d like to suggest we try capturing some of those ideas on paper, and spend some time discussing each one so that we can prioritize action items and next steps.”

Facilitator Checklist

Use the following checklist to align with senior leadership, plan effectively, conduct productive meetings, and ensure action and follow up.

Prior to Alignment Meeting

- Research information on group
- Consider possible warm-ups
- Gather reference material (PIG, etc.)
- Review tools
- Prepare a contract
- Arrange meeting with team leader

Alignment Meeting

- Review relevant meeting documents and—modify as appropriate
- Establish purpose, goal, and/or desired outcome
- Determine scope
- Get background information on team
 - Consider optimal size, composition, and representation
- Develop an agenda (see Agenda Checklist in the Meeting Management section)

Before Meeting

- Gather supplies
- Ensure room is set up in a way that maximizes collaboration opportunities.

During Meeting

- Review agenda—modify as appropriate
- Establish or review:
 - Roles
 - Secondary facilitation
 - Ground rules
 - Parking lot
 - Group expectations
- Conduct warm-up activity or icebreaker as appropriate
- Conduct meeting
 - Follow agenda
 - Use timekeeper
 - Monitor group dynamics
 - Demonstrate facilitative leadership
 - Record group memory
 - Use tools appropriately
 - Check parking lot
- Close meeting
 - Develop action plan
 - Review accomplishments
 - Review agenda
 - Clear parking lot
 - Develop future meeting plans
 - Conduct meeting evaluation

After Meeting

- Discuss meeting evaluation with team leader
- Follow up on contract
- Ensure action plans and minutes are developed
- Develop plan for next meeting

Facilitator Pitfalls

Avoid some of the common mistakes many novice facilitators make:

- Taking sides or displaying bias on an issue the group is discussing
- Having favorites in the group
- Passing judgment on ideas that are generated by group members
- Contributing ideas without prior group approval
- Being inflexible to the changing needs of the group
- Being the center of attention
- Talking too much
- Taking on responsibility rather than allowing the group/team to be responsible for doing the work needed to accomplish the objective

The Facilitative Leader

Often a group has no formal facilitator assigned. This is common in the Coast Guard because people are busy and can rarely dedicate themselves full time to a group outside their usual job functions. Realizing the benefits of the facilitator role, team leaders are encouraged to take on some or all of the facilitative behaviors mentioned previously. While this can be a challenge, the best team leaders do this naturally. They already know where they stand on an issue and are committed to getting ideas from their team, for often these are the ideas from the workers who are most likely to implement them.

Note: It's important that those who have dual roles as team leader and facilitator let the team know when they are stepping out of one role and into the other.

MEETING MANAGEMENT

Good meetings are key to good management; they allow effective processing and sharing of information. However, meetings are often ineffective and inefficient. They waste time and resources and cause frustration, low morale, and poor performance. To create an environment that promotes effective meetings, team leaders and facilitators must manage many different dynamics.

Effective Meetings

Regardless of the purpose of a meeting, effective meetings have many of the same ingredients:

- A focus on what needs to be done
- A focus on how it can best be accomplished
- A focused goal/clear outcomes
- A focused agenda with specific time allotments
- Clear roles, responsibilities, and standards of behavior
- Balanced communications and participation
- Evaluation of meeting effectiveness

In order to manage meetings successfully, apply the PACER technique, which stands for Purpose, Agenda, Code of Conduct, Expectations, and Roles.

- Purpose
 - What is the desired outcome
- Agenda
 - Date and location
 - Start and end times
 - Time allotted for each item
 - Time allotted for meeting evaluation
- Code of Conduct
 - Ground rules
 - Parking Lot
- Expectations
 - Preparation and work required
- Roles
 - Assigned roles (team leader, facilitator, recorder, timekeeper, etc.)
 - Others responsible for meeting content, setup, etc.

Planning a Meeting

Successful meetings require proper planning. A good rule of thumb is to spend one hour planning for each hour of meeting time. Sometimes more time may be spent planning a meeting than actually conducting it.

There are numerous formats for an agenda. The following checklist contains some of the most typically found items:

Agenda Checklist

Answer these questions before developing the agenda:

- What is the purpose and desired outcome(s)?
- Is a meeting necessary to achieve the desired outcomes?
- Who should attend? Invite the minimum number of people required to achieve the desired outcome.

Develop agenda. An agenda should include:

- Date, starting, *and* ending times
- Location
- Purpose of the meeting
- Desired outcomes
- Ground rules (develop or review)
- Agenda items. For example:
 - Warm-up exercises
 - Mission review
 - Assignments & scheduling
 - Report of findings
 - Next steps
 - Presentations
 - Review previous meeting's minutes
 - Model and/or tool selection
 - Progress report/status
 - Interpretation of findings
 - Organizational communications
 - Just-in-time training
- Person responsible for each item
- Time allotted for each item
- Assigned roles (team leader, facilitator, recorder, timekeeper)
- Time for meeting evaluation

Team Member Roles

Many facilitators and team leaders find success in sharing responsibility for the group's success using the following roles:

- Timekeeper
 - Keeps track of time
 - Notifies group when designated times have been reached
- Scribe
 - Stays out of content
 - Records group ideas and decisions
 - Does not edit
- Recorder
 - Records and routes meeting minutes
 - Captures info so that non-attendees can follow the group's train of thought
- Co-Facilitator
 - Assists the Facilitator in the meeting process
- Participant
 - Gives input, ideas, opinions
 - Listens to others
 - Clarifies
 - Uses good team process skills
- Subject Matter Expert (SME)

Ground Rules

Ground rules reflect *team values* and create an *environment for achieving common goals*. They clarify responsibilities, describe how meetings will be run, and express how decisions will be made.

Ground rules allow facilitators, team leaders, and groups to hold their own feet to their own fire. For ground rules to be effective, follow these simple rules:

1. Develop ground rules during the first meeting and get consensus.
2. Remind the group that everyone is responsible for group behavior.
3. Revisit them regularly -- they are living documents that may be changed or added to as groups mature.
4. Ask the group to periodically gauge their own effectiveness and make corrections as needed.

Sample Ground Rules
<ul style="list-style-type: none"><input checked="" type="checkbox"/> We're here for the same purpose; we respect each other<input checked="" type="checkbox"/> It's okay to disagree<input checked="" type="checkbox"/> Share all relevant information<input checked="" type="checkbox"/> Solicit others' ideas<input checked="" type="checkbox"/> Listen as an ally<input checked="" type="checkbox"/> Everyone participates, no one person dominates<input checked="" type="checkbox"/> Share responsibility<input checked="" type="checkbox"/> Honor time limits; start on time<input checked="" type="checkbox"/> Base decisions upon data whenever possible<input checked="" type="checkbox"/> Choose right decisions over quick decisions<input checked="" type="checkbox"/> Strive for consensus

Parking Lot

One of the most effective tools a group can use to keep a meeting on track is a parking lot. A parking lot is a place where issues that are important but not relevant to the topic at hand can be parked out of the congestion of discussion. Issues can be brought back in to the discussion, when appropriate, or reviewed at a later time. A parking lot serves as a visual reminder that each idea is important and will not be lost or ignored.

At the beginning of a session:

Post a blank piece of chart paper on the wall and write “Parking Lot” across the top. Place the parking lot near a room exit. This will serve as a reminder and allow people to post any off-topic thoughts they might have as they go on break. During the session warm-up, possibly during or just after a discussion of ground rules, discuss the concept of a parking lot and how to use it.

During a session:

If the group strays from the agenda, ask the group if they would like to spend more time discussing the issue or place in the parking lot. Ask the person who initiated the issue to write it up using one “sticky note” per thought. Ensure that the parking lot is cleared at regular, agreed upon intervals.

At the end of a session:

Meeting discussions are typically not held simply for discussions sake, so follow up is key. Review parking lot items at the end of each session. Like other parking lots, a meeting parking lot can be the last place to focus on before departing and leaving the discussion behind. In this way, the group can ensure that important thoughts are not lost. To review, simply read each item and ask, “Has this issue been addressed or is further discussion and/or follow-up needed?” If the group desires further discussion, coordinate an appropriate time. Get confirmation from the group on the disposition of each item.

IDA Boards

A related concept is to break the parking lot into different parking boards. One tactic is to use three boards labeled “**I**ssues, **D**ecisions, and **A**ctions” often referred to as “**IDA**.” The **IDA** method can help groups to effectively convert discussion into action and document meeting outcomes.

- The **I**ssues board is like a standard parking lot. It consists of those slightly off topic or extraneous issues that come up during the meeting discussion. The issues list could also contain those issues that are “out of reach” but need attention (these items may be later documented under Decisions or Actions).
- The **D**ecisions board simply documents decisions made by the group during the course of the meeting.
- The **A**ctions board is for next steps related to each issue and/or decision.

As with other parking lots, end-of-meeting review is important.

- When reviewing each issue on the list, ask: “Have we covered it?” “Do we need to cover it?” and “When should time be spent covering it?”
- When reviewing the decisions list, the opportunity exists to dig deeper, look at each decision, and ask, “What is the change or benefit of this decision?” Groups might also take time to review and discuss each decision to gauge and set the expectation for follow-through.
- The actions list contains the overall impact of the meeting. In reviewing the actions list, assign specific steps, names, dates, and reporting/follow-up for each item. (See Action Planning page 107.)

Meeting Evaluation

To improve team and meeting effectiveness, there must be a continuous cycle of evaluation and action planning. Evaluation methods include *round robin* and *consensus discussions*, a *plus/delta*, and *meeting surveys*. While participative discussion following a facilitated meeting can be the best source of actionable feedback for the facilitator, not every group is eager to discuss their own improvement opportunities. Effective methods to obtain feedback are a *plus/delta* and *meeting surveys*.

Plus/Delta

A plus/delta can help a team identify what went well along with opportunities for improvement. It typically takes place after a meeting review and any closing remarks.

To perform a plus/delta, first ensure that each participant has access to sticky notes and a pen (a fine-tip permanent marker works well in this case). Draw two columns on chart paper as illustrated below. Label one column “+” and the other “Δ” (the Greek symbol for delta – meaning change).

+	Δ
Good discussion	Time keeper needs to provide more frequent updates
Detailed agenda	Send out pre-reads earlier
Facilitator kept meeting on track	Stay focused; use our parking lot more
Meeting ended on time	

Ask each participant to take two sticky notes and a “+” on one and a “Δ” on the other. On the plus, have them provide a comment on something they thought went well and should be continued. On the delta, have them provide a comment on

something that perhaps did not go well and could be improved for the next meeting. Emphasize that the delta symbol indicates change; in this case what is being asked for is a specific way to improve. A meeting delta could include a request for an additional resource like new instructional material or more explanation of a decision-making tool or an overall process improvement suggestion. A delta is constructive criticism that is 95% constructive and only 5% criticism. The goal behind writing a delta statement should highlight an opportunity for improvement and propose a solution or a corrective course of action.

Typically, participants are most comfortable when the plus/delta chart is placed near the door so they can post their notes (without names) in the appropriate column as they leave the room while going on break or following the meeting. At some point, however, the group should review the feedback and create an action plan for improvement.

Feedback is of little worth if it is not seriously considered and followed up on. Work to ensure that strengths listed in the plus column will continue in future meetings. Address legitimate concerns and work on deltas so they can become pluses in future meetings.

Meeting Surveys

Meeting surveys provide the benefit of quantitative measurement of meeting performance, as well as specific focus areas that groups sometimes avoid discussing, such as interpersonal skills. Using meeting surveys can help groups track their progress over time and diagnose specific factors that hinder group performance.

Surveys such as the one below tend to be more effective if completed anonymously and compiled by a trusted party, perhaps an outside facilitator. Asking participants to provide written comments regarding their ratings can help group's link specific behaviors to ratings. Once results have been compiled, they should be shared with the group. The group can then analyze the data and formulate specific action plans for improvement.

Instructions: Rate any area that your team is currently working on, plus some general areas that are useful, such as satisfaction with decision quality, staying on track, etc.



Effectiveness Focus Area	Rating
Listening	More than one talking 1 2 3 4 5 6 7 8 9 10 One at a time
Meeting Planning	Disorganized 1 2 3 4 5 6 7 8 9 10 Well planned
Staying on Task	Many side trips 1 2 3 4 5 6 7 8 9 10 Focused
Use of Agenda	No agenda / not used 1 2 3 4 5 6 7 8 9 10 Agenda used
Satisfaction with decisions	No buy in 1 2 3 4 5 6 7 8 9 10 Ready to implement
Participation	Some dominant 1 2 3 4 5 6 7 8 9 10 All involved

Facilitating Using Technology

Facilitate CG teams with technology to:

- Help groups at different sites work together at the same time (e.g., Live Meeting)
- Change the dynamics of a group in crisis or conflict (after trying traditional conflict resolution strategies)
- Help a “stuck” group regain creativity
- Increase group productivity and speed
- Make up-to-the-minute edits and documentation
- Quantify qualitative information
- Facilitate anonymous feedback (e.g., Vovici surveys)

Match the Need and the Technology

Key Questions to Answer

- What is the group trying to accomplish?
- How simple or complex is the group’s task?
- How unified is the group?

CG Group Technology Categories

- Videoconferencing
- On-line groupware
- Audio teleconferencing
- Audience-response systems

Pre-Session Work

Make sure you get answers to the following:

- Does everyone realize that using technology may increase the preparation time for the session?
- Do you have group buy-in for using technology (especially audience response systems) from management?
- Has the group (or a majority of the members) used this technology before? Was it a good experience? If the experience was bad, what went wrong?

- Does the technology present too much of a challenge for the group members' sensory capabilities such as language, hearing, sight, etc.
- Can you set up and test the technology? Can you test it with an invited group?
- Will you have help with co-facilitators or technology operators? Can you coordinate the roles and responsibilities?

Keys to Success with Videoconferencing

- Keep remote-site participants plugged in and in tune since they will not be able to pick up on all of the nonverbal cues of the main group. Openly stating the main group's thinking and feeling will help.
- Video is the best technology for facilitating "town hall" meetings where groups at different sites are linked but only a few individuals need to be speaking rather than instances when multiple individuals from multiple locations will need to talk with each other.
- Combine facilitating groups from various locations that need to see not only each other but also drawings, product samples, and other items. This can be done with large chart paper angled toward video cameras, or with electronic white boards that document group output in real-time and display at multiple sites.

Keys to Success with Online Groupware

- Participants need to be keyboard-literate and comfortable using the technology.
- Stay involved at your keyboard. Jump in with comments to let the group know they're on the right track.
- Keep the discussion focused and break the task down into manageable parts. Remember: with distance technology, simple is better.

Keys to Success with Audio Teleconferencing

- Call roll to identify who is present at the conference.
- Review the purpose of the conference call and the agenda. Before the call, email agendas to everyone on the call.
- Set ground rules like in a regular facilitated meeting (respect others, only one person speaking at a time, etc). Ask participants to identify themselves before speaking and to state to whom they are directing the comments, if not the entire group.
- Poll group members as to their opinion on an issue under discussion, or do a round of “turn taking,” where each person takes a turn speaking.
- If plans call for some type of structured planning or problem-solving activity, lead the group through the steps of the activity.
- Don’t move from one item to another until you have summarized the discussion and reviewed the agreed-upon actions to be taken.
- Moderate disagreements – ask questions that facilitate individuals’ resolving their differences. Because of the technology’s limits, be prepared to delay activities, to delegate further problem solving, or to table items more often than you would in the face-to-face meeting.
- Take notes and document the conference, especially agreed-upon actions and decisions. Ask people to slow down if the pace is too fast for effective recording of information.
- Review and summarize the conference call, listing action items, agreements, and the next steps.

Keys to Success with Audience Response Systems

- Let group members experiment with technology early in the process since they'll be curious and want to play with the "toys." To make them feel comfortable, collect some demographic information about the group and then show them the results; this will give them an idea of the technology's potential to capture the group's thinking real time.
- Emphasize and utilize the technology's strengths or real-time feedback and anonymity. This technology is particularly helpful for groups dealing with significant change or dealing with conflict, because the anonymity of the voting allows new or opposing views to emerge.
- Give participants a chance to catch up to the speed of their actions. Psychologically, participants need a chance to step back and appreciate the reality of their accomplishments. After viewing voting results, divide the group into small breakout teams to share personal responses to the vote and then answer the question: "What do we hope and/or fear will happen as a result of this vote?" This helps to ground the vote in the group's "real-world" business climate and suggests practical next-steps for successful implementation.

GROUP LEADERSHIP

All groups follow predictable stages of group development on their journey toward becoming self-sufficient, high-performing teams. These stages are known as forming, storming, norming, and performing. Different factors such as group maturity, personnel changes, and alteration of group goals or work conditions can impact whether a team progresses or regresses. Group leaders (a team leader, a facilitator, or a team member providing informal leadership) can help teams navigate through the hazards of group dynamics and achieve group goals.

The following chart outlines group dynamics:

Stages of Group Development

Stages of Group Development

	Forming	Storming	Norming	Performing
Group Characteristics	<ul style="list-style-type: none"> • Uncertain • Tentative • Serious • Goals unclear 	<ul style="list-style-type: none"> • Conflict • Team organizing • Goals still unclear • Hostility • Defensive 	<ul style="list-style-type: none"> • Committed to task • Conflicts resolved • Harmony • Sense of team pride 	<ul style="list-style-type: none"> • Fully functional • Self-organizing • Flexible • Innovative
Team Member Behaviors	<ul style="list-style-type: none"> • Talkative • Polite • Fearful • Anxious • Optimistic • Seeking belonging 	<ul style="list-style-type: none"> • Disagree • May resist demands of teamwork and homework 	<ul style="list-style-type: none"> • Comfortable • Sense of belonging • Share willingly • Enjoy work • Work earnestly 	<ul style="list-style-type: none"> • Function well together • Understand others' views • Experience personal growth
Leader's Tasks	<ul style="list-style-type: none"> • Give clear direction • Get members acquainted • Create positive atmosphere • Assign straight-forward, simple tasks • Sensitive to members' need for direction 	<ul style="list-style-type: none"> • Open up conflict • Move toward negotiation and consensus • Get members to assume more tasks responsibly 	<ul style="list-style-type: none"> • Let team assign own tasks • Provide direction • Hold celebration • Encourage team to review own goals and progress • Listener and facilitator 	<ul style="list-style-type: none"> • Participate • Consult • Inspire • Be involved in tasks as needed • Keep communications and information flowing • Reinforce and celebrate achievement • Provide new vision
Output	<ul style="list-style-type: none"> • Little gets done 	<ul style="list-style-type: none"> • Low 	<ul style="list-style-type: none"> • Moderate to high 	<ul style="list-style-type: none"> • Very high
Facilitation Tasks	<ul style="list-style-type: none"> • Organize • Teach • Establish ground rules • Set standards • Set goals • Manage expectations 	<ul style="list-style-type: none"> • Listen and observe • Enforce ground rules • Manage conflict • Advise • Intervene as needed 	<ul style="list-style-type: none"> • Provide feedback • Affirm • Coach • Encourage 	<ul style="list-style-type: none"> • Foster consensus • Coach • Cheerlead • Withdraw

Managing Conflict

Working with people who have diverse backgrounds, experience, and opinions provides a rich array of insight and opportunity; however, some conflict may be expected. Webster's Collegiate Dictionary defines conflict as a "mental struggle resulting from incompatible or opposing needs, drives, wishes, or external or internal demands." These different needs and desires drive individual and group behavior.

Sometimes, conflict is good. Conflict can prompt us to examine our views at a deeper level. When this happens, we may see things from a different perspective and change our opinion. Conflict may also lead to solutions that take into account many perspectives, prompt more buy-in, and are more likely to succeed.

Without early intervention, however, conflict situations can escalate quickly from an open and interactive dialogue to an emotionally-blinded, adversarial approach to problem solving. Many conflict situations are disputes which can be resolved using proper skills and tactics. Managing conflict is an active process of assessing the dynamics of the situation, strategizing an approach, implementing the approach, and reassessing the situation.

ORGANIZATIONAL PERFORMANCE

Improving organizational performance requires examining and asking “Is this the right thing to do and the best way to do it?”

The **Commandant’s Performance Excellence Criteria (CPEC)** asks this question every day and challenges assumptions about work, ways to improve, satisfying customers, and producing performance results. Performance results begin with daily work processes.

To improve any work process:

- Understand the mission (business) of the unit
- Know the end users (customers) and their requirements
- Clearly define the current work processes
- Identify the output(s) of these processes
- Measure the effectiveness and efficiency of the processes
- Continually look for improvement opportunities

The rest of this guide presents information, techniques, and tools that will help identify the right thing to do and the best way to do it.

Systems Thinking

Peter Senge, author of three blockbuster business books and hundreds of insightful articles, and the founder of the Society for Organizational Learning, suggests that the successful organization of the future will be the company that can learn the fastest. What Senge means by “learn” is to act, observe the results, reflect, adjust, and act again *intentionally seeking a different result*.

The company that can get through this learning cycle quickly and most efficiently—a learning organization—is the one that will survive and thrive in the long run. In order for an organization to develop this capability, it must master five disciplines:

- Personal mastery – individuals must understand themselves and their discipline, and be able to direct their own actions toward a desired goal.
- Mental models – individuals must be able to create useful but simple representations of reality—the causes and effects of actions—that can be used to test ideas. Groups must be able to identify and integrate their individual models into one that explicitly represents their consensual view of reality.
- Shared vision – groups must share the same model of the desired future state so their individual actions can create synergy even when not consciously coordinated.
- Team learning – teams must be able to learn in the fashion suggested above. An army platoon is the archetype of team learning; through a process known as an after action report, team members reflect, in a blame-free environment, about what worked, what didn’t, and what new or different actions can be tried next time along with their predicted and intended results.
- Systems Thinking – the *fifth discipline*.

Systems Thinking achieves its position by being the discipline that integrates the other four. Each alone is interesting, but narrowly specific and not integrated into the broader system of learning and change. Each has value, but cannot survive alone. All must be considered in a broader context—the system in which they operate. Systems Thinking is the integrator.

What is *Systems Thinking*?

Systems Thinking is a way of describing and understanding the forces and interrelationships that shape the behavior of systems. The discipline helps us see how to change systems more effectively, avoid unintended consequences, and act more in concert with other processes that make up even larger systems.

Then what is a *System*?

A system is any group of interacting, interdependent, related parts that form a complex and unified whole, that whole having some purpose. It exhibits properties or produces results in excess of the sum of the properties of its components. The excess is created by the structural organization of the parts.

To *assert* that something is a system requires identifying the excess properties; to *explain* a system means to explain how the organization of the parts produces the excess.

Examples: a car is a system made up of individual parts, none of which provides the property of “self-contained transportation” until the parts are assembled in the right structure, with the right sequence and timing of activity, etc. A toolbox full of tools is not a system, but merely a collection, since it would be rare that the tools would be interdependent. Even though they may be unified in purpose (woodworking, for example), they are not interdependent and don’t create any results just by being together in the right order. On the other hand, a carpenter and a toolbox full of woodworking tools *may* act like a system when combined with materials and a blueprint (purpose).

The budget process is a system. The hiring process is a system. A small boat is a system. Most Coast Guard units are systems that have lots of parts, including people, and many different purposes. The parts often have to be rearranged (different structural organization) in order to pursue different purposes. But once the parts are put together in a certain way, the behavior of that system is determined in large by that structure. That is a critically important characteristic of systems: the behavior of a system, how it operates, and what it produces is determined by its structure.

Characteristics of systems:


- Every system has a purpose within a larger system.
- A system has properties that only emerge when the parts are assembled.
- All of a system's parts must be present for the system to carry out its purpose optimally.
- A system's parts must be arranged in a specific way to carry out its purpose. Any other arrangement would yield a different result.
- The outputs of systems depend on the inputs and the relationships and feedback among the parts.
- Systems remain in balance by acting on their feedback.

What makes Systems Thinking different from other ways of thinking?

Analytic thinking is the process of systematically disassembling something in order to understand it. Break it down into increasingly smaller parts that grow more understandable as they are removed from the complexity of the whole. Mechanical and electronic devices are good examples: disassemble a car to find out of what parts it is made. But in its disassembled form, it isn't a car (system), but a collection of parts. The parts only provide the excess or emergent property of transportation when they are properly connected together; no specific part carries the specific property of transportation.

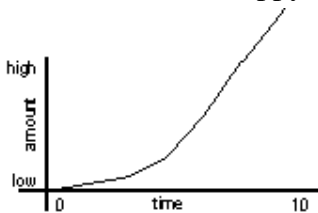
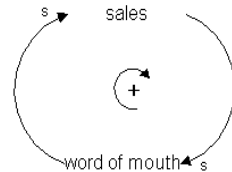
In contrast, *Systems Thinking* recognizes the emergent property as crucial to understanding the system. This is particularly true of non-mechanical systems (e.g., people, corporations, other life forms, workgroups, and Coast Guard units). Cutting a cow in half does not produce two small cows, but two halves of a dead cow. Disassembling it destroys the emergent property, which can no longer be understood or even recreated by merely studying the parts.

How can Systems Thinking be used for process improvement?

1. Find out who knows the most about the process. Get that group of people together.
2. Listen to the stories people tell about what works and what doesn't. Have each person describe the problem from his or her point of view.
3. Draw graphs of behavior over time (BOT). Select a time horizon that shows long-term patterns as well as short-term activity. The graphs should be of something quantifiable that matters. This can be one graph of a key output, or many graphs of related factors.
4. When everyone agrees that the behavior has been described fairly well, start working backward to find out what is causing it. This step can be as simple as asking repeatedly "... and what causes that?" or "... and why is that?" It can also be as complicated as using a computer-aided system dynamics modeling and simulation package. More likely it will be somewhere in between. An excellent and easily learned method is called *causal loop*

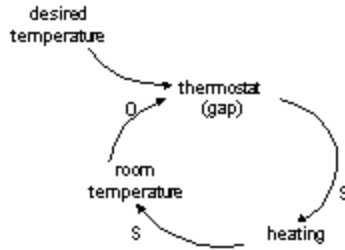
diagramming. Measurable quantities (stocks) are connected together by their inflows and outflows (flows), and the controlling feedback loops are connected in such a way as to control the flows. After a while, these diagrams form patterns that look familiar and share certain archetypal features. Two types will be shown here.

5. One very common structure reflects the concept of “snowballing.” “No matter what we try it just keeps getting worse!” This pattern is reflected as a loop that reinforces the behavior, like that on the right: as sales increase, if the customers are happy, word of mouth

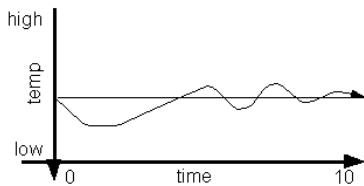


advertising increases; as word spreads, it creates more sales, which further increases word of mouth advertising ... and so on in a continuously reinforcing loop. The behavior over time might look like that on the left.

6. A second common type of structure (loop) is the balancing loop. These abound in nature but can be understood by thinking of something with which we all have some experience: a thermostat. A heating



system is controlled by a thermostat. We set the desired temperature on the thermostat, and when the temperature



falls below that point it sends a signal to the heater to come on, which heats the air in the

room. Eventually the temperature in the room equals the thermostat setting, and the thermostat turns off the heater. Though our goal is to maintain a stable temperature, the system tends to oscillate, more like the BOT on the left. This is caused by an inevitable delay between when the room temperature increases and the thermostat sends an “off” signal to the heater.

7. Often, once the basic structure of a system is described in a causal loop diagram, opportunities to change that structure (install balancing feedback, remove or compensate for delays, etc.) become more evident.

And recalling one of the

*You can't improve a process until you can control it ...
and you can't control it until you understand it.
Jim Hines, MIT, 1996*

characteristics of a system noted above, if we want to change the behavior (outcomes), we probably have to change the structure!

Making change then can become an experimental process: decide on the output of the system, build the *mental model* of what will have to change to produce that output, change it, compare the result to the intended result, adjust the mental model to take the new information into account ... and try again. In true causal loop fashion, that brings us back to where we began: What Senge means by “learn” is to **act, observe the results, reflect, adjust, and act again intentionally seeking a different result.**

Reflections, laws, helpful hints, and afterthoughts:

- Actions have both intended and unintended effects.
- The harder you push, the harder the system pushes back.
- Some systems are stable and tend to seek a certain value if disturbed. Other systems are in equilibrium, but any disturbance could cause them to tip into a reinforcing loop in a positive direction, or in a negative direction. Sometimes it’s hard to tell which is which.
- Systems sometimes react to show improvement before things get worse. Short-term or obvious solutions may actually make the problem worse.
- The easy way out often leads back in.
- The cure can be worse than the disease.
- Faster is slower.
- Small changes can bring big results, but the areas of highest leverage are often the least obvious.
- There is no “away.” When something gets thrown away, it goes somewhere – expand the boundary of the system to see that.
- Everything is connected to everything else.
- Look for high leverage points.
- There are no simple solutions.
- There are no final answers.
- Every solution creates new problems.

The Voice of the Customer

All jobs provide a product or service for someone else—a customer. A work group or unit's success comes from providing products or services that meet customer needs.

There are three types of customers: end-user customers, broker customers, and fixer customers. End-user customers are those people who ultimately use the work group or unit's product or service. These are the most important customers to keep in mind. Broker customers are those people who transform a product in some way between you and the end-user customer. Fixer customers are those responsible for product maintenance. Each type of customer will have different requirements.

In addition to customer types, consider customer segments. Different customer segments may also have different requirements. Boater segments, for example, might include recreational boaters, fishing vessels, and merchant mariners. A Servicing Personnel Office may look at the different needs of officers, enlisted, active duty, reservists, members of other services, and dependents.

To determine how well an organization is meeting customer needs, first understand the product or service characteristics the customer considers most important. Using the Critical-To-Quality (CTQ) Tree summarized in the Tools section (see page 129) is one effective method. The CTQ tree can help identify key drivers of product or service satisfaction, as well as key performance measures. The customer requirements matrix is another effective tool. It identifies the gaps between what the organization provides and what the customer expects, and prioritizes product or service improvement efforts.

Key Quality Characteristics Customers Want in a Product (Garvin, 1988)

- Performance – basic product operating characteristics
- Features – added touches
- Conformance – accuracy or match with expectations
- Timeliness – available
- Reliability – consistent performance over time
- Serviceability – ease of repair
- Durability – a measure of product life
- Aesthetics – how a product looks and feels
- Reputation – perceived quality

10 Key Characteristics Customers Want in a Service (King, 1979)

- Reliability – consistency of performance and dependability
- Responsiveness – willingness to provide service, timeliness of service
- Competence – possession of required skills/knowledge
- Access – approachability and ease of contact
- Courtesy – politeness and respect
- Communication – keeping customers informed so they understand
- Credibility – trustworthy, believability
- Security – freedom from danger, risk or doubt
- Understanding – makes an effort to understand the customer's needs
- Tangibles – physical evidence of service, clean neat appearance of personnel

Work as a Process

All work efforts are part of a process, not an isolated event. All performance gaps, or problems, are related to a work process. A process is a series of work steps that change inputs into outputs. Customers are the end users of the process. They are the ones who can tell you if your process is effective.

The following “SIPOC” diagram illustrates the concept of work as a process:



Suppliers and customers can be from within your own work group or unit, another Coast Guard unit, or outside the Coast Guard. Just as a supplier’s output becomes your input, your output becomes your customer’s input. Your customer may have a customer as well. This string of processes forms a system. When assessing process performance, it’s important to know what is happening both upstream and downstream. Process mapping can help you identify opportunities for improvement. See SIPOC (pages 159-160) and Flowchart (pages 135-137) in the Tools Section for more information.

Key Idea:

All performance gaps, or problems, are related to a work process. Yet, even when people understand this concept, they tend to think in terms of isolated problems, not the process. In order to address root causes of problems, and not symptoms, we must understand the voice of the process.

Performance Elements

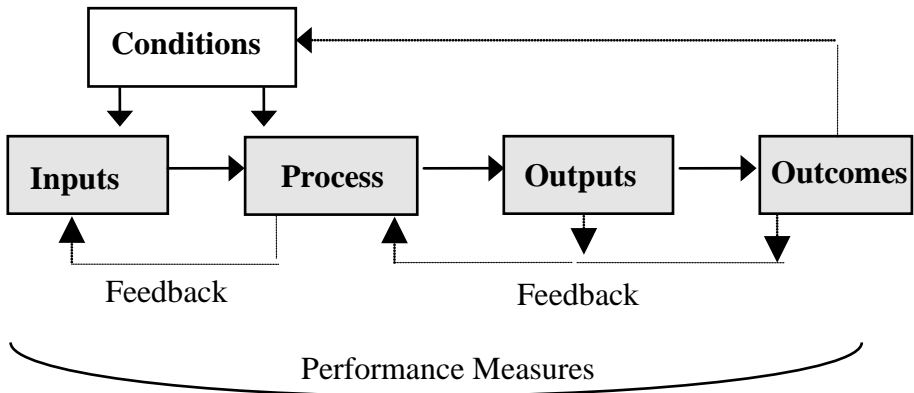
The effectiveness and efficiency of processes depend on more than the procedural steps within the process itself. To properly examine a process, a team should consider all of the performance elements:

Outcomes	The benefits that the command/staff/organization seeks to achieve or influence—the eventual process and output effect.
Outputs	The immediate products, services, or information produced.
Inputs	The resources needed for the process to operate.
Conditions	Factors that influence the availability of inputs and the operation of the process.
Feedback	Solicited or unsolicited comments from others regarding the process, outputs, and outcomes.
Performance Measures	Systematically collected quantitative and qualitative data on the effectiveness and efficiency of the process.

The table on the next page shows examples of elements that may factor into the performance of a process.

Element	Examples
Outcomes	Effect on mission(s), program goals, and/or the local community; employee, customer, and stakeholder satisfaction; community response; and customer use of products and services.
Outputs	Boardings, inspections, identification cards, skilled trainees, health care services, directives, and policies.
Inputs	Equipment, funding, materials, information, skilled labor, and requests for service.
Conditions	Management priority, organization values, employee behaviors, work environment, policies, support systems, and weather.
Feedback	Customer and stakeholder feedback, metrics, news reports, and independent studies.
Performance Measures	Customer satisfaction, on-time-delivery, organizational requirements, quality, cost, cycle time, productivity, and waste. See the next section for more information.

The following Work Context diagram, which builds on the “SIPOC” diagram, shows how the elements work together.



Performance Measures

To meet and exceed customer and mission requirements, develop meaningful effectiveness and efficiency measures:

Effectiveness measures indicate how well process outputs meet customer and mission requirements. Measures of effectiveness include customer satisfaction, on-time-delivery, organizational requirements, and quality.

- **Customer Satisfaction** is a soft measure of how the customer perceives a product or service.
- **On-Time-Delivery** is a measure of how often the desired process output is delivered when the customer wants it.
- **Organizational Requirements** are measures of how well the outputs meet requirements of stakeholders who are not necessarily customers. Organizational requirements measures are a subset of quality measures.
- **Quality** is a measure of how well outputs meet important requirements or needs, such as reliability and features.

Efficiency measures indicate how well customer and mission requirements are met with a minimum use of resources. Measures of efficiency include cost, cycle time, productivity, and waste.

- **Cost** is a measure of fiscal stewardship.
- **Cycle Time** is a measure of the time a service or product takes to move from the beginning of a process to the end.
- **Productivity** is the ratio between output and input, as illustrated in the formula $P = O/I$ (where P = productivity, O = output, and I = input).

- **Waste** is a measure of the non-value-added activities and resources used to meet customer/mission needs. There are seven types of waste:
 - Overproduction
 - Transporting
 - Unnecessary inventory
 - Waiting
 - Inappropriate processing
 - Unnecessary motions
 - Defects

What determines if metrics indicate good results? It depends. How are similar organizations performing? Or if there are not similar organizations, how are organizations with similar processes performing? When broken down into simple processes, such as conducting an inspection, launching a small boat, shipping a part, and so on, it becomes easier to make comparisons. Relevant **comparison measures** allow units or workgroups to set meaningful goals and determine whether they are truly a best-in-class or world-class organization.

Why collect data?

To improve a process one needs to understand the quantity and quality of a current condition, employ a strategy to improve the current condition, and assess the effectiveness of any changes. To do this, data can and should be collected for these reasons:

1. Accountability
2. Establish a baseline to analyze future trends
3. Assess attainment of goals/objectives
4. Determine reasons for success or failure
5. Comply with standards
6. Serve as a basis for timely action or appropriate inaction
7. Effective communication

Key Idea:

Data are like garbage—you best know what you're going to do with it before you start collecting it!

What can be evaluated?

Anything! But, do not conduct evaluation without forethought or the cost can quickly outweigh the benefits. Consider evaluation as an investment and clearly identify who, what, when, where, why, and how the evaluation will be conducted.

Types of data

The ability to understand a condition is dependent on the type and method of the information being collected. Data used to evaluate performance comes in two forms: quantitative and qualitative. Each data type has associated strengths and weaknesses and collection methods that need to be considered when designing a method to understand current conditions and assessing future outcomes.

<i>Example 2.</i>	A. ____ Morale in my department is high.				
	1. Strongly Disagree	2. Disagree	3. Neutral	4. Agree	5. Strongly Agree
Results:	0	1	0	1	8
	Average Rating = 4.6				

This shows that scale responses can fall into a gray area. They are technically discrete, each item is an independent response, but are generally considered continuous data as there is an implied underlying continuity (strongly disagree to strongly agree). Note: continuous data are considered more robust than discrete data because continuous data allow for more complex analyses and can easily be converted into discrete data (groups), while the inverse (discrete to continuous) is not possible.

Qualitative Data

While quantitative data answers the question “how many” or “what amount,” another question is left unanswered: “why?” An average score may be sufficient in some situations, particularly when conducting systematic or programmatic analyses, but in many cases, this is not enough information to make meaningful changes or improvements. Qualitative data improves our understanding by clarifying the underlying rationale for quantitative ratings. In other cases, such as focus groups or interviews, qualitative data is preferred as it provides rich feedback with specific examples, ideas, and reasons. In the above example, it would be useful to know why students felt what they learned will help them on the job. Was it due to the content of the instruction, the materials used, or the manner in which information was presented? In other words, quantitative data are associated with an end result or product while qualitative data are associated with understanding the process of a phenomenon.

The best data collection tools use a *combination of quantitative and qualitative data* to capture a full picture of a phenomenon.

Methods of Collection

A number of data collection techniques differ in their collection method, delivery, and cost. The advantages and disadvantages associated with three techniques (surveys, interviews, and focus groups) are displayed below.

Data Collection Technique	Survey	Interview	Focus Group
Delivery Method	Paper, Internet	Face to Face/Phone	Group Session
Advantages	<ul style="list-style-type: none"> •Primarily quantitative. •Objective data collection and analysis. 	<ul style="list-style-type: none"> •Primarily qualitative •Rich, experience laden information) •Flexible-questions can be guided by previous responses 	<ul style="list-style-type: none"> •Obtain a large amount of information in a short time •Results are understandable by lay people
Disadvantages	<ul style="list-style-type: none"> •May not explain “why” •May get superficial responses •Statistical analysis can be overwhelming to some 	<ul style="list-style-type: none"> •Time to conduct •Volumes information •Analysis is subjective and time consuming 	<ul style="list-style-type: none"> •Non-natural setting •Requires a facilitator •Participants may be influenced by other participants presence
Preparation Time	Moderate	High	Low
Time to Conduct	Low	High	Moderate
Time for Stakeholder	Low	Moderate	Moderate
Time for Analysis	Moderate	High	Low

Guidelines for Data Collection Methods

Plan ahead! Know what questions you want to ask and ensure the data collection method you select will answer those questions. It is difficult to go back and collect more data.

Think about the population you are interested in. How will you sample from this group of people? Do you ask everyone to participate or only select a few? There are a number of sampling techniques available to use, the most common being using a random sample of all possible participants or selecting a specific group to participate. Regardless of the sampling method, make sure participants know what is expected of them and what you plan to do with their data. Federal regulations ensure a participant's rights are protected. This protection ensures participants will remain anonymous, have the right to terminate at any point, data will remain confidential, and their responses will not affect their job or performance evaluations (unless clearly stated otherwise). Remember a participant's time is valuable. To get the most valid and meaningful data, do not overtax participants with questions that do not meet your objectives.

Run a pilot or small practice study prior to the full data collection to resolve any problems in the collection technique or process. This is of particular importance if collecting qualitative data (interviews or focus groups) to ensure familiarity with the questions. Regardless of the data collection techniques, avoid confusion by asking clear, singular, focused questions and by using simple language (no acronyms or "big words"). Keep in mind:

Survey

- Keep the rating scale the same as often as possible; at minimum, keep the direction of the scale the same, generally right to left (bad to good, agree to disagree)
- Avoid using double negatives
- Keep the number of questions as brief as possible
- Make sure choices are mutually exclusive and capture the entirety of possible answers

Interview

- Build rapport with the interviewee
- Stay neutral
- Read the interviewee for nonverbal cues
- Conclude by asking, “What wasn’t asked that should have been?”

Focus Group

- Start with broad themes/issues for discussion
- Create an open and trusting environment—no ideas are wrong
- Base responses on group consensus, not individual responses

Other Considerations

The type and method of data collected have additional considerations. To be effective, select a method which meets the following criteria based on current conditions and needs. Any data collected should be:

- Timely
- Related to the process
- Collected systematically
- Precisely defined

Effective Data Collection Strategy

Answering the following questions will help develop an effective strategy for collecting data.

- What do we want to accomplish by collecting the data?
- What data is needed to achieve this goal?
- Where in the process should we collect data?
- What sampling scheme should we use?
- How much data (samples/data points) are needed?
- When/how long should data be collected?
- How will we record the data?
- Who is responsible for collecting the data?
- Is the collection method simple and efficient?

What To Do With The Data?

Analyze the results of the collected data. Leaving data unanalyzed wastes time and money. The method of data collection generally dictates what analysis can be done. This guide shows several examples of analytical and graphical tools to describe and display data.

Data Analysis

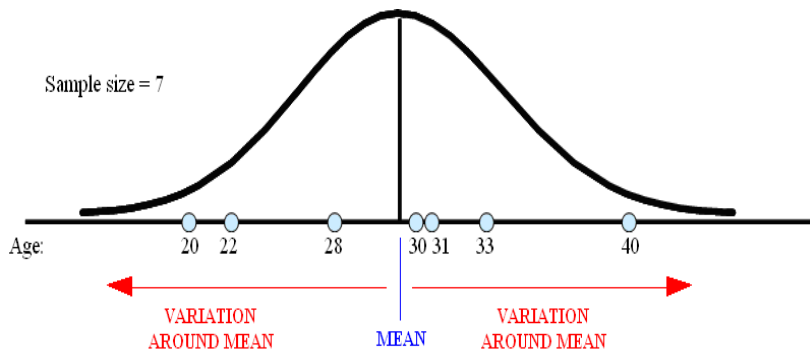
An in-depth explanation of data analysis is beyond the scope of this guide; however, two simple tools are available to analyze data: descriptive analysis and inferential analysis. Descriptive statistics describe the sample¹ and inferential statistics determine

¹ Specifically, the sample is an estimate or subset of the target population from which the sample came from, e.g., a sample of Coast Guard Reservists are meant to represent the population of *all* Reservists in the Coast Guard.

relationships between samples. This guide will only cover descriptive statistical tools.

The types of descriptive statistics used are dependent on the type of data collected, i.e., discrete or continuous. When describing data, the goal is to use one/a few numbers to summarize a larger group of data. For discrete data, this summary generally takes the form of frequencies and percentages. Frequencies are counts of each category while percentages are a standard metric for comparing frequencies by dividing frequencies by the total number of cases (participants). When reporting percentages, *always* include the sample size or frequency to help the reader correctly interpret the statistic. For example, the statement “75% of all employees are dissatisfied with their work environment” is more meaningful if 100 individuals were sampled as opposed to 4 individuals.

Continuous data allow for more complex analysis. Two pieces of information are needed to describe continuous data taken from a sample: a measure of the data’s middle point and a measure of variability or spread. The most common measures used are the mean (average or middle point) and standard deviation (“average” variation around the mean), though other measures exist. In the example below, the ages for 7 participants are 20, 22, 28, 30, 31, 33, and 40. The mean score is 29.1 and the standard deviation is 6.7.



Spreadsheet and statistical packages (such as Excel, MINITAB, SPSS, and SAS) can all compute descriptive statistics. Caution: Though simple to use, these analysis packages assume the user understands the assumptions underlying statistical tests and can accurately interpret the results. Consult a statistician or analyst prior to analyzing data with computer applications.

Qualitative data should be analyzed. The most common procedure for analyzing qualitative data is to use content analysis. Content analysis requires an analyst to read through comments, interviews, or other collected non-numerical data and determine common themes or patterns within the data. These themes are usually presented in terms of frequencies.

Displaying Data

Statistics such as frequencies and means provide evidence to support decisions, but these decisions are not always easily made from lists of statistics. Graphically representing statistics can provide a simple and powerful way to help interpret results. Two types of statistical displays are table and figures.

Tables provide a mechanism to summarize groups of statistics in a specific location. Tables can also be used to represent qualitative data, such as the themes derived from a content analysis or focus group exercise.

Some considerations when developing tables:

- Tables should have labeled titles and column headings.
- Titles should be descriptive but not overly wordy.
- Column headings should include units of measurement.
- Data should be arranged in a logical order.
- Align decimal points and be consistent with the number of decimal points used. Usually 1 or 2 decimal points are sufficient.
- Use the space underneath a table to describe other notes or explanations within a table.
- Do not use too many borders. Generally, a border around the column headings and at the bottom of the table are sufficient.

Table 1. Years on Active Duty

	Mean	SD
Years Active (Range 0 to 20)	5.2	6.4

Sample size = 52

Table 2. Gender Distribution

	Freq	%
Male	48	95.1
Female	4	4.9

Note: 2 cases missing

Table 3. Considerations of Facilitators

Tips	Pitfalls
Not affected by outcomes	Personality types
No personal agenda	Hidden agenda

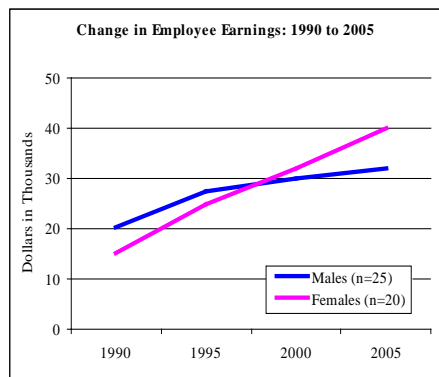
Table 4. Content Analysis of User Feedback

Report 1 (# Comments)	Report 2 (# Comments)
Benefits (50) <ul style="list-style-type: none"> • Easy to read (30) • See the “big picture” (18) • Nice photos (2) 	Benefits (23) <ul style="list-style-type: none"> • Just enough detail (14) • Appropriate for audience (9)
Concerns (22) <ul style="list-style-type: none"> • Not enough detail (30) • Wrong customer/audience (6) 	Concerns (15) <ul style="list-style-type: none"> • Difficult to read (10) • Poor transitions between sections (5)

Figures include any other type of visual representation of data beyond a table. It can include a graph, chart, drawing, photo, or another graphical depiction of data. Figures take more time to create than tables but a good figure can explain a vast amount of information with just a glance. Graphs are used to show relationships. Common graphs include bar charts and line charts.



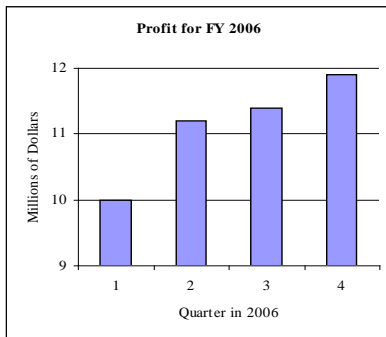
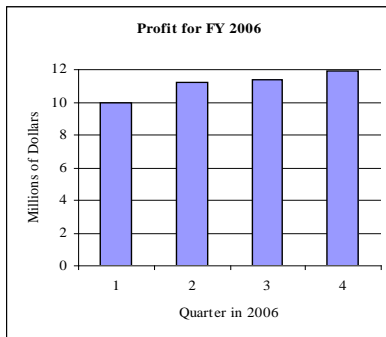
Bar Chart



Line Chart

The most effective figures incorporate the following considerations:

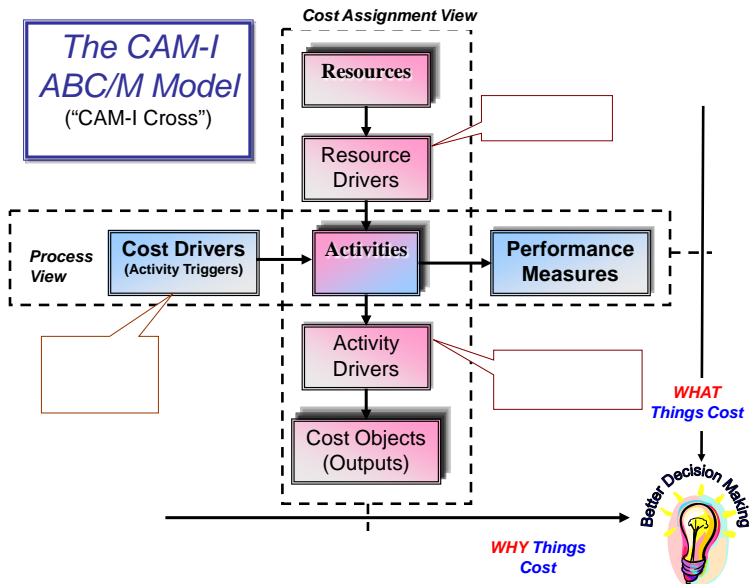
- All axes are labeled with units of measurement.
- Titles should be descriptive but not overly wordy.
- Fonts should be similar to what is used in other text, though generally smaller and bolded to identify labels.
- Gridlines can help a reader interpret results.
- Do not use too many colors and be mindful of color blindness (be careful using blue and yellow or red and green to display different groups).
- Note the scale. Scales can be altered to emphasize or diminish results. This is why it is important to label axes (see below).



Use the simple guidelines presented here and throughout this guide to better understand any process and use the results to make meaningful changes and improvements. For more information regarding data collection, analyses, and display, see the Additional Resources Section page 171.

Activity-Based Costing (ABC)

Activity-Based Costing (ABC) focuses on work; it measures the costs of work activities and the products and services that satisfy customers, influence outcomes, and achieve goals. ABC-derived data supports activity and strategy planning and prioritization. ABC systematically organizes Coast Guard work into discrete activities and allocates overhead as that activity requires and consumes it. ABC makes the full costs of activities, products, and services both apparent and transparent; and enables better-informed decision making on the basis of efficiency (e.g., cost/unit, cycle time) and cost effectiveness (return on investment).

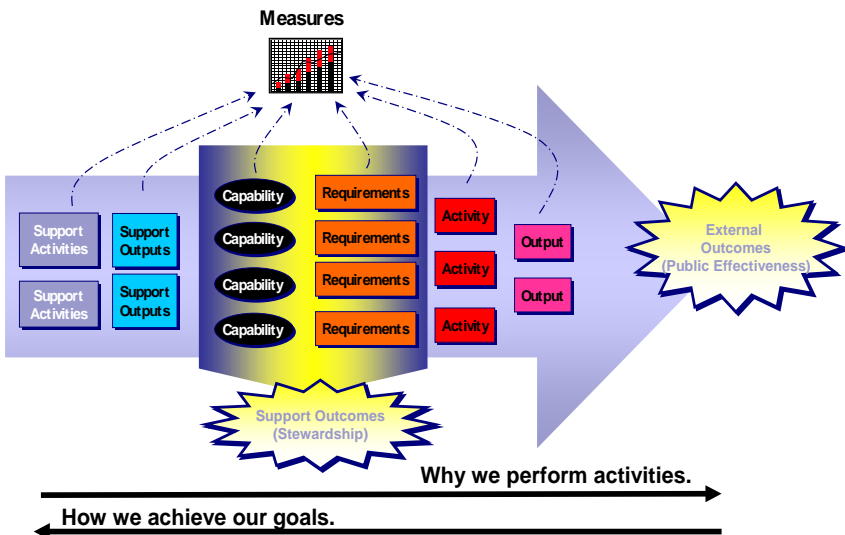


Source: Used with permission of the Consortium of Advanced Management, International (CAM-I)

The Unified Performance Logic Model (UPLM)

The Unit Performance Logic Model (UPLM) is a detailed “cognitive mapping” tool, which program analysts primarily use to capture the cause-and-effect relationships between Coast Guard capabilities, requirements, activities, outputs, and goals/outcomes achieved. The UPLM clarifies the relationship between operational performance (risk management) and support (readiness management). It demonstrates alignment between Coast Guard work activities, outputs (products and services) and the goals, or purposes, for which the work is performed. It is fundamentally an activity-based model (see ABC) and provides a framework for metrics.

Unified Performance Logic Model (UPLM)



Some Definitions:

- **Activity** – A unit of work with a beginning and end leading to an output
- **Output** – A product or service desired by a customer that is produced by an activity or a process (e.g., a mariners license, a strategic plan, a completed SAR case)
- **Outcome** – The public benefit that the Coast Guard seeks to achieve or influence (e.g., Maritime Safety—a reduction in deaths associated with maritime transportation, fishing, and recreational boating)
- **Readiness** – Measure of USCG ability to execute mission requirements IAW standards
- **Standard** – Designate the parameter or expectation of performance (Establish standards based on systematic assessment of requirements and update them to reflect changing conditions.)

The UPLM shows how activities convert resources into readiness (authorities, competencies, capabilities, and partnerships) and how readiness is consumed to influence public outcomes across the performance spectrum (awareness, prevention, protection, response, and recovery) to achieve Coast Guard strategic goals.

Building the UPLM is a complex, ongoing, and detailed effort to identify activities the Coast Guard performs (work), the outputs produced (products and services), the goals they are intended to influence, and the cause-and-effect relationship among all. The UPLM will facilitate and support:

- Causal analysis
- Organizational and performance metrics identification and alignment
- A standardized, disciplined planning and management lexicon
- Development of the mission-oriented information systems architecture (CIO-designed enterprise architecture)

What to Work On

Deciding what to work on can be a difficult task. Whether a team seeks to improve its own processes or management faces multiple improvement opportunities, the question “Where do we start?” must be answered. Whatever the choice, the project must be worthwhile; that is, it must be:

- **Important**—there is no point in working on a problem that nobody cares about. Is there a business case?
- **Achievable**—is the scope of the project too large?

Projects don't have to be huge to be important—a series of small improvements can make a big difference. Small projects can help spark other ideas and show employees how to make a significant change. Solving an easy problem provides the experience needed to tackle tougher ones.

Consider these factors when deciding on a project:

- **Customers** – Satisfaction, relationships, complaints, trends in behavior, requirements, etc.
- **Organizational goals** – What's important to management?
- **Other stakeholder expectations** – Employees, community, neighbors, suppliers, etc.
- **Productivity** – Costs in money, labor, material, and equipment, etc.
- **Mission performance** – Meeting or exceeding customer expectations, productivity goals, or standards.
- **Organizational assessment** – Such as a workplace climate assessment or the Commandant's Performance Excellence Criteria.
- **Strategic challenges** – Preparing for the needs of your operating environment.

Process Improvement and Problem-Solving

The DMAIC model is a robust, systematic continuous improvement approach that consists of five phases: **Define**, **Measure**, **Analyze**, **Improve**, and **Control**. DMAIC offers a method that focuses on meeting customer requirements, includes alignment meetings with senior sponsors after each phase, and emphasizes project prioritization.

DMAIC Phases and Major Steps	
<u>D</u>efine	<ol style="list-style-type: none">1. Form team, develop charter.2. Identify customers, their requirements and expectations.3. Define project boundaries (start/stop) and perform cost-benefit analysis.4. Map the current process.
<u>M</u>easure	<ol style="list-style-type: none">5. Develop data collection plan.6. Collect data and determine types of defects and metrics.
<u>A</u>nalyze	<ol style="list-style-type: none">7. Determine current capability and identify gaps.8. Perform root cause analysis.9. Identify variation.
<u>I</u>mprove	<ol style="list-style-type: none">10. Create innovative solutions based on analysis.11. Develop implementation and pilot plan.12. Pilot new process.13. Assess results of pilot and address gaps.
<u>C</u>ontrol	<ol style="list-style-type: none">14. Develop, document and implement an ongoing monitoring plan.15. Institutionalize the improvements by modifying systems and structures (staffing, training, incentives).16. Communicate the results.

DMAIC Roadmap Expanded:

Define

1. Form team, develop charter

- Define project objectives
 - Is there a business case?
 - What is the problem?
 - What is the goal, in measurable terms? Triangulating the business case, problem, and goal is key.
 - What is the scope of the project?
 - What is the background?
 - Who is the sponsor?
 - Who is on the team? Team selection is critical.

2. Identify stakeholders, their requirements and expectations

- Obtain customer input
 - What is the voice of the customer?
 - What are the critical-to-quality requirements?
- Identify other stakeholders
 - Perform a stakeholder analysis

3. Define project boundaries (start/stop) and perform cost-benefit analysis

- Identify the first and last step of the process associated with the problem

4. Map the current process (when appropriate)

- Start with a macro-level flowchart, and then do one with enough detail to understand the performance challenge
- Identify/verify key process outputs and customers who use them, key inputs and suppliers who provide them
- Identify/verify the factors that most influence the process

Measure

5. Develop data collection plan

- Check and validate existing measures

6. Collect data and determine types of defects and metrics

- Consider measures of effectiveness and efficiency

Analyze

7. Determine current capability and identify gaps

- Is the process capable of performing to requirements?

8. Perform root cause analysis

- Identify all gaps, root causes, or symptoms that are beyond your knowledge or control

9. Identify variation

- Examine how the processes associated with the root causes are performing

Improve

10. Create innovative solutions based on analysis

- Generate lots of ideas, then select the one (or more) most promising change(s) to make, based on the identified gaps and root causes

11. Develop implementation and pilot plan

- Consider time, cost, and quality requirements

12. Pilot new process

- Test the process before implementing a full-scale change

13. Assess results of pilot and address gaps

- Did the new process perform as expected?

Control

14. Develop, document and implement an ongoing monitoring plan

- ❑ Choose valid and reliable measures

15. Institutionalize the improvements through the modification of systems and structures (staffing, training, incentives)

- ❑ Consider Commandant's Instructions, Standard Operating Procedures (SOPs), checklists, etc.

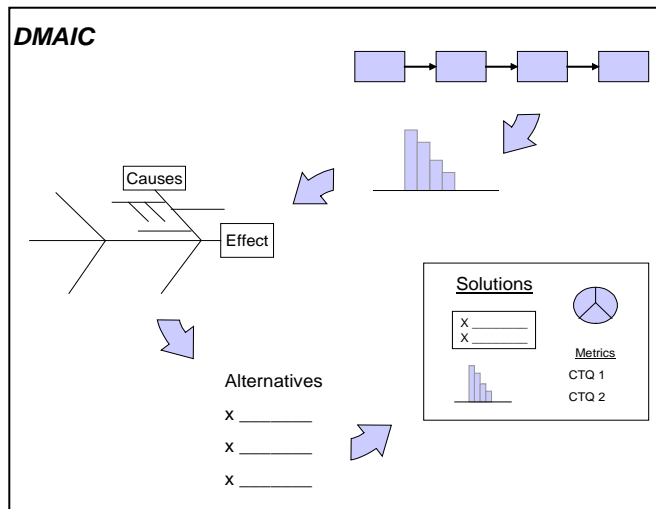
16. Communicate the results

- ❑ Consider different methods such as presentations, posting results, and e-mail

Check-in meetings should be conducted at the end of each DMAIC Phase. These are sometimes called “Toll Gate” meetings since you have to pay the toll with senior leaders before you move on. During a tollgate review, the team leader/team meets with the senior champion. Together, they review progress and ensure that no steps have been missed.

For in-depth DMAIC model information beyond the

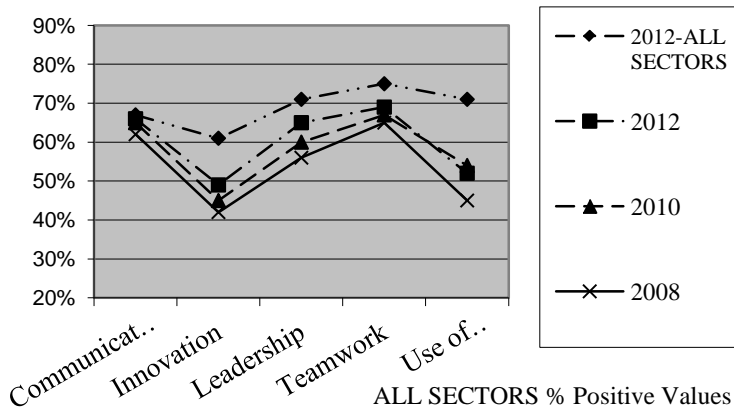
scope of this guide, consult the Six Sigma references in the Additional Resources section.



The CG Organizational Assessment Survey (CG-OAS)

The CG Organizational Assessment Survey (CG-OAS) is a biennial survey conducted in the January-March time frame; the Coast Guard first used it in 2002. The CG-OAS is an extensive survey that all active duty, selected reserve, and civilian members/employees are asked to complete. This survey is the cornerstone of the Human Resources Directorate's assessment process. The CG-OAS contributes to performance improvement by:

- Assessing Coast Guard organizational strengths and weaknesses
- Providing a basis for effective management, planning, and evaluation of organizational initiatives and strategies
- Establishing measures to benchmark and evaluate change in organizational performance over time
- Measuring key indicators relevant to the Government Performance and Results Act (GPRA) and the Commandant's Performance Excellence Criteria (CPEC)
- Providing government and private sector comparative data
- Providing commands/staffs comparative data for unit type or communities



CG-OAS results are used by the Chain of Command, Command Master Chiefs, Rating Force Master Chiefs, program managers, civilian personnel, reserve component managers, and many others. CG-OAS data gives these decision-makers a better understanding of the issues and concerns affecting Coast Guard people. Our regular CG-OAS use will provide results and trends to track the success of a wide range of local and service-wide initiatives.

Coast Guard wide results and tools to work with those CG-OAS results are located on <https://cgportal2.uscg.mil/communities/hr-survey/SitePages/OAS.aspx>. A CO/OINC or their designated representative can get unit-specific results by contacting COMDT (CG-1B2).

The CG-OAS gives all but the smallest units a way to track and respond to unit-level issues with quantifiable information. Also, it gives senior leaders and program and community managers valuable information with which to lead and manage their areas of responsibility.

Coast Guard Business Intelligence (CGBI)

Business Intelligence is a standard industry term that refers to a set of processes and tools to collect and analyze business data and transform it into organizational knowledge and—ultimately—wisdom.

The Coast Guard currently has numerous business intelligence initiatives underway. COMDT (CG-0954) is partnering with HQ directorates and field users at all levels to combine the “best” of these initiatives to deliver a CGBI system that we can rely on and readily use. CGBI seeks to provide access to dependable data, standard measures and robust analyses in a repeatable manner to make fact-based decisions possible. The CGBI motto is: *One Source. One Answer. One Coast Guard.*

CGBI includes readiness, activity, and performance measures for every member, unit, and community accessible through (<http://cgbi.osc.uscg.mil>). The “My Workspace” tab provides information relevant to individuals; the “Units” tab provides Command Cadre-relevant information; and “CG Analytics” provides analyst-relevant information.

Business Intelligence principles:

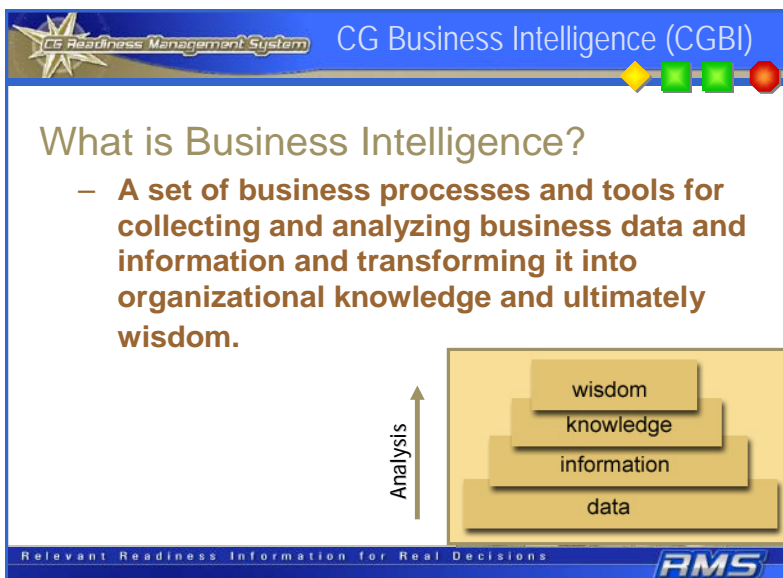
- Organizations run best on accurate information.
- Unit-level people provide 99% of that information; responsibility for accurate input rests with every Coast Guard member.
- Every piece of information should be collected only once and it should be nearly effortless to collect, analyze, view, and use.

CGBI extracts data from existing Coast Guard systems like Direct Access, AOPS, ALMIS, TMT, etc., which are mandated

by COMDT to be the repository for their respective information. These are called source systems. In almost all cases, members in various Coast Guard commands enter data into those source systems. CGBI does not ‘own’ the data, but merely centralizes the data and displays it to everyone in a consistent manner.

Many commands and programs have traditionally kept homegrown databases and spreadsheets in order to store, view and retrieve data. The problem with this approach is that each collects and stores different data in various methods (Excel spreadsheets, Access databases, etc.), which forces individualized training at each command/staff and does not allow information sharing between commands/staffs. To allow good data stewardship, each command, staff, and member is asked to enter the data into the official source system. Those that ensure reliable and timely data input will reap full CGBI benefits of accurate and useful information with which they and other decision-makers can confidently make use of.

One Source. One Answer. One Coast Guard.



The slide features a blue header with the text "CG Readiness Management System" and "CG Business Intelligence (CGBI)". Below the header is a navigation bar with four colored buttons: yellow, green, green, and red. The main content area has a white background with the title "What is Business Intelligence?" and a bulleted definition. To the right of the definition is a pyramid diagram with four levels: "data", "information", "knowledge", and "wisdom". An upward-pointing arrow labeled "Analysis" is positioned to the left of the pyramid. The footer contains the text "Relevant Readiness Information for Real Decisions" and the "RMS" logo.

CG Readiness Management System CG Business Intelligence (CGBI)

What is Business Intelligence?

- **A set of business processes and tools for collecting and analyzing business data and information and transforming it into organizational knowledge and ultimately wisdom.**

Analysis ↑

wisdom
knowledge
information
data

Relevant Readiness Information for Real Decisions RMS

The Commandant's Innovation Council

We recognize the potential for individuals to solve organizational challenges by ingeniously applying their talents and existing resources. The Commandant's Innovation Council champions Innovators by revealing and illuminating their ideas and evaluating them for Coast Guard-wide implementation. The Council acts as a catalyst for change in *Mission Execution* and *Mission Support*. The Council seeks to promote an innovative Coast Guard culture; identify enabling technology; champion innovative solutions; and improve Coast Guard key processes.

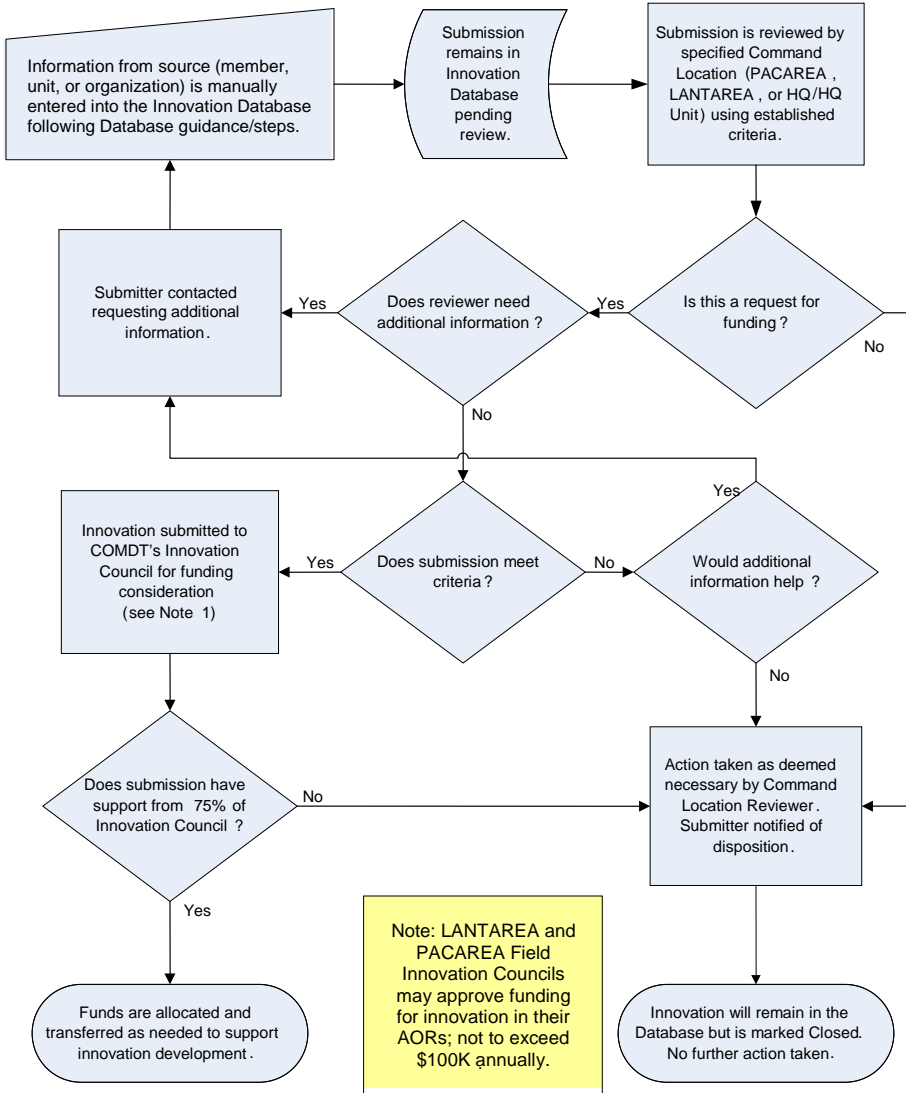
Our Innovation Initiative was formally established in November 2000. Since its inception, the Innovation Council, which reports directly to the Coast Guard Chief of Staff, provides cross-programmatic advocacy to Coast Guard people, units, and programs while promoting an innovative culture that entertains all ideas to resolve organizational challenges.

PHILOSOPHY: Innovation is not a new concept, just as improving efficiency and effectiveness are age-old objectives; across private and government sectors, leaders search for new ways to get better results. The innovation initiative aids leaders in this goal through processes that seek out, promote, and help implement ideas to improve effectiveness. The Council aggressively acts to prioritize and champion competing innovative projects and enables Field Innovation Councils to ensure Coast Guard-wide alignment and implementation.

PROCESSES: To further the Innovation Initiative goals, the Council uses the following processes:

- **Innovation Venture Capital Fund:** Funds innovative solutions to organizational challenges; supports the annual Innovation Exposition; and Captain Neils P. Thomsen Innovation Awards program. Members and units may submit proposals to the Commandant's Innovation Council via the Innovation Database, where proposals are evaluated for technical,

Innovation Venture Capital Fund Decision Process



business, and resource merit. See the Innovation Database at CG Central and <http://www.uscg.mil/innovation/>.

- Innovation Exposition: The annual Expo is designed to bring together Team Coast Guard, industry, and other government agencies to establish open dialogue among technology users, innovators, academia, Research and Development (R&D) Centers, and Coast Guard support elements to promote innovation. The Expo typically focuses on major Coast Guard challenges and agendas consisting of issues pertaining to Homeland Security and other Coast Guard mission areas. Annual Innovation Exposition information is promulgated via ALCOAST at the start of each calendar year.
- Captain Neils P. Thomsen Innovation Awards: These Awards recognize individuals or teams for their ability to develop creative ideas that result in successful implementation of an innovative solution. Four types of individual and/or team awards exist: (1) Science or Technology; (2) Operations or Readiness; (3) Administration, Training, or Support; and (4) the Commander Joel Magnussen Innovation Award for Management. Award winners are announced at the annual Innovation Exposition. Additional information on the Award Program, including nomination procedures, is published in COMDINST 1650.8 (series), Captain Niels P. Thomsen Innovation Award and is announced each year via ALCOAST.

TOOLS

As used here, “tools” refers to techniques used to guide and organize group or individual thoughts. Successful groups or individuals must become adept at identifying the most effective tool for a given situation.

A cornerstone of any performance improvement initiative is to get the ideas of the people involved. People get excited about contributing to efforts that make things better, especially when those efforts involve their work areas or processes. The tools and techniques presented in this section will help you:

- Identify customer requirements
- Generate ideas
- Pare down a list of ideas
- Prioritize ideas
- Make decisions
- Collect, display, and analyze data
- Plan effectively

Action Planning

What is it: Often, projects evolve from meeting discussions and decisions. Action planning helps ensure that what is decided upon actually gets done.

How to use it:

Top section:

When a decision is made that a certain project or task needs to be done, write the project description in the *Action Item* box. Extra action planning sheets may be used for large projects. Identify outcomes in the *What Demonstrates Completion* box. Write in the names of the project manager, process owner, or person responsible for the overall task in the *Champion* box.

Bottom section:

Continue by listing each task description in the *Steps to Achieve Desired Outcome* column. Once a person is identified to spearhead the task, that person becomes accountable for ensuring that the task is completed and his or her name is written in the *Who* column. Finally, the deadline agreed upon by all concerned is written in the *When* column.

Helpful hints:

- To ensure accountability, use specific names and dates.
- Break work down into manageable chunks. The 80-hour rule is a rule of thumb that recommends assigning chunks that require less than 80 hours to complete.

Action Plan

Action Item:		
What demonstrates completion:		
Champion:		
Steps to Achieve Desired Outcome	Who	When

When using this approach, a good rule of thumb is to involve the person responsible for completion of a given project in deciding the *Steps to Achieve Desired Outcome* and *When It Gets Done*. Formally document the plan and periodically review its status with stakeholders.

Affinity Diagram

An affinity diagram organizes verbal information into a visual pattern. An affinity diagram starts with specific ideas and helps work toward broad categories. Use either technique to explore all aspects of an issue. Affinity diagrams can help you:

- Organize a list of factors that contribute to a problem
- Identify areas where improvement is most needed

How to use it:

1. **Identify the problem.** Post the problem or issue in a location where all team members can see it.
2. **Generate ideas.** Use index cards or sticky notes to record the ideas.
3. **Cluster your ideas (on cards or paper) into related groups.** Use questions like “Which ideas are similar?” and “Is this idea somehow connected to any others?” to prompt ways to group ideas together. Discuss the groupings to clarify and elaborate each person’s thoughts on why a particular idea belongs in a particular grouping. While each idea usually fits into a unique category, sometimes a single idea may be placed into more than one category. This is not wrong.
4. **Create affinity cards.** For each group, create a card that has a short statement/header describing the entire group of ideas.

5. **Cluster related affinity cards.** Put all of the individual ideas in a group under their affinity header. Group the affinity cards under even broader groups. Continue to group the cards until your grouping becomes too broad to have any meaning.

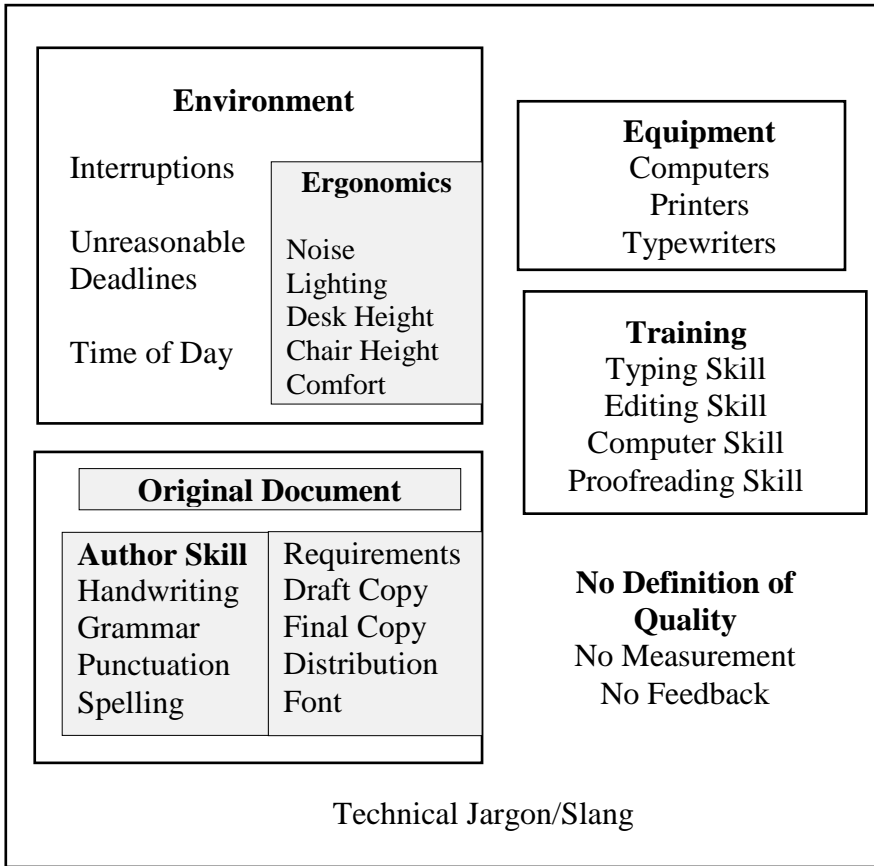
6. **Create an affinity diagram.** Post all of the ideas and affinity cards. Draw outlines of the groups with the affinity cards at the top of each group. The resulting hierarchical structure will provide valuable insight into the problem.

Affinity Diagram example:

A publication team wanted to reduce the number of typographical errors in their program's documentation. As part of a first step, they conducted a brainstorming session that produced the following list of factors that influenced errors.

Computers	No Feedback	Proofreading Skill
Lighting	Typewriters	Chair Height
Comfort	Desk Height	Time of Day
Technical Jargon	Interruptions	Handwriting
Grammar	Slang	Spelling
Draft Copy	Punctuation	Distribution
Font	Final Copy	Editing Skill
Computer Skill	Typing Skill	No Measurement
Printers	Unreasonable Deadlines	Noise

The following affinity diagram helped them to focus on areas for further analysis.



Helpful hints to keep ideas flowing:

Use 3x5 cards or sticky notes to record your ideas: This allows you to cluster similar thoughts, eliminate duplications, and use a “silent” version of any of the techniques listed in this section. This can be helpful when issues carry a lot of emotion.

Sticky Note Rules:

- Only one (1) idea per Sticky Note
- Use Black Permanent Markers Only – makes it easy to read and provides anonymity
- Write in Landscape Orientation, vice Portrait – ensure Sticky Side is on Top
- Leave a little space on the Top-Left-Corner of the Sticky Note – space to used for labeling of ideas, if needed

Be creative! Don't limit suggestions or ideas early on in discussions. Encourage people to think creatively. Ask “What if?” and visualize the desired state if you could do anything you wanted. Ask “If I were the Commandant...”

During your idea-generating sessions:

- Change seats – views can be affected by where people sit in relation to others
- Avoid cliques – encourage people to sit with those whom they don't know
- Review the data or ideas periodically – encourage further input
- Rotate groups and/or members to provide a fresh perspective

Make it clear you want EVERYONE to participate!

- Create an open climate
- Work to develop a group consensus
- Don't evaluate – concentrate on getting many ideas

HAVE FUN!

Brainstorming

Brainstorming is a technique, generally used in a group setting, to quickly generate a large number of ideas about a specific problem or topic. It can help encourage creative thinking and generate enthusiasm, as well as avoid the “paralysis of analysis” by holding the evaluation of ideas until a group has identified different possibilities.

How to do it:

The goal of brainstorming is to generate ideas. Before you start, remind everyone in your group to postpone judgment until after the brainstorming session is completed.

- Post the problem or topic where all participants can see it.
- Write all ideas on the board and do as little editing as possible.

There are three different types of brainstorming techniques: silent, structured, and unstructured. Each technique has different pros and cons.

In Silent Brainstorming:

- Participants may write ideas individually on sticky notes or small slips of paper. Collect the papers and post them for all to see.
- Individuals cannot make disruptive “analysis” comments during the brainstorming session and the process provides confidentiality. This can help prevent a group from being overly influenced by a single participant or common flow of ideas.
- The group can lose the synergy that comes from an open session.

In Structured Brainstorming:

- Solicit one idea from each person in sequence.
- Participants who don't have an idea at the moment may say "pass".
- Each person has an equal chance to participate regardless of rank or personality.
- Spontaneity can be limited. It can sometimes feel rigid and restrictive.

In Unstructured Brainstorming:

- Participants simply contribute ideas as they come to mind and can build off each other's ideas. The atmosphere is very relaxed.
- Less assertive or lower-ranking participants might not contribute.

An ideal approach is to combine two of these methods*. For example, begin the session with a round of silent or structured brainstorming, and then finish with an unstructured period.

*It is a good practice to begin with Silent Brainstorming first because it gives time to those who need that moment of silence to think. Beginning with Silent Brainstorming generally leads to more creative ideas.

The result of a brainstorming session is a list of ideas. If this list is too long, the group can pare it down with a tool, such as Multi-Voting, or prioritize it with a tool, such as Nominal Group Technique.

Helpful Hints:

Never judge ideas as they are generated. The goal of brainstorming is to generate a lot of ideas in a short time. Analysis of these ideas is a separate process.

Don't quit at the first lull. All brainstorming sessions reach lulls, which are uncomfortable for the participants. Research indicates most of the best ideas occur during the last part of a session. Encourage the group to push through at least two or three lulls.

Try to write down all of the ideas as they were presented. When an idea is condensed to one or two words for ease of recording, it is analysis. Analysis should be done later.

Encourage outrageous ideas. While these ideas may not be practical, they may spur a flow of creative ideas. This can help the group break through a lull. Remember: the best way to have good ideas is to have LOTS of ideas.

Try to have a diverse group. Involve process owners, customers, and suppliers to obtain a diverse set of ideas.

After brainstorming:

- Reduce the list to the most important items
- Combine items that are similar
- Discuss each item on its own merits
- Eliminate items that may not apply to original issue or topic
- Give each person a final chance to add items

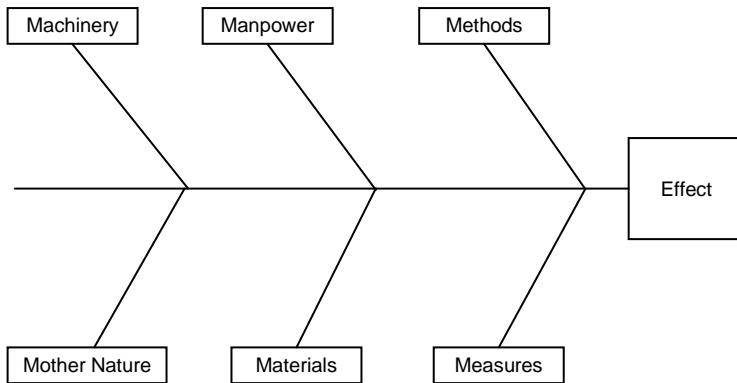
Cause-and-Effect Diagram

A cause-and-effect diagram graphically illustrates the relationship between a given outcome and all the factors that influence this outcome. Sometimes called an Ishikawa or “Fishbone” Diagram, it helps show the relationship of the parts (and sub-parts) to the whole by:

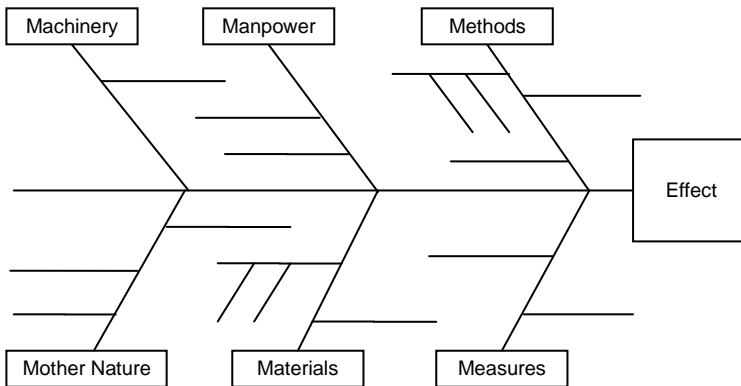
- Determining the root causes of a problem
- Focusing on a specific issue without resorting to complaints and irrelevant discussion
- Identifying areas where there is a lack of data

How to use it:

1. **Specify the problem to be analyzed.** State the problem in quantitative terms (e.g., “50% of employee performance reviews are not submitted on time”). This helps teams avoid finger pointing by focusing on facts rather than opinions. Place the problem statement in a box on the right side of the diagram. Then list the major categories of the factors that influence the effect being studied. The “6 Ms” [Methods, Manpower (personnel), Materials, Machinery, Mother Nature (environment), and Measures] are commonly used as a starting point: These six categories are key sources of variation in any process. In service processes, the 4Ps may be more useful: Policy, Procedures, Plant (or Place), and People.



2. **Identify factors and sub-factors.** Use an idea-generating technique to identify the factors and sub-factors within each major category. An easy way to begin is to use the major categories as a catalyst.



3. **Identify Root Causes.** Utilizing the “Why Technique (see pg. 164),” look for factors that appear repeatedly or have a significant effect according to data available. A sub-factor may be the root cause of all your problems. You may also decide to collect more data on a factor that had not been previously identified.

Charter

A charter is a tool that can help groups:

- Determine a business case for a project
- Define the problem
- Focus the goal
- Establish project scope
- Facilitate buy in from key stakeholders
- Identify project milestones, metrics, and resources
- Clarify linkages to strategic and mission objectives
- Identify if others are working or have worked on the problem
- Identify potential aids or barriers

There are many different styles of charters, but most have the same basic information:

Title:

- Team Name – be descriptive

Key Stakeholders:

- Key individuals or constituent groups that will be affected by or can impact the success of the project

Champion:

- Senior leader and project sponsor

Problem Statement:

- Describe what is wrong: “The Pain”
- Ask “when and where do problems occur?”
- Ask “what is the size and impact of the problem?”
- Use specific business metrics
- Ask “would customers be happy if they know we are working on this?”

Goal Statement (See pg 24-25):

- ❑ Define the improvement objective for Critical to Quality
- ❑ Start with a verb – Reduce, Eliminate, Control, Increase, etc.
- ❑ Tend to start broadly – include a measurable target (it should NOT prescribe solutions)

Business Case and Project Scope:

- ❑ Why is project worth doing?
- ❑ How does this positively impact our clients?
- ❑ What is the bottom-line financial impact?
- ❑ What process is being improved?
- ❑ Why is it important to do now?
- ❑ What are the consequences of not doing?
- ❑ How does this fit within the business or process priorities?

Scope:

- ❑ What are the boundaries of the process?
- ❑ What is out of bounds for the project?

Project Milestones / Metrics / Resources:

Milestones:

- ❑ Discuss project milestones and dates
- ❑ Discuss key dependencies and other matters that affect project execution

Metrics:

- ❑ Specify the primary and secondary metrics for the project

Resources:

- ❑ Who will need to be on the team?
- ❑ What resources will be needed other than money?

Background:

What Strategic Objective does this project help drive?

- List the strategic objective(s) this project helps drive / accomplish

What Mission Objective does this link to?

- List the specific mission objective(s) this project directly links to

Is anyone else working or has anyone worked on this problem/opportunity?

- Yes/No (All project sponsors or project managers must ensure that this is not a duplicative effort.)

Where did you look?

- List the other contacts that you checked with to ensure that this is not duplicative work

What did you find?

- Briefly state what was learned

Aids:

- What will help this project be successful?

Barriers:

- What will hinder success?

Check Sheet

A check sheet is a form you can use to collect data in an organized manner and convert it into readily useful information like Pareto charts or histograms. With a check sheet, you can:

- Collect data with minimal effort
- Convert raw data into useful information
- Translate opinions of what is happening into what is actually happening, i.e., “I think the problem is...” becomes “The data says the problem is...”

How to use it:

- **Clearly identify what is being observed.** The events being observed should be clearly labeled. Everyone has to be looking for the same thing.
- **Keep the data collection process as easy as possible.** Collecting data should not become a job in and of itself. Look for the easiest approach; simple check marks are easy.
- **Group the data.** Collected data should be grouped in a way that makes the data valuable and reliable. Similar problems must be in similar groups.
- **Be creative.** Try to create a format that will give you the most information with the least amount of effort.

Check Sheet example:

Check Sheet

Help Desk Complaints

	Mon	Tue	Wed	Thu	Fri	Totals
Long wait	IIII III	IIII	II		II	16
Poor customer service	IIII I	II	III	II	II	15
No help	IIII	I	I		I	7
Totals	18	7	6	2	5	38

Consensus Cards

Consensus cards allow team leaders, facilitators, and group members to visually see where the group stands on an issue; examine all viewpoints; and keep the group focused.

How to use them:

Buy enough five-color packs of 3” x 5” index cards so that each person gets one card of each color. Typically, the cards come in green, yellow, red, orange and either blue or purple. Assign uses to each color as listed in the table below.

Consensus Cards	
Color	Use
Green	Agree, “I can support this.”
Yellow	Unsure or need more information.
Red	Disagree, “I can’t support this.”
Orange	Getting off topic
Blue or Purple	Wildcard, use for when the group needs a break or needs to move on.

Ask group members to weigh in on an issue by holding up a green, yellow, or red card, as appropriate. Require that all members hold up a card. This ensures that those who are on the fence make a choice.

A good approach is to allow the minority, which will often hold yellow or red cards, to voice their perspective. Explore the reasons why they are unsure or disagree with the issue. Allowing the minority to state their viewpoint may help the group develop a solution that is inclusive of many perspectives and avoid groupthink. A key facilitative question to ask is “What concern, if addressed, would cause you to change your yellow vote to green or red vote to yellow?”

The Wildcard

Using a wildcard, such as a blue or purple card, can remind groups that they are overdue for a break or signal the group that the discussion is heading into the weeds.

Often a timekeeper will keep track of agreed-upon breaks. (An often used rule of thumb is ten minutes of break for every fifty minutes of meeting.) Sometimes, the group will get engaged and forget the time. A blue or purple card can serve as a reminder to take time to recharge.

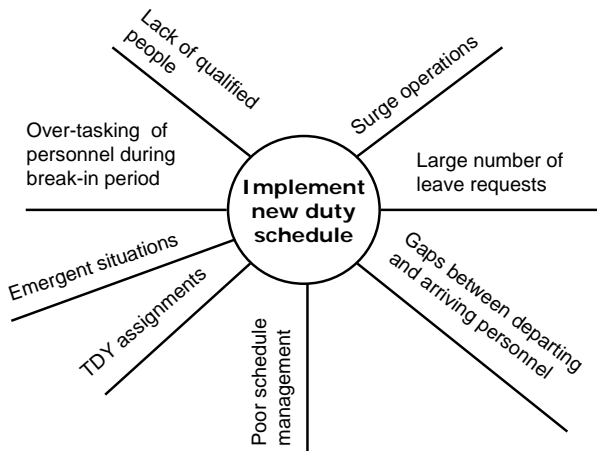
When used as a “don’t beat a dead horse” card, the blue or purple card can signal that it’s time to move on. A good approach is to let the person talking finish their thought, then ask the group if the issue has been sufficiently addressed, needs to be discussed further, or put in the parking lot.

Contingency Diagram

The contingency diagram is a way to capitalize on negative thought. It helps leaders consider all the potential negative “contingencies” of a future goal or program. Also, by thinking of all the ways a problem can get worse or continue unchecked, a group can develop an action plan to overcome any barriers.

How to use it:

1. Place a goal or problem in the center circle.
2. Draw lines outward from the circle as ideas are brainstormed:
 - What will cause this situation to get worse or continue?
 - What will prevent (or sabotage) the desired state?



3. Formulate a plan with specific actions to prevent these obstacles.
4. Develop a prevention/action checklist by taking each obstacle identified and brainstorming ways to prevent it from happening (start each action with a verb). See below an

example using some of the obstacles identified in the contingency diagram:

Prevention/Action Checklist	
<i>Obstacles</i>	<i>Corrective Actions</i>
A. Poor scheduling	<ol style="list-style-type: none"> 1. Set a deadline for input prior to scheduling. 2. Identify when personnel are not available. 3. Assign standby in case of emergent issues.
B. Over-tasking of personnel during break-in period	<ol style="list-style-type: none"> 1. Modify the break-in process to have reporting personnel break-in full time under the guidance of the duty supervisor. This will shorten the cycle time of the process and increase the number of qualified personnel. 2. Monitor the break-in process through measures of efficiency and effectiveness. Communicate these measures to the crew.
C. Gaps between arriving and departing personnel	<ol style="list-style-type: none"> 1. Identify potential gaps by systematically reviewing career intention worksheets and e-resumes. Post transfer dates on the unit's master calendar to create a clear picture. 2. Use the command concerns process to communicate unit needs to detailers before the transfer season. 3. Monitor the number of filled billets and quality-of-match and communicate these measures to the crew.

Plans such as this can help leaders define or improve a process, as well as address any gaps that may exist in the implementation of a future program.

Control Charts

Control charts are the next step from run charts; they help users determine if a process is in Statistical Process Control (SPC). Control charts use mathematically derived upper and lower control limits. Statistically, 99.73% of all stable process results fall between these limits. Control charts show unwanted process changes that appear as abnormal points on a chart. The process is said to be in “statistical control” when the data vary randomly within the upper and lower control limits.

Control limits are not tolerance or specification limits; rather, they are mathematical functions of how a process performs. Thus, it is possible for a process to be in statistical control but operate outside tolerance.

The control chart type selected depends on the type of data collected. There are several types of control charts; each has an appropriate use and inherent strengths and weaknesses. Control chart selection is beyond the scope of the PIG; however, the X-Bar chart on the next page is an example of the most commonly used chart and shows individual process outputs.

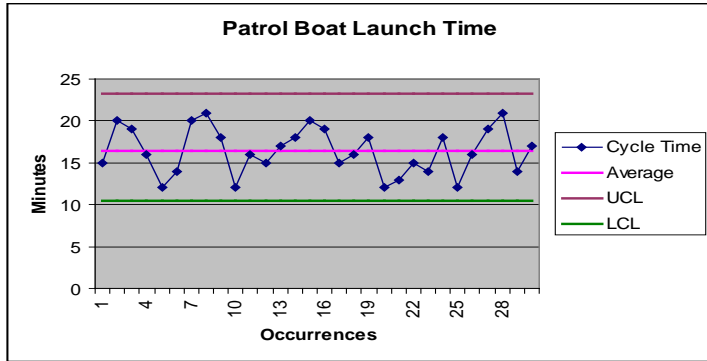
The chart, with upper and lower limits, shows that the (fictitious) maximum time to get underway is 21 minutes—within the upper limit. However, it is probable that this process will generate a result that is unsatisfactory to USCG standards. To prevent such an occurrence, this cutter needs to change its process.

While the most common sign of special cause variation is having a single point above or below the upper and lower control limits, there are other indicators. These observations indicate the presence of special cause variation:

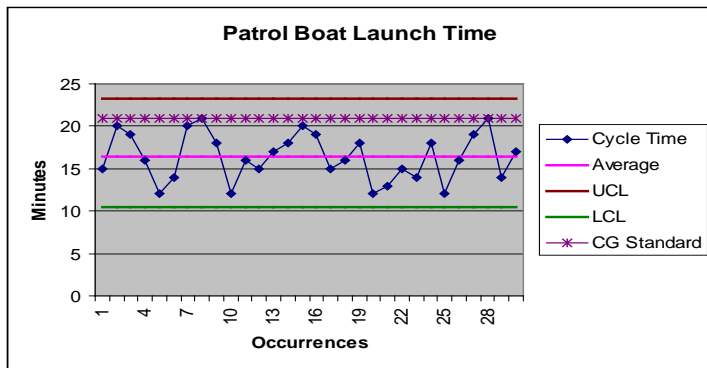
- ☒ 1 or more points outside the control limits
- ☒ 7 or more consecutive points on one side of the centerline
- ☒ 6 points in a row steadily increasing or decreasing
- ☒ 14 points alternating up and down

Special cause variation should be investigated and the cause removed if possible; however, process redesign is not required if the process is stable and within acceptable limits (standards). Treating special cause variation as common cause variation, and vice versa, can have disastrous effects on performance results.

The chart below shows the launch times for this unit have not been affected to date by special cause variation.



The chart below shows the Coast Guard maximum limit for launch times is inside the control limits. It is likely this process will eventually produce a result that is unacceptable. Process redesign may be in order.

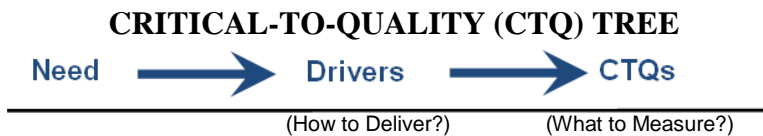


Critical-to-Quality (CTQ) Tree

A critical-to-quality (CTQ) tree can take a “soft” customer need and break it down into more tangible customer requirements.

How to use it:

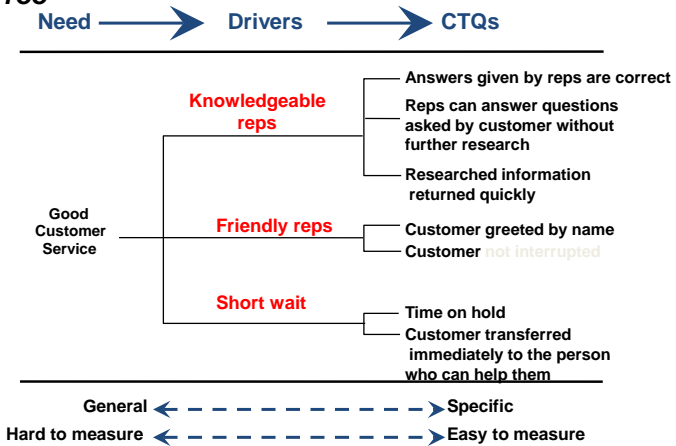
1. **Need (What is the Goal?):** Begin with an overall customer need. Examples of needs are on-time delivery, good customer service, or as illustrated below, effective search and rescue response.
2. **Drivers (How to Deliver?):** Identify the key drivers that support the unit’s ability to supply that need.
3. **CTQs (What to Measure?):** Identify the metrics that measure how well those drivers are performing. Use “hard” numbers such as wait time or number of defects over “soft” measures such as customer satisfaction survey response indicators. CTQ measures often provide input to a unit or workgroup’s strategic planning process and can be used to drive process improvement projects.



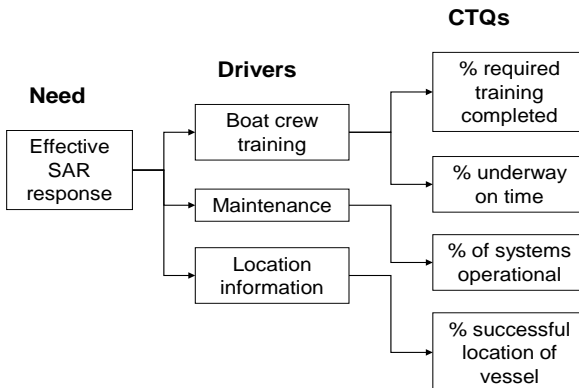
What is
the
Goal?



Voice of the Customer: Critical to Quality (CTQ) Tree



USCG example:



Customer Alignment Questions

Customer alignment questions generate information about how well processes meet customer needs. To establish some agreed upon performance requirements, ask these four questions:

- What do you need from me?
- What do you do with what I give you?
- What are the gaps between what I provide and what you need?
- What do I give you that you do not want or need?

How to use them:

These questions will allow discovery of customer's needs, wants, and expectations for the services, products, or information supplied. By understanding how the customer is using output, one can better align process capabilities with what the customer wants. Knowing if there are gaps and what the impacts of those gaps are can provide improvement opportunities. Asking customers what they don't want or need can help reduce unnecessary work.

Once you obtain this information, establish a baseline to better determine which direction to take. Consider establishing a formal, repetitive feedback system if it will help in continuous process improvement.

Customer Requirements Matrix

A customer requirements matrix helps suppliers identify the characteristics of a product or service that drive customer satisfaction and evaluate opportunities for improvement.

How to use it:

1. Identify quality characteristics—key requirements of a product or service as defined by the customer.
2. Ask the customer to rate the Importance and Performance of each quality characteristic. Performance is a rating of how well the supplier is doing (see example below).
3. Calculate the gaps in performance. Importance x performance gap = opportunities for improvement.
4. Allocate resources from Characteristics with Positive (+) Totals to Characteristics with Negative (-) Totals

Voice of the Customer, Customer Requirements Matrix

ISC Anywhere Dining Facility:

Quality Characteristic	Performance	Importance	Gap	Total
Healthy food choices	1	5	-4	-20
Hot food	3	5	-2	-10
Friendly service	3	3	0	0
Cleanliness	4	4	0	0
Appearance of physical facilities	4	2	2	4

Performance: 1 = Poor → 5 = Excellent

Importance: 1 = Not Important → 5 = Very Important

Gap = Performance Rating - Importance Rating

Total = Importance Rating x Gap

Decision Matrix

A decision matrix, or prioritization matrix, is used for selecting one option from several possibilities. It involves selecting criteria by which the items will be judged and using them to make a decision. It can be used to choose a single problem or solution from a list.

How to use it:

1. **Generate a list of options** using an idea-generation tool, and then pare the list down to a manageable few.
2. **Choose criteria.** Once the list of criteria is generated, the team discusses and refines the list to the five or six that the team believes are the most important. Often-used criteria include:
 - Effectiveness
 - Feasibility
 - Capability
 - Time requirements
 - Cost
 - Enthusiasm (of the team and of others)
3. **Weight the Criteria.** After the criteria are identified, the team assigns a relative weight to each criterion based on how important that criterion is to the situation. There are different ways the options can be graded against the criteria. One way is to answer with a yes/no, but problems might arise if two different options receive the same number of yes/no votes.
Another way is to rate the criteria on a scale in relation to each of the options. The option with the highest, or lowest depending on the scale used, point total might be the option the group decides to focus on first.

4. **Draw a grid.** Create the grid with the criteria across the top and the options along the left side.

Decision Matrix example:

	Criteria #1 (weight value)	Criteria #2 (weight value)	Criteria #3 (weight value)	Score
Option #1				
Option #2				
Option #3				

5. **Evaluate Choices.** Evaluate each Option against the criteria.
6. **Calculate Weight Values.** Multiply each choice's rating by the weight. If the Option with the highest total score is not completely agreed upon by all team members, the relative scores can be used generate meaningful discussion and lead the team toward consensus.

Flowchart

A flowchart is a graphic representation of the major steps of a process. It can help you:

- Understand the complete process
- Identify the critical stages of a process
- Locate problem areas
- Show relationships between different steps in a process

How to use it:


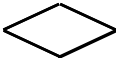



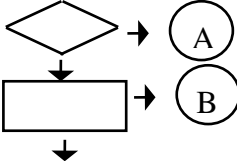

1. **Identify the process.** Define the start point and finish point for the process to be examined. It is sometimes helpful to refer to the SIPOC model to do this on a macro level.
2. **Describe the current process.** Lay out all the process steps from beginning to end. Use the symbols shown on the next page to improve clarity.
3. **(Optional) Chart the ideal process.** Identify the easiest and most efficient way to go from the start block to the finish block. While this step isn't necessary, it makes the next step easier.
4. **Search for improvement opportunities.** Identify the areas that hinder the process or add little or no value. If the optional step (Step 3) was done, examine all areas that differ from the ideal process and question why they exist. Consider measures of effectiveness and efficiency.
5. **Update your chart.** Build a new flowchart that corrects the problems identified in the previous step.

Helpful hints:

Put the process steps on sticky notes. This allows the chart to be rearranged without erasing and redrawing.

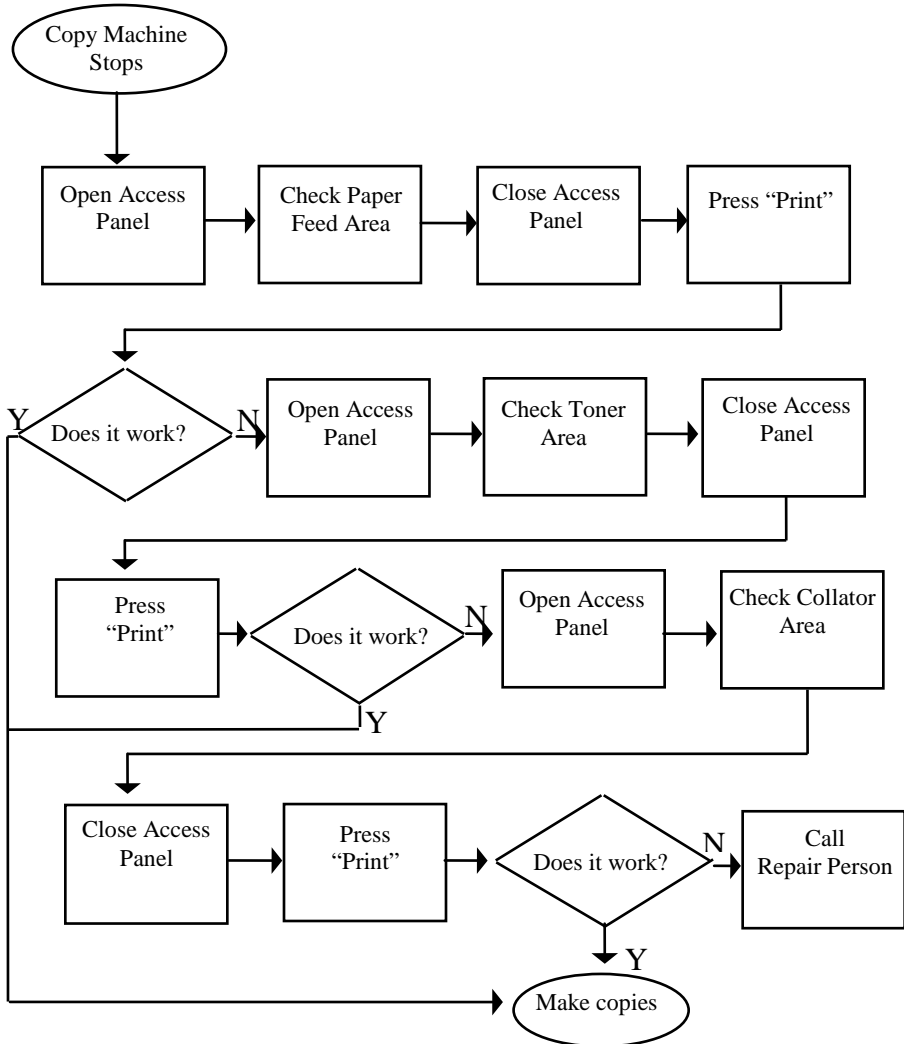
Note: It is sometimes more efficient for the group to develop the major elements of the process than to create a more detailed and aesthetically pleasing flowchart.

These are standard flowchart symbols:

This symbol...	Represents...	Some examples are...
	Start/Stop	<ul style="list-style-type: none">◆ Receive trouble report◆ Receive input from supplier
	Decision Point	<ul style="list-style-type: none">◆ Approve / Disapprove◆ Accept / Reject◆ Yes / No
	Activity	<ul style="list-style-type: none">◆ Drop off travel voucher◆ Open access panel
	Document	<ul style="list-style-type: none">◆ Fill out a trouble report
	Connector (to another page or part of diagram.)	
	Database	<ul style="list-style-type: none">◆ Coast Guard Business Intelligence (CGBI)

Flowchart example:

Scenario: A copy machine suffered frequent paper jams and became a notorious troublemaker. Often a problem could be cleared by simply opening and closing the access panel. Someone observed the situation and flowcharted the troubleshooting procedure:



Force Field Analysis

Force field analysis helps identify key forces that promote or hinder the solution of a problem or the achievement of a goal.

How to use it:

1. **Define the objective.** Place the problem or goal to be analyzed in the upper right corner of the chart.
2. **List the forces.** List the key factors that promote or hinder the achievement or goal or the resolution of the problem. Use an idea-gathering technique to independently create two lists: one for promoting forces and one for hindering forces.
3. **Prioritize.** Prioritize the forces in each list according to their relative impact on the problem or goal. To prioritize, use Nominal Group Technique (NGT) (see page 147-148) or some other decision-making tool.
4. **Implement.** Create an action plan to minimize the key hindering forces and maximize the promoting ones.

Force Field Analysis example:

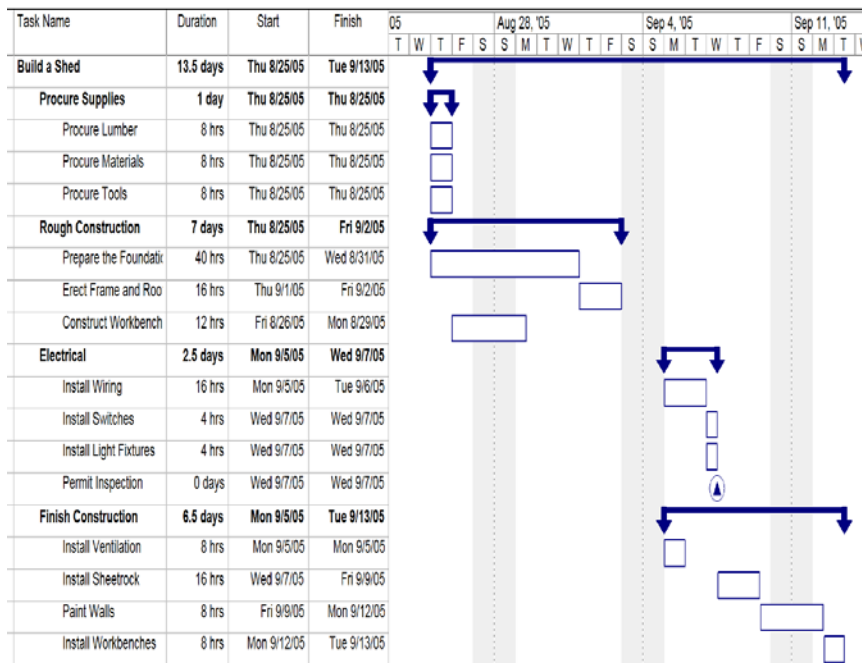
Goal: Get a College Degree	
Promoting	Restraining
<ul style="list-style-type: none">• Unit support• ESO support• Tuition assistance• Family support• Credit for military experience & courses	<ul style="list-style-type: none">• Job responsibilities• Operational tempo• Hard to study at home• Family responsibilities• Poor study habits

Gantt Chart

A Gantt chart depicts an overall project timeline, lists tasks required for project completion, and visually illustrates task dependencies. Project managers often include other key information such as task responsibilities (who is responsible for task completion) and resource requirements.

How to use it:

1. **Identify the work that must be accomplished.**
2. **Plot the time required for each task.** Be sure to note which tasks are dependent on others, and if the required resources are available at that time. The overall plot can help managers determine the total project time required and monitor task completion.




Gap Analysis

Gap analysis is used to identify how to close the gap between the current situation/problem and the desired situation/solution. It can help with problem solving and planning either before or after making a decision.

How to use it:

1. Explain and explore the current situation and the desired situation.
2. Compare these to define the gap and the changes needed to reach the desired situation/solution.

Gap Analysis example:

<i>Current:</i> <i>Where are you now?</i>	<i>Gap to be closed:</i>  <i>Actions or Impact:</i>	<i>Desired Situation:</i> <i>Where do you want to be?</i>
--	--	---

Histogram

A histogram is a bar graph that shows the central tendency and variability of a data set. Histograms are sometimes referred to as frequency distributions. A histogram can help:

- Understand the variability of a process
- Quickly and easily determine the underlying distribution of a process

How to use it:

1. **Determine the type of data to collect.** Be sure that the data is measurable (e.g., time, length, speed).
2. **Collect the data.** Collect as many measurable data points as possible. Collect data on one parameter at a time. Check sheets may be used but are not the only way to collect data for a histogram.
3. **Count the total number of points you have collected.**
4. **Determine the number of intervals required.** Use this table to determine how many intervals (or bars) the graph should have.

<i>If you have this # of data points...</i>	<i>Then use this # of intervals</i>
less than 50	5 - 7
50 - 99	6-10
100 - 249	7 - 12
More than 250	10 - 20

5. **Determine the range.** Subtract the smallest value in the data set from the largest. This value is the range of the data set.

6. **Determine the interval width.** Divide the range by the number of intervals. Round up answers to a convenient value. For example, if the range of the data is 17 for 9 intervals, then the interval width is 1.88. Round this to 1.9 or 2.0. It is helpful to have intervals defined to one more decimal place than the data collected.
7. **Determine the starting point of each interval.** Use the smallest data point value as the first interval starting point. The starting point for the second interval is the sum of the smallest data point plus the interval width. For example, if the smallest data point is 10 and the interval width is 2, then the starting point for the second interval is 12. Label intervals along the horizontal axis.
8. **Plot the data.** Count the number of data points that fall within each interval and plot this frequency on the histogram. Keep in mind that each data point can appear in only one interval. For example, if the first interval begins with 10.0 and the second with 12.0, then all data points that are equal to or greater than 10.0 and less than 12.0 are counted in the first interval.

Helpful hints:

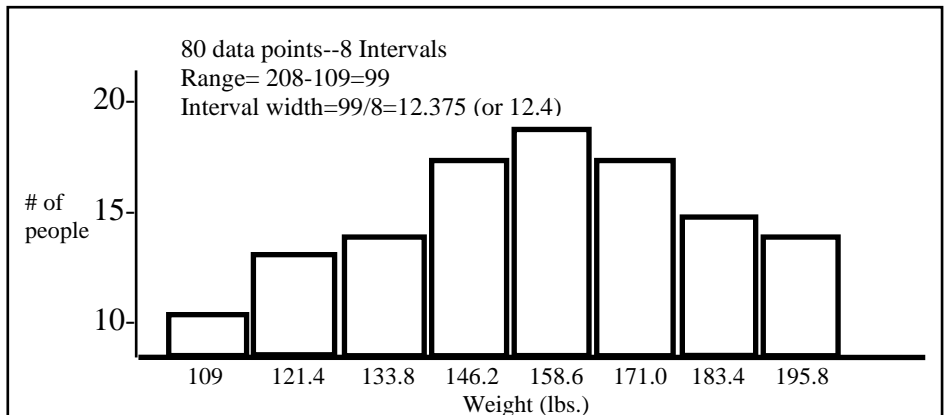
- Each data point appears in only one interval.
- The number of intervals can influence the pattern the data will take.
- The histogram will not be a perfect bell curve; variations will occur. See if the picture is reasonable and logical. Be careful not to let preconceived ideas influence decision making.

Histogram example:

The weights of 80 Coast Guard members are listed in this table:

208	180	159	163	159
155	180	165	149	127
159	171	141	190	159
153	181	180	137	161
115	156	173	165	191
159	109	179	145	144
150	206	166	188	165
127	130	172	180	147
145	150	156	171	189
190	200	208	169	139
130	128	155	185	166
165	187	159	178	169
147	150	201	128	170
189	163	150	158	180
139	149	185	129	169
175	189	150	201	175

The points are distributed on a histogram as follows:



Kano Model

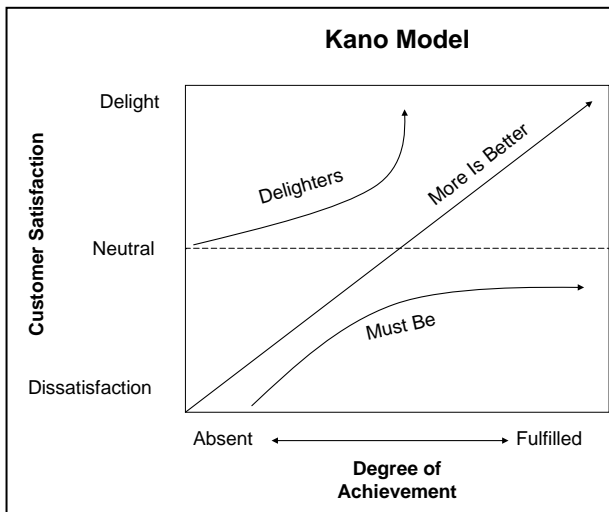
The Kano model examines factors that contribute to customer satisfaction. Some factors, if not fulfilled, lead to dissatisfaction, but if fulfilled will not delight the customer. For example, if a car does not run or is unreliable, it will lead to dissatisfaction. However, a car that simply runs will not delight the average person.

There are also features where more is better, such as car features like air conditioning, power windows, seats, and door locks, a CD player, etc. These factors may lead to dissatisfaction, but in the case of a fully loaded car, contribute to delight.

Finally, there are delighters. In terms of today's cars, these might include GPS, luxury upgrades, or others that make the buyer say "Wow!" Customers, not suppliers, determine delighters.

Next, consider television sets. In the 1950s, few TVs had a remote control; remotes were delighters back then, especially for the kids who were constantly being told to get up and change the channel! Today a remote is a must-have item; not

having one may lead to dissatisfaction but having one will not necessarily lead to delight—although features integrated into newer remotes may add that "Wow!" factor.



Multi-Voting

Multi-Voting is a way for a group to determine which items in a list are most important. This technique helps you:

- Pare down a larger list into a manageable few
- Separate the vital few items from the important many

How to use it:

1. **Combine like items.** This prevents splitting votes for essentially the same thing.
2. **Letter the choices.** This makes tabulating the votes easier.
3. **Use the half-and-half rule.** Each person gets a number of votes equal to approximately half the number of items on the list (10 votes for a 20-item list). Then each person gets up to half the number of votes to place on any one item (if each person has 10 votes, then the maximum number they can assign to one item is five).
4. **Vote.** Have each member vote privately on a slip of paper for the items they believe have high priority.
5. **Compile the votes given to each item.** If planning is done beforehand, this can be time for a group break! Put a mark beside each item for every vote it receives.
6. **Reduce the list.** Highlight the items that received the most votes.

Helpful hints: Multi-Voting is best suited for larger groups and long lists. Its simplicity makes it quick and easy to use. Be sure to get consensus on the final results. This is not a final decision-making tool!

Multi-Voting Example:

Scenario: District staff members attended a lot of meetings and complained that the meetings were not always productive. The Chief of Staff held a brainstorming session to find the reasons for unproductive meetings:

Reasons for Unproductive Meetings
A. No agendas
B. No clear objectives
C. Going on tangents
D. Too long
E. Too much protocol/politics
F. Wrong people
G. Not enough data provided before meeting
H. No administrative support
I. Roles of participants not clear

To reduce this list to a manageable size, each member was given five votes (approximately half of the total number of items). Each member was allowed to assign a maximum of three votes to any one item.

The reasons received the following votes:	
A. ///	F. /////
B. //	G. ///// /////
C. ///	H. //
D. ///// /////	I. ///// ///
E. ///	

The group then decided to focus on D, G, and I.

Nominal Group Technique

Nominal Group Technique is a method to prioritize items in a list. Nominal Group Technique helps:

- Prioritize a list of ideas
- Make decisions using inputs from all participants

How to use it:

1. **Assign a letter to each idea.** For example, for seven ideas, you would assign the letters A through G.
2. **List the letters.** Have each person in the group write the assigned letters on a piece of paper.
3. **Prioritize the lists.** Have each person prioritize their list by writing a number beside each letter. If there are seven ideas, then “1” is written beside the letter corresponding to the most important idea. This is repeated for each number until “7” is written beside the letter corresponding to the least important idea. Each number (1 through 7) is used only once by each group member.
4. **Compute the group total for each letter.** The letter with the lowest score is the idea with the highest priority, and the letter with the highest score has the lowest priority.

Nominal Group Technique example:

The following office problems were identified in a brainstorming session:

- A. Ineffective organizational structure
- B. Poor communications outside the office
- C. Lack of training
- D. Poor communications within the office
- E. Unclear mission and objectives
- F. Poor distribution of office mail
- G. Lack of feedback on reports on management

Each group member then wrote the letters A through G on a piece of paper and prioritized each problem from 1 to 7 (lowest to highest), using each number only once. The results were summarized as follows:

Options	Person					Total	Priority
	1	2	3	4	5		
A	6	5	7	5	6	29	6
B	3	2	4	1	3	13	3
C	1	1	2	2	2	8	1 Highest Priority
D	4	4	5	6	4	23	4
E	7	7	6	7	5	32	7 Lowest Priority
F	2	3	1	3	1	10	2
G	5	6	3	4	7	25	5

* Results are like scoring in Golf, the Lowest Number wins!

Pareto Chart

Pareto charts are bar charts used to separate the vital few from the trivial many. The Pareto Principle is a rule of thumb which states that “20 percent of the problems have 80 percent of the impact.” The 20 percent of the problems are the “vital few” and the remaining problems are the “trivial many.” A Pareto chart can help:

- Separate the few *major* problems from the many possible problems to focus improvement efforts
- Arrange data according to priority or importance
- Determine which problems are most important using data, not perceptions

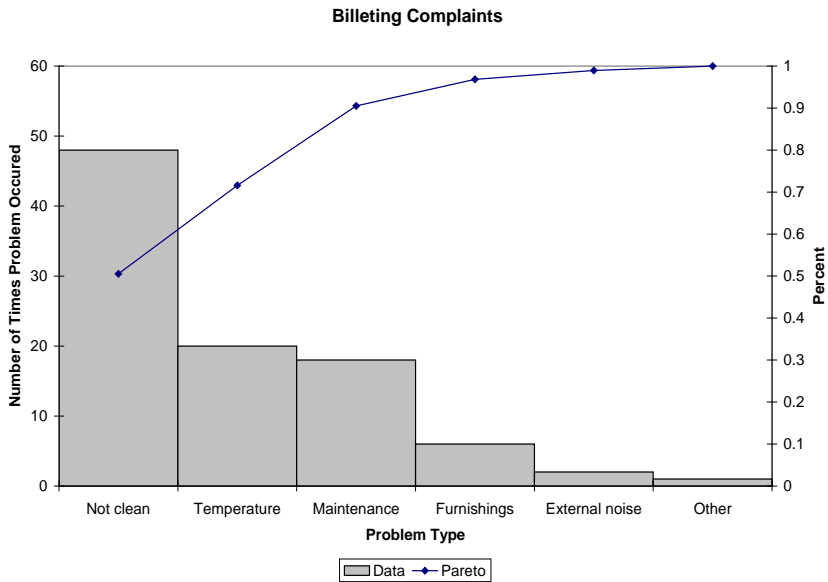
How to use it:

1. **Use existing metrics or collect new data on the process.** Be sure the units of measure are consistent throughout the data. Select attributes to be charted so that any given occurrence will fall into just one category. Check sheets are great sources of data for building a Pareto.
2. **Label the chart.** Label the units of measure on the left vertical axis and the categories of problems on the horizontal axis.
3. **Plot the data.** Order the categories according to their frequency, not their classification. Use a descending order from left to right. Categories that appear infrequently, or in comparatively small numbers, can be grouped together in an “Other” category.
4. **Optional.** You can place a line that represents a cumulative total above the bars along with a percentage scale along the right vertical axis.

Helpful hints:

- Determine which type of measure is most important (\$, #, %, etc.) and clearly mark these units on the chart
- Order categories from left to right, in descending order, to highlight impact
- If the “Other” category accounts for more than 25% of the problem, break it down

Pareto Chart example:



Progressive Analysis: Progressive analysis takes one category from the Pareto chart and breaks it down into its subparts, progressing from the general classifications to the specific. It is used when the category has many subparts to it that might be affecting it. The resulting bar graph is a Pareto chart which can then be broken down even further.

Project Requirements Table

A project requirements table can help prioritize tasks in terms of musts, wants, and nice-to-have items and establish project scope.

How to use it:

1. List the project customer requirements in the “musts” column.
2. List deliverables that the customer wants, but are not requirements, in the “wants” column.
3. List items that would delight the customer in the “nice” column. Customer requirements, as well as time and resource constraints, will help guide project scope.

Project Requirements Table example:

Project: Build Storage Facility		
Musts	Wants	Nice
<ul style="list-style-type: none"><input type="checkbox"/> 5,000 sq. ft.<input type="checkbox"/> Secure access<input type="checkbox"/> Separate unit storage cages<input type="checkbox"/> Heavy-duty shelving<input type="checkbox"/> Large garage door<input type="checkbox"/> Energy-efficient lighting<input type="checkbox"/> Fire equipment	<ul style="list-style-type: none"><input type="checkbox"/> Air conditioning<input type="checkbox"/> Garage door opener<input type="checkbox"/> Water fountain	<ul style="list-style-type: none"><input type="checkbox"/> Finished interior<input type="checkbox"/> Light sensors

Project Responsibility Matrix

A project responsibility matrix can help project managers coordinate the completion of tasks.

How to use it:

1. List all tasks for the project under the tasks column. If necessary, use additional sheets. Typically, project managers will assign the same letter or number used to identify tasks from a work breakdown structure (WBS) or other planning tool.
2. List the project team members or other individuals who will complete or support the completion of each task under the project contributors heading. Consider also those individuals that must be notified prior to task start.
3. Fill out the matrix by assigning task responsibilities to each person.

Example of typical headings and values:

Project:	Revision Date:			Completion Date:		
Manager:	Project Contributors:					
Tasks:						

Responsibility: 1 = Key Role, 2 = Support Role, 3 = Must Notify

Run Chart

Also called a trend chart, a run chart is a graph that shows the changes in a process measured over time. It can help:

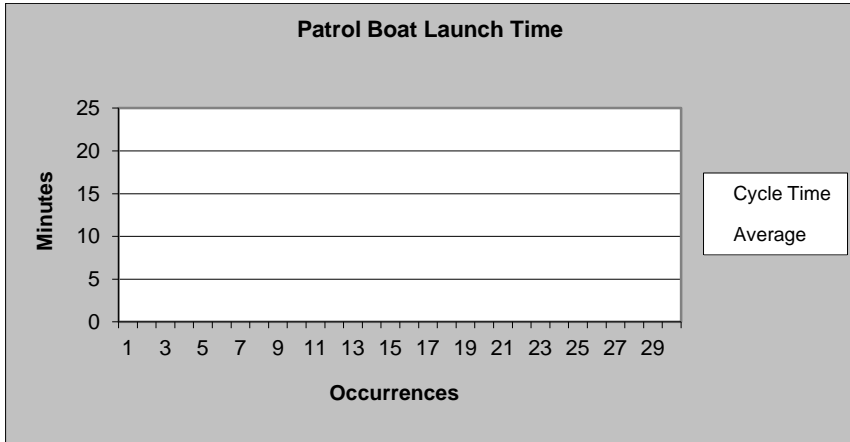
- Recognize patterns of performance in a process
- Document changes over time

How to use it:

1. **Construct the chart.** Label the vertical axis with the key measurement of the process being measured.
2. **Collect the data.** Collect data for an appropriate number of time periods, in accordance with your data collection strategy.
3. **Plot the data.** Plot each data point on the chart. This provides a reference for drawing conclusions about individual data points.
4. **Calculate and plot the average.**
5. **Interpret the chart.**

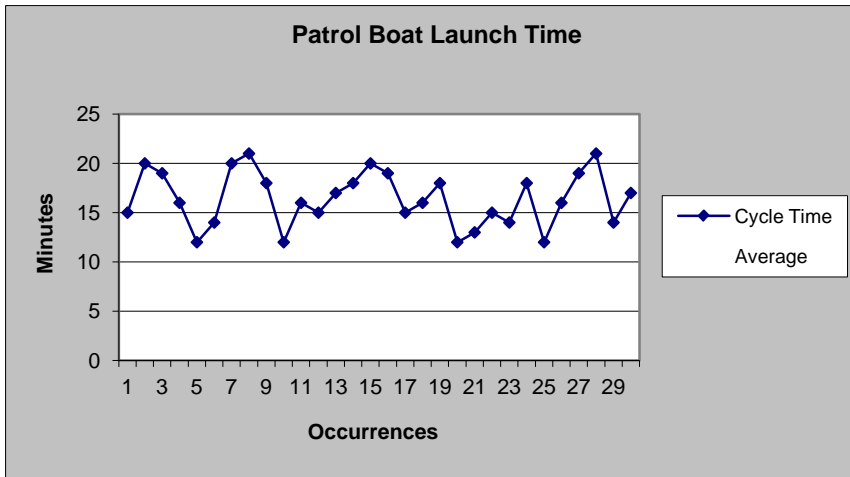
Run Chart example:

1. Construct the chart. In this case, the unit is looking at its launch time in minutes.

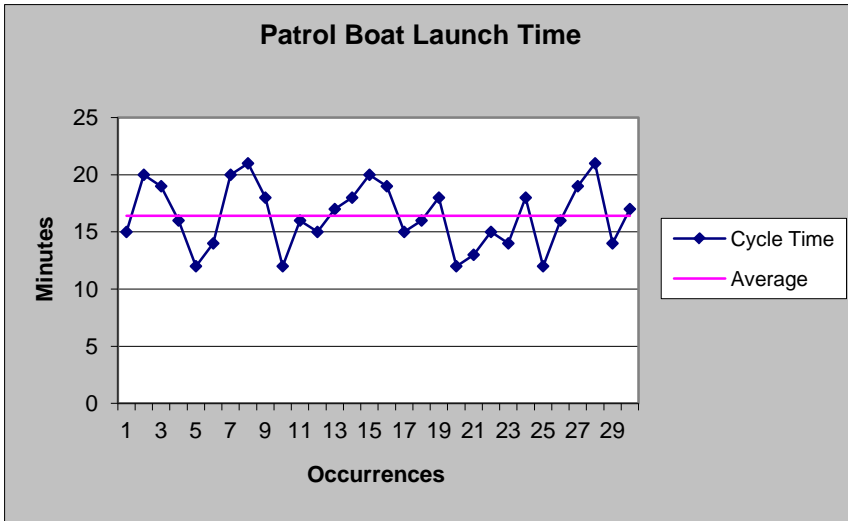


2. Collect the data (not shown). Data collection is often done on a check sheet, logbook, or spreadsheet.

3. Plot the data. Plot each data point on the chart in the order it was collected (as it occurred in time).



4. Calculate and plot the average. The average is the sum of all the data points divided by the number of points.



5. Interpret the chart. In order to properly interpret the data, there are a few things you to know.

First, how was the data collected? Was it collected specifically for this purpose or as the byproduct of some other process? What emphasis was given to this data collection effort? Was it verified by a second collection method or source? These questions are important for data integrity. The closer the data is to reality, the better the analysis.

Second, is the process being measured stable? In other words, did the same process generate all the data? When multiple people accomplish the same objective, they often use different processes. If this is the case, the data will not be a true reflection of a single organizational process and the analysis may be affected as a result. Another example how a change process can be used to create a data set is initiating a process improvement effort. If, during the data collection, the process is altered (installing new machines or improving existing techniques), the data will need to be divided as shown on the following page.

A stable process will generate different values; this difference is called **variation**. **Common cause variation** is the difference in numbers generated by a stable process. **Special cause variation** generates a value outside of the normal range of numbers and is discussed in the Control Chart section.

If the data integrity is satisfactory and the data-generation process was/is systematic and repeatable, interpret the chart.

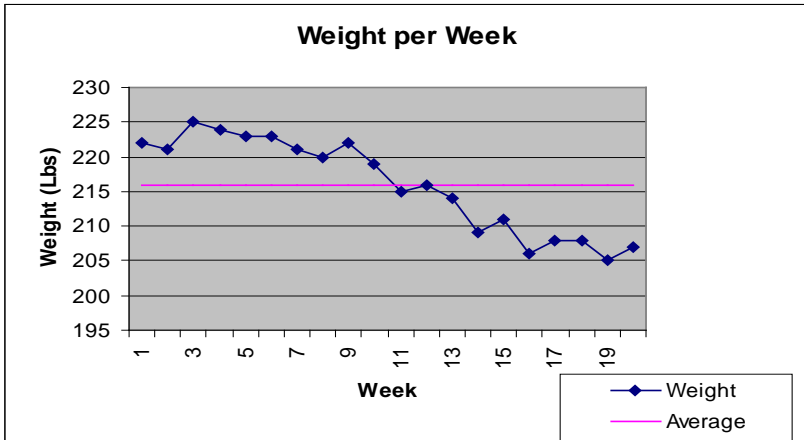
To begin, look for signs that the process has significantly changed. There are three basic ways to do this:

- Six points in a row that steadily increase or decrease.
- Nine points in a row on the same side of the average.
- Significant shifts in levels, cyclical patterns, and bunching of data points.

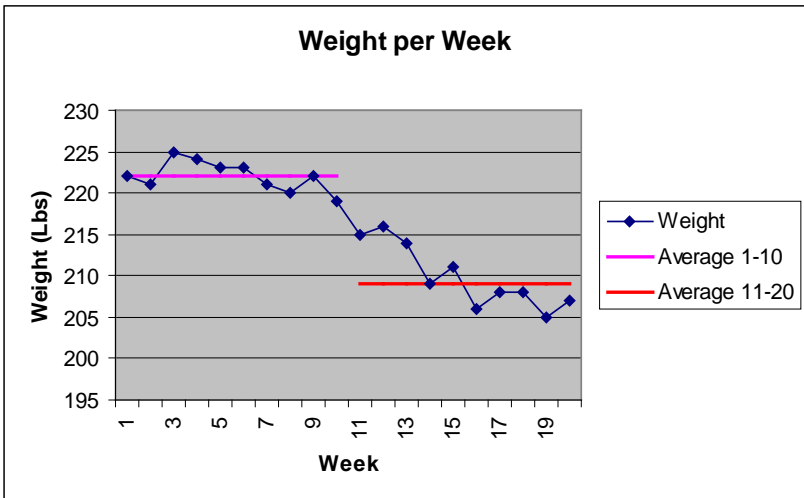
If any of these can be seen on your chart, explore what happened to the process to cause the change. Positive changes should be documented and institutionalized. Negative changes should be analyzed and their root causes corrected.

Next, identify the range within the data set. Is the difference between the highest and lowest points on the chart acceptable? Even if the chart shows only a few points too high or too low, see if the process needs to be improved or redesigned. If the range is acceptable and the process is stable, there should be no need to change the process.

The chart below shows more than nine points above the average line indicating a change in the process. Root cause: In week 11, the individual measured on this chart began training for a marathon.



A more descriptive way to display the data might be to separate the stable process from the new process and assign each its own average (see chart below). Expect to see the second average drop as the new process stabilizes.

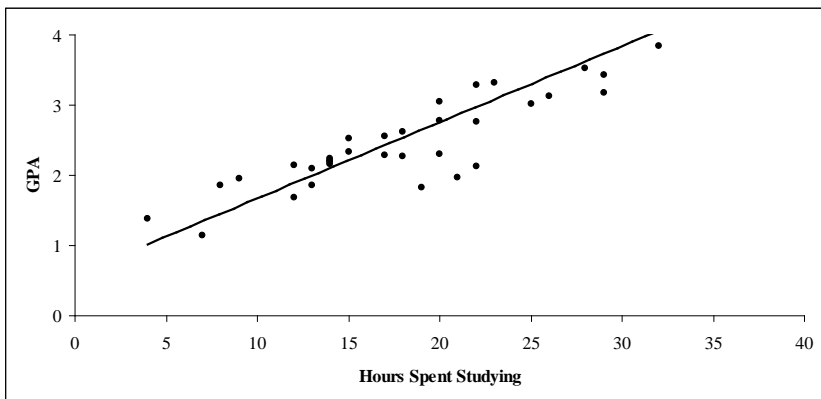


Scatter Diagram

A scatter diagram is a graph that can reveal a possible relationship between two variables. Use it to identify possible causes of problems and to recognize how one important variable might be related to another.

How to use it:

1. **Collect the data in pairs.** A data pair consists of two different variables that appear to have a relationship.
2. **Construct the graph.** Label the horizontal and vertical axes in ascending order. Ensure that the values on the two axes correspond to the data pairs.
3. **Plot the data.** Plot each point and look for patterns. Circle repeated points. The figure below gives an example.



If there appears to be a relationship between two variables, they are said to be **correlated**. This means that a relationship exists, not that one variable causes the other. Further analysis using advanced statistical techniques can quantify how strong the relationship is between two variables.

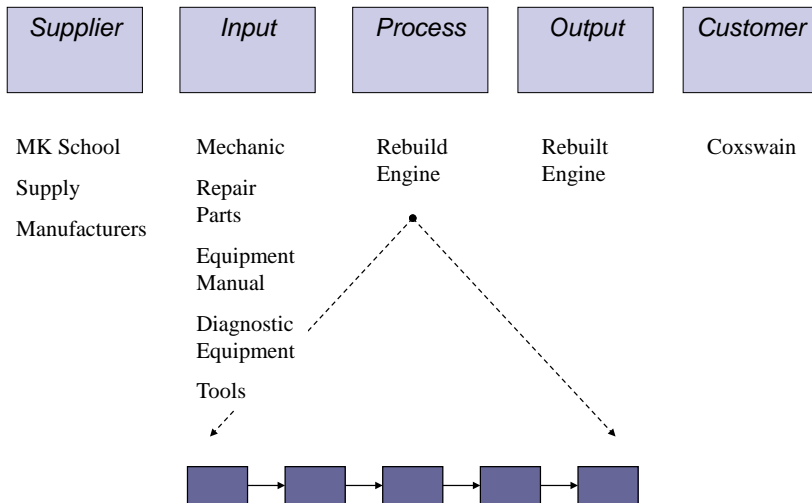
SIPOC

SIPOC (see pg 74-76) is shorthand for Supplier, Input, Process, Output, and Customer. It enables a group to identify customer requirements and factors that affect a given process.

How to use it:

1. Describe a process in verb-noun format. For example: conduct boarding, fix equipment, or fill prescription.
2. Create a high-level flowchart of the process. A good rule of thumb is to identify 5-7 steps. A flowchart shows how inputs are transformed into outputs.
3. List outputs; identify customers, customer segments, or stakeholders that receive each output; list inputs; and identify suppliers that provide each input.

SIPOC



A SIPOC can help identify and address sources of variation which affect outputs and ultimately the customer. Variation is present in all processes. It comes from the inputs to the process and is also generated within the process itself. When identifying inputs to the process, consider the “6 Ms” which are six key sources of variation: methods, manpower (personnel), materials, machinery, Mother Nature (environment), and measures. For service processes, the 4 Ps may be more useful: policy, procedures, plant, and people.

If, during an analysis of a process, an input is found to be a root cause of the problem, work with the associated supplier to correct the problem.

Measures of efficiency and effectiveness can help monitor process health. See Performance Measures for more information page 77.

Stakeholder Analysis

Use a stakeholder analysis to identify stakeholders and potential risks during any project that involves change.

Names	Strongly Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive

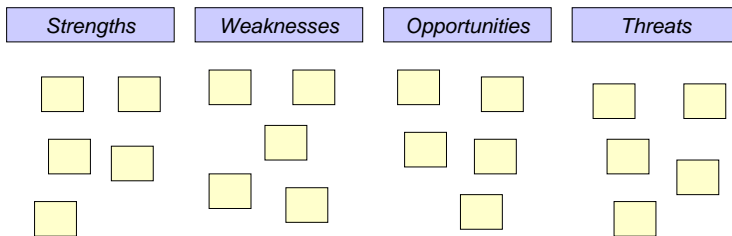
How to use it:

1. Plot where individuals currently are with regard to desired change (✓ = current).
2. Plot where individuals need to be (X = desired) in order to successfully accomplish desired change—identify gaps between current and desired.
3. Indicate how individuals are linked to each other; draw lines to indicate an influence link using an arrow (→) to indicate who influences whom.
4. Plan action steps for closing gaps.

SWOT Analysis

SWOT (see pg. 24) Analysis is a method of performing an environmental scan that is often used as an input to a strategic or project plan. It allows a group to capitalize on their strengths, identify weaknesses, take advantage of opportunities, and identify threats.

SWOT Analysis



SWOT analyses take both an internal and external view. The strengths and weaknesses categories are looked at from an internal perspective (internal to the group or unit), while the opportunities and threats categories are looked at from an external perspective (external to the group or unit).

How to use it: Two common methods for conducting a SWOT analysis are silent brainstorming and round-robin.

Silent Brainstorming

Silent brainstorming means that there is no discussion until the entire group stops brainstorming. Have each participant write their ideas on 3x5 sticky notes using fine-point permanent markers, one idea per sticky. Concentrate on one category of the SWOT at a time, and post the notes on a piece of labeled chart paper as participants generate them. This way, participants can feed off of other ideas. Twenty minutes per category is a good rule of thumb for this method. Some of the best ideas will surface after a lull in activity, so avoid rushing the process. After the group has completed brainstorming, assign several members per category to group and label the items. Check in with the group regarding the results.

Round-Robin

Label four charts: strengths, weaknesses, opportunities, and threats. Split participants into four groups and assign a chart to each group. Have group members write their ideas on 3x5 sticky notes using fine-point permanent markers, one idea per sticky. Have them post the ideas as they go. Assign a timekeeper and rotate groups so that they are assigned a new chart at previously agreed-upon intervals. Five minutes per category is a good rule of thumb for this method. As groups rotate, they must read the ideas generated by previous groups, then add their own ideas. After the entire cycle, assign several members per category to group and label the items. Check in with the group regarding the results.

Why Technique

Asking, “Why?” repeatedly allows the peeling away of symptom layers to get to the heart of an issue. This technique also helps show how different causes of a problem may be related.

How to use it:

1. Describe the problem in specific terms.
2. Ask why it happens.
3. If the answer doesn't identify a root cause, ask why again. You have identified the root cause when asking why doesn't yield any more useful information.

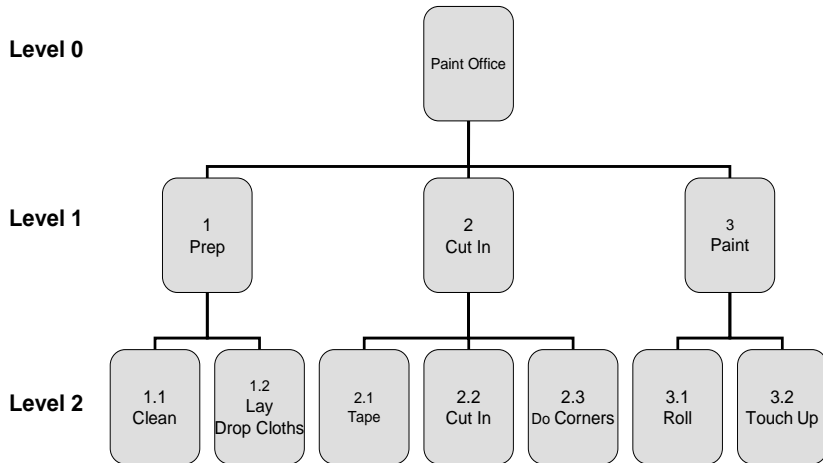
Points to remember:

- Focus on the process/aspects of a problem, rather than on the personalities involved. Finding scapegoats does not solve problems!
- Answers to each successive “why” may require gathering additional information.
- A problem may have more than one root cause. In this case, the key is to address the causes that have the most impact.

Work Breakdown Structure (WBS)

A WBS is used to identify the work to be done and the scope of a project.

Work Breakdown Structure (WBS)



How to use it:

1. Prior to defining the work to be accomplished, gather relevant information regarding customer and stakeholder requirements, as well as available resources.
2. Identify the work that needs to be accomplished in appropriate sized chunks called “work packages.” This is best accomplished in a small group setting, since different people will have a different perspective on the work that needs to be done. A simple way to accomplish this task is to use 3x5 sticky notes and chart paper. Arrange the stick notes in a tree fashion.

There are two general approaches to identify the work: top-down and bottom-up. In the top-down approach, begin at Level 0 with the overall project. Then, break work down into categories beginning at Level 1 and down to further levels as appropriate. Typically, smaller projects will not go beyond Level 4. A good rule of thumb is to break each work package down so that each does not exceed 80 hours. This is known as the 80-hour rule.

3. Once the overall work is identified, a common way to formalize the WBS is to put it in outline format. Work packages can be identified by number, levels, and tasks. For example, tasks at Level 1 may be labeled 1, 2, 3, and so on; tasks at Level 2 may be labeled 1.1, 1.2, 1.2, and so on. Each task can then be assigned appropriate personnel, budget, and a due date.
4. More complex projects may require the use of specialized scheduling tools such as activity network diagrams (ANDs) or Gantt Charts; other project planning or implementation tools; or project management software.

GLOSSARY

Acronym	Definition	Description
ABC	Activity-Based Costing	Measures the costs of work activities and the products and services that satisfy customers, influence outcomes, and achieve goals.
CPC	Commandant's Performance Challenge	A facilitated self-assessment done by Coast Guard units to assess their leadership and management practices compared to the CPEC.
CPEC	Commandant's Performance Excellence Criteria	The Coast Guard's management model based on the Malcolm Baldrige National Performance Excellence Criteria.
CTQ	Critical to Quality	Links customer needs from voice of the customer (VOC) data collection efforts and enables the project team to get more specific information that cascades in a "tree" format.
DMAIC	Define Measure Analyze Improve Control	Problem-solving model used in Six Sigma Projects.
DOE	Design of Experiments	A Six Sigma tool used to test multiple causes in a systematic way so that causal relationships within a process can be determined.
DPMO	Defects Per Million Opportunities	Six Sigma represents 3.4 DPMO or 99.9997% accuracy; 3.8 Sigma represents 10,700 DPMO or 98.9% accuracy.

Acronym	Definition	Description
ESC	Executive Steering Committee	Sometimes used to describe the most senior management team in an organization. See also SLT.
FADE	Focus Analyze Develop Execute	A problem-solving model introduced to the Coast Guard in 1991 by the consulting firm ODI.
FMEA	Failure Mode and Effects Analysis	Used to identify specific ways that a process, product, or service may fail. Once this is understood, countermeasures can be developed to mitigate the potential failures.
HA	Hamilton Award	A rigorous award program modeled after the Malcolm Baldrige National Quality Award. Commands/Staffs that achieve mature management levels through their CPC efforts can become eligible for this award program.
LDC	Leadership Development Center	The U.S. Coast Guard's training center and clearinghouse for leadership and management training and performance improvement.
NGT	Nominal Group Technique	A decision making tool that prioritizes your ideas.
NWG	Natural Working Group	A team that works around common processes or functions within an organization.

Acronym	Definition	Description
PDCA	Plan Do Check Act	The elemental problem-solving model made popular by Dr. W. Edwards Deming in the mid-1900s to bring scientific problem-solving discipline into management practices.
QAT	Quality Action Team	A team chartered to work on solving a specific problem or improving a process.
QMB	Quality Management Board	Sometimes used to describe a team of mid- to higher-level managers in an organization who oversee improvement areas within a specific functional area.
SIPOC	Supplier Input Process Output Customer	A basic model used in process management activities to delineate all the components of a process.
SLT	Senior Leadership Team	Sometimes used to describe the most senior team in an organization. See also ESC.
VA/NVA	Value-Added / Non Value Added	Used in process improvement to distinguish between the steps in a process that are most critical.
VOC	Voice of the Customer/Client	A Six Sigma tool used to understand key drivers of customer satisfaction.
WIIFM	What's In It For Me	A key concept in change management, WIIFM helps employees see why the change is important and can help them.

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TABLE OF TOOL USAGE

Frequent • Occasional o

Tool	Generate Ideas	Collect Info	Analyze Info	Make Decisions	Display Info	Plan
Action Planning						•
Affinity Diagram	•		o			
Brainstorming	•					
Cause & Effect			•			
Charter						•
Check Sheet			o			
Consensus Cards				•		
Contingency Diagram	o					•
Control Charts			•	•	•	
Critical-To-Quality Tree		•				o
Customer Rqmts Matrix		•	•			
Decision Matrix				•		
Flowchart			•			
Force Field Analysis						•
Histogram					•	
Kano Model	•					o
Multi-Vote				•		
Nominal Group Technique				•		
Pareto Chart			•		•	•
Project Rqmts Table						•
Proj Responsibility Matrix						•
Run Chart					•	
Scatter Diagram			•	•	•	
SIPOC			•			
Stakeholder Analysis						•
SWOT Analysis						•
Why Technique			•			
Work Brkdown Structure						•

TABLE OF TOOL USAGE (DMAIC) Frequent • Occasional o

Tool	Define	Measure	Analyze	Improve	Control
Action Planning	•	o		•	
Affinity Diagram	o	o	o	o	o
Brainstorming	•	•	o	•	•
Cause & Effect			•		
Charter	•				
Check Sheet		•			
Contingency Diagram				o	
Control Charts		•	•		•
Critical-To-Quality Tree	•	•			
Customer Rqmts Matrix	•				
Decision Matrix			•	•	
Flowchart	•	•	•	•	
Force Field Analysis				o	
Histogram		•	o		
Kano Model	•				
Multi-Vote	•	•	•	•	•
Nominal Group Technique				•	
Pareto Chart		•	•		
Project Rqmts Table	o			•	
Proj Responsibility Matrix	o			•	
Run Chart		•	o		
Scatter Diagram		•	o		
SIPOC	•				
Stakeholder Analysis	•				
SWOT Analysis	•				
Why Technique			•		
Work Brkdown Structure	•			•	

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