

DEPARTMENT OF HOMELAND SECURITY  
UNITED STATES COAST GUARD

**S**emper **P**aratus

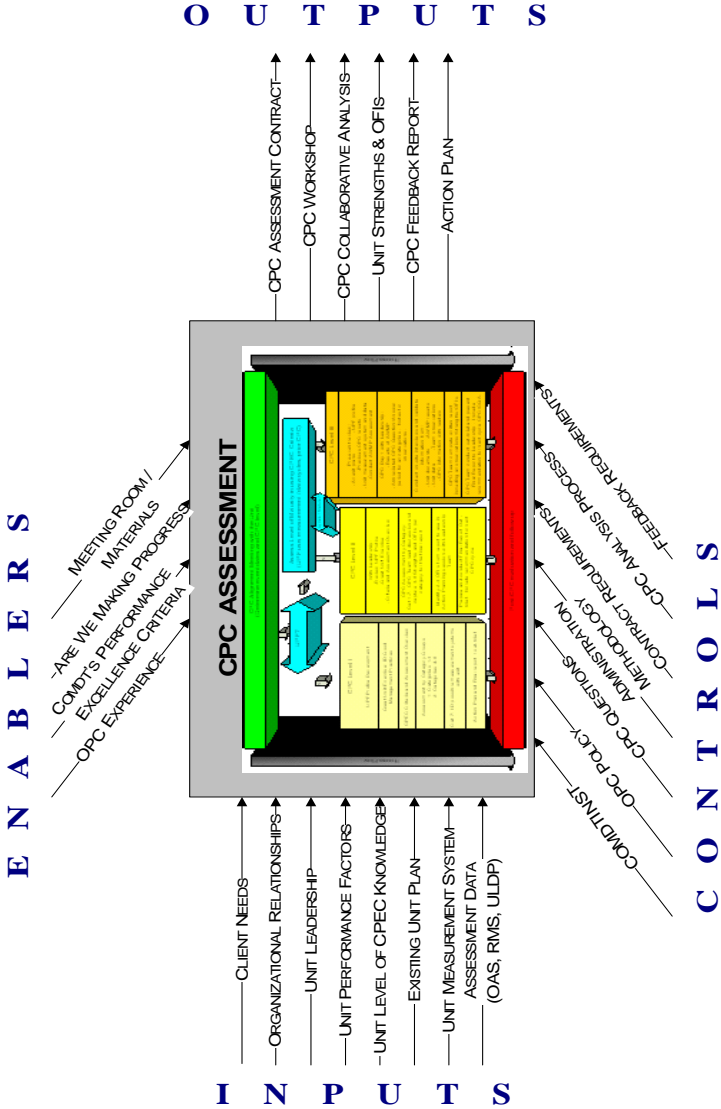


COMMANDANT'S PERFORMANCE  
CHALLENGE

**CPC**  
**Assessments**

# CPC ASSESSMENTS

## CONTEXT DIAGRAM



# CPC ASSESSMENTS

## CHECKLIST

### Contracting:

(Based on CPC 1/2 Assessment Process)

<input type="checkbox"/> Contact the Command	<input type="checkbox"/> Schedule Alignment meeting with CO/XO <input type="checkbox"/> Request advanced copy of the unit UPF profile <input type="checkbox"/> Research unit and gain insight/details about it <input type="checkbox"/> RMS info, ULDP progress, OAS results, etc.
<input type="checkbox"/> Determine CPC Level Assessment	<input type="checkbox"/> Interview command (see Selecting CPC Assessment below) <input type="checkbox"/> Make level determination <input type="checkbox"/> Tentatively schedule a date for the unit CPC
<input type="checkbox"/> Hold Alignment Meeting	<input type="checkbox"/> Determine special needs/scheduling issues and develop an agenda <input type="checkbox"/> Discuss any immediate concerns the CO/XO might have <input type="checkbox"/> Determine logistics responsibilities

### Pre-Workshop:

<input type="checkbox"/> Look after Team Logistics	<input type="checkbox"/> TONOs issued and orders completed <input type="checkbox"/> Flight, hotel, and ground transportation reservations <input type="checkbox"/> Unit POC information established <input type="checkbox"/> Logistics for Pre-Workshop CPC Team Meeting setup
<input type="checkbox"/> Address Leader Responsibilities	<input type="checkbox"/> Assemble CPC Kit and pack out <input type="checkbox"/> Prepare for Pre-CPC Workshop Team Meeting <input type="checkbox"/> Prepare/Review opening remarks

### Workshop:

<input type="checkbox"/> Conduct Workshop and Recap nightly	<input type="checkbox"/> Compile all team member notes taken during the day <input type="checkbox"/> Identify the most significant 2 to 4 strengths/opportunities <input type="checkbox"/> Identify approach and deployment levels for the categories covered <input type="checkbox"/> Gain consensus on and complete the Facilitator Recommendation <input type="checkbox"/> Review Systemic Issues and Proven Practices <input type="checkbox"/> Review results information captured for each category <input type="checkbox"/> Discuss the strategies and roles for the next day
<input type="checkbox"/> Deliver a complete report to the unit	<input type="checkbox"/> All Strengths and OFIs <input type="checkbox"/> Executive Summary with overarching Strengths and OFIs <input type="checkbox"/> Action Plan <input type="checkbox"/> CPC Workshop Evaluation forms and/or Web site <input type="checkbox"/> Systemic Issues/Proven Practices forms and/or Web site <input type="checkbox"/> Any recommendations for further services/interventions

### Post-Workshop:

<input type="checkbox"/> Submit Evaluations	<input type="checkbox"/> Team Members <input type="checkbox"/> Unit CPC/CQA Recommendation <input type="checkbox"/> Prompt unit for Systemic Issues and Proven Practices
---	--

## CPC ASSESSMENTS

**DESCRIPTION:** A collaborative workshop that evaluates an organization against the CPEC to identify *Strengths* and *Opportunities for Improvement (OFIs)*. The process produces an Action Plan to address OFIs and identifies Coast Guard systemic issues that impede performance and unit-proven practices that may be shared with others.

**USE THIS TOOL:** Units may request assessments to determine employee satisfaction, leadership competency, or the overall quality climate. Others may ask QPCs to help them discover problem root causes. Whatever the reason, there are several standard assessments that can be used.

**DEGREE OF DIFFICULTY:** *Beginner to Practitioner Level*

---

## SELECTING A CPC ASSESSMENT

---

TO DETERMINE THE APPROPRIATE CPC LEVEL, DISCUSS THE FOLLOWING WITH THE UNIT

1. **UPF Profile Development (Who and When)**
  - UPF Deployment throughout the unit
2. **Leadership Team Makeup**
3. **Level of Criteria Knowledge/Application/Experience at the Unit**
4. **Unit Vision, Mission, and Existing Plans**
  - Deployment throughout the unit
5. **Unit Measurement Systems**
  - Customer Requirements/Satisfaction
  - Employee Training and Development
  - Employee Satisfaction
  - Mission Effectiveness
6. **Review of RMS, OAS, ULDP, and Other Assessment Data**
  - Use the measurement systems
  - Measures and results deployment throughout the unit
7. **Other Information as Appropriate**

## CPC Assessments

The table below illustrates the key distinguishing features of various CPC Assessment services. This may be used as a guide to determine the proper level of assessment for an individual unit.

Characteristic	Assessment		
	CPC 1	CPC 2	CPC 3
Pre-work	<ul style="list-style-type: none"> <li>• Minimal</li> <li>• Logistics</li> </ul>	<ul style="list-style-type: none"> <li>• UPF Worksheet</li> <li>• Document Prep</li> <li>• Logistics</li> </ul>	<ul style="list-style-type: none"> <li>• UPF Worksheet</li> <li>• Documentation to CPCs for Review</li> <li>• Logistics</li> </ul>
Format	Workshop	Workshop	Site Visit
Duration	2 days	3 days	5 days
Assessment Process	<ul style="list-style-type: none"> <li>• UPF Workshop</li> <li>• Segment Assessments</li> <li>• Action Planning</li> <li>• Final Report</li> </ul>	<ul style="list-style-type: none"> <li>• UPF Review</li> <li>• Category Assessments</li> <li>• Action Planning</li> <li>• Final Report</li> </ul>	<ul style="list-style-type: none"> <li>• Document Review</li> <li>• Brief Category Assessment</li> <li>• Interviews</li> <li>• Action Planning</li> <li>• Final Report</li> </ul>
CPC Experience	<ul style="list-style-type: none"> <li>• Novice with CPC-Experienced Lead</li> </ul>	<ul style="list-style-type: none"> <li>• Practitioner-Lead</li> <li>• Novice as Team Member</li> </ul>	<ul style="list-style-type: none"> <li>• Master-Lead</li> <li>• Practitioner as Team member</li> </ul>

---

# CPC ASSESSMENT AGENDA

---

<b>Kickoff</b>	<b>Day 1 (approximately 8½ hours)</b>	
	Introductions/Briefing	½ hour
	CPEC and CPC 2 Process Overview	1 hour
	Warm-up: Great Unit Exercise	½ hour
<b>Category Processing</b>	Category 1 Processing	1½ hours
	Category 2 Processing	1½ hours
	Lunch	1 hour
	Category 3 Processing	1½ hour
	Category 4 Processing	1½ hour
	Wrap-Up Day 1	½ hour
	<b>Day 2 (approximately 5½ hours)</b>	
	Warm-Up and Review	½ hour
	Category 5 Processing	1½ hour
	Category 6 Processing	1½ hour
	Category 7 Processing	1½ hour
Wrap-Up Day 2	½ hour	
<b>Report Writing and Action Plan</b>	Lunch	1 hour
	Facilitator Team Finalize Report	3 hours
	<b>Day 3 (approximately 3 hours)</b>	
	Action Plan Development	2 hours
	Out Brief and Wrap-Up	1 hour

## Sample CPC Assessment Agenda

---

# GENERIC CPC KICKOFF

---

KICK OFF THE WORKSHOP BY SETTING THE STAGE FOR THE CATEGORY REVIEW – COVER THE FOLLOWING MATERIAL

## AGENDA AND GROUND RULES

- Overview of CPC Process
- Post Ground Rules
- Parking Lot

## UPF PROFILE REVIEW

- Review the UPF profile with the leadership team
- Ensure consensus for the information captured within

## CPEC OVERVIEW

CPC vs. CQA (CPEC Power Point)

- Emphasize Criteria Core Principles linked to management systems
- Emphasize CPEC Category Relationship Model (Baldrige Burger)
- Relate both to the UPF Profile

## CPC CATEGORY PROCESSING OVERVIEW

Discuss the three sections of Category Processing

- Pre-work (education and link criteria, UPF, and unit management)
- Category questions/assessment (identify and document – Strengths/OFIs)
- Post-work (identify Proven Practices/Systemic Issues and a POC; check expectations and Parking Lot issues)
- Review the contents of the Participant Workbook

## GROUP WARM-UP EXERCISE

Depending on total number of participants, break into teams of two or three persons maximum. Complete the exercise using the below Facilitator Guide information and use the results from this warm-up as reference material during the “Ideal Unit” exercise within the category pre-work. **Note: This should directly connect Ideal to something the team has experienced.**

---

# GROUP WARM-UP EXERCISE TIPS

---

## USE THE WARM-UP EXERCISE DURING THE “KICKOFF” PORTION OF THE CPC WORKSHOP AS AN ICEBREAKER

1. Capture the information on a flipchart or the poster below. You may want to identify the category that the condition might fit into: e.g., Leadership (1), Measurement, Analysis, and Knowledge Management (4).
2. Refer the team back to the “Conditions” list (Favorite Team Exercise poster) when developing the Ideal Unit portion of the category pre-work.
3. When assisting the team with developing an action plan, refer to the poster. This will assist them with identifying conditions, ideas on re-creating those conditions, and available resources they have aboard the unit. This customized approach may help to sustain their efforts.
4. Tailor this tool so that it fits your circumstance and presentation/facilitation style.

**Poster:** It is recommended that the following table be produced as a poster so the information is visible during the CPC category pre-work, category work, and action planning sessions.

Conditions that Existed	Re-creating the Unit Environment	Related CPEC Category Number

*Note: The Group Warm-up is not mandatory. The Facilitator may opt to drop this exercise depending on the team’s level of understanding and the facilitator’s comfort with the process.*

---

# CATEGORY PROCESSING

---

USE THE FOLLOWING FLOW WHEN EVALUATING EACH CATEGORY OF THE CPEC CRITERIA

## OVERVIEW OF THE CATEGORY

Read the category overview and area to address for each category, found on the following Reporting Log. (See the current CPEC criteria for detailed description.)

## PRE-WORK

1. Review UPF. Which areas of your UPF specifically relate to each category?
2. Revisit Ideal Unit. What would the “Ideal CG Unit” be demonstrating in these categories? (Note: Refer to the warm-up information to assist.)

## EXAMPLE RESPONSES:

1. Customer input and feedback as part of unit planning.
2. Clear communications in different forms, up and down the chain of command. Workforce input to the planning process.
3. Clearly communicated long-range and short-range plans; specific action plans with finite completion dates and responsible person(s) identified.
4. Collection and analysis of all available information being reported. Analysis reviewed regularly by the leadership team and plans adjusted accordingly.

## QUESTION RESPONSE AND RECORD

1. Discuss as a group the unit information pertaining to the categories using the category questions.
2. Capture notes pertaining to this discussion. Capture three to five strengths and opportunities for improvement (OFIs) for each category.
3. Validate these areas and clarify the information as necessary.

## REVIEW STRENGTHS AND OFIs

Review with the team the information captured. Clarify as necessary, and answer any questions they may have about what is written.

## POST-WORK

1. Discuss possible data/information that would assist in monitoring the status of each category (measures/results). Link this discussion to any data/information the unit is already capturing/tracking. This could include reports being provided to outside commands and or District/Area/HQ as part of reporting requirements. (**Note:** Capture this information on the Matrix Work Sheet found in the *CPC Facilitator's Handbook*.)
2. Discuss the concept of Systemic Issues and Proven Practices. Record any discovered during the category processing.
3. Briefly discuss the approach and deployment concept within their system for the categories.
4. Relate the Strengths and OFIs back to their UPF Profile to emphasize the direct link between their UPF and the categories within the CPEC criteria.
5. Review and note any Systemic Issues and/or Proven Practices.

## PARKING LOT ISSUES AND CONCERNS

Visit any possible Parking Lot issues and/or concerns that may have arisen during this category.

# **To Gain a Deeper Understanding**

## **WRITE THE ORGANIZATIONAL PROFILE**

Completing the Organizational Profile can help ensure a common understanding of what is important for your organization, the key influences on how your organization operates, and where the organization is headed.

Many organizations start with the Organizational Profile and progress gradually to more detailed levels of self-assessment and action. If through preparing an Organizational Profile, you identify topics for which conflicting, little, or no information is available, it is possible that your first self-assessment need go no further. These gaps can be the starting point for action to develop a better understanding of your organization.

---

# REPORT WRITING AND ACTION PLANNING PROCESS

---

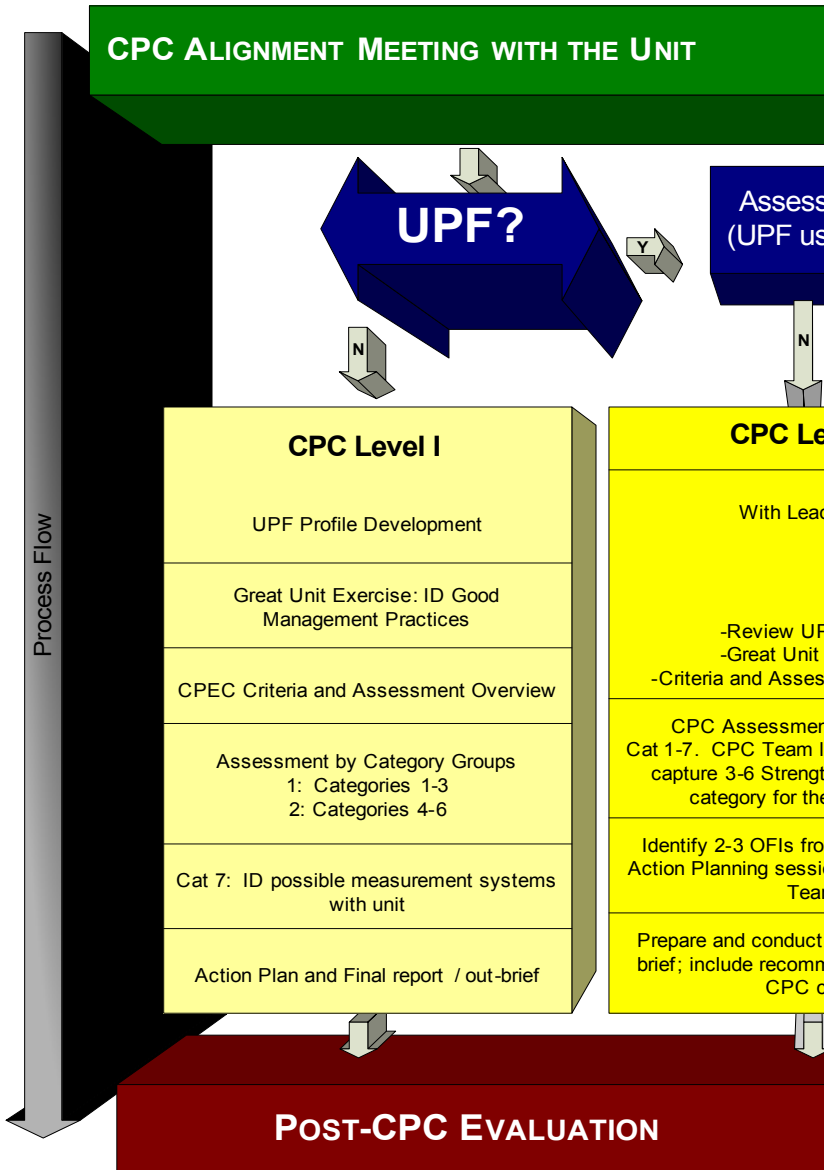
## IN PREPARATION FOR THE ACTION PLANNING SESSION, REVISIT THE WORKSHOP MAJOR POINTS

1. UPF profile development. Leadership should refine and validate the information captured in the UPF.
2. Take the information discussed within the CPC categories, identify Opportunities for Improvement, and take action to improve those areas.
3. Evaluate the information collected for both internal and external use; identify the few that will provide easy-to-use *at a glance* information to support the decisions and direction the team is providing to the entire unit.
4. Finalize all CPC Assessment Outputs into a final report.
5. Develop a short *Action Plan* using the process outlined in the *CPC Facilitator's Handbook*. The Plan may lead to follow-on OPC work.

## Collaborative Assessment Workshop: Final Report

Section	Description
Executive Summary	Summarizes the contents of the report. Highlights the significant Strengths and Opportunities for Improvement.
Category Summaries	Lists the key factors that pertain to the specific Category, as well as Category Strengths and OFIs.
Results Matrix	Identifies potential measures for each Category. Helps the unit develop key measures and identify data currently available.
Summary of Key OFIs	A list of the top three OFIs from each Category to be used during the Action Planning phase of the workshop.
List of OPC Services	List of interventions the OPC offers, sorted by Category, that may be incorporated in to the unit's Action Plan.
Action Plan	List of activities to address specific OFIs, as well as their risk assessment, assigned implementation leads, resources required, key dates, and project update.

# CPC ASSESSMENT



# MENT PROCESS

(DETERMINE EVENT DATES & CPC LEVEL)

Level of Maturity in using CPEC Criteria  
(e.g., measurement / data cycles, prior CPC)

Cycles / Mature?

## CPC Level III

### CPC Level II

Leadership :

UPF Profile  
Exercise  
Assessment Overview

Report by Category:  
Lead discussion and  
findings and OFIs per  
the final report

Team report to use in  
discussion with Leadership  
Team

Final Report out -  
Recommendation for next  
cycle

Pre-event review :  
-All unit plans      -UPF profile  
-Previous CPC results  
-Unit measurement system and data  
-Conduct AWMP Assessment

CPC Day 1 with Leadership :  
-Results of AWMP  
-Abbreviated CPC Question/Answer  
period for all categories ; notes for  
observations

Conduct on-site interviews and validate  
information from :  
-Unit documents      -AWMP results  
-Unit data      -Team observations  
-CPC information with leaders

CPC Team complete written report  
including all observations /Strengths/OFIs

CPC Team conduct out-brief and present  
Final Report to Leadership ; include  
recommendation for next cycle CPC/CFAs

Process Flow

AND FOLLOW-UP

---

# CPC LEVEL 3 PROCESS OVERVIEW

---

The CPC Level 3 Assessment is a combined Workshop/Site Visit. The workshop with the Leadership Team is completed in a shortened time frame by eliminating the Category Pre/Post-Work and capturing the leadership's top Strengths/OFIs in an abbreviated format. This information is then validated through an extensive interview process. The workshop flows as follows:

## **DAY 1 AM**

### **AGENDA AND CPC 3 OVERVIEW**

- CPC with Leadership Team
- Review of documentation and unit measurement system
- Crew interview process

### **IN-BRIEF, AWMP REVIEW, AND CPC CRITERIA OVERVIEW**

- Review AWMP results with the Leadership Team.
- Leadership Team discuss questions in each CPC Category.
- Leadership and Facilitation Team capture Strengths & OFIs.
- Discuss and review additional documentation and note Leadership Team concerns or issues.

## **DAY 1 PM** **TEAM A**

- Interview unit measurement system manager and review unit measures.
  - Analyze presented results and note Strengths and OFIs for Category 7.
  - Review measures to ensure the major areas of Category 7 are represented and note gaps.
  - If not already presented, assist in linking unit measures to the Key Factors, UPF, Strategic Plan, etc.
  - Review any documents referenced by pre-work review.

## **DAY 1 PM** **TEAM B**

- Conduct Crew Interviews using the prepared questions.
  - Conduct individual or focus group interviews (as appropriate \*).
  - Interview across all crew segments (rank, rate, department, tenure etc.).
  - Interview individuals (CMC, ESO, Training Officer, etc.).
- Emphasize a desire to document crew recommendations for performance improvement.

- Document any observed Proven Practices/Systemic Issues, and note the POC for details.

### **DAYS 2-3** TEAMS A AND B

- Conduct Crew Interviews using the prepared questions.
  - Conduct individual or focus group interviews (as appropriate \*).
  - Interview across all crew segments (rank, rate, department, age, tenure etc.).
  - Interview individuals (CMC, ESO, Training Officer, etc.).
- Emphasize the desire to document crew recommendations for performance improvement.
- Document any observed Proven Practices/Systemic Issues, and note the POC for details.

*\*Note: If using focus groups, ensure that supervisors and subordinates are not in the same group. Consider having one focus group of all supervisors.*

### **DAY 4** TEAM A AND B TOGETHER

- Meet off-site to compile information and complete the CPC Report.
  - AWMP results and charts
  - Strengths and OFIs identified
  - Crew recommendations
  - CPC Team analysis and recommendations
  - Proven Practices and Systemic Issues that are noted; include POCs

### **DAY 5** CPC TEAMS AND UNIT LEADERSHIP TEAM


- Out-brief the final report to the Leadership Team.
- Develop Action Plan as appropriate with Leadership Team.
- Wrap up.



---

## USEFUL TOOLS

---

The following tools – templates, forms, worksheets, calculators, slide decks, facilitator notes, etc. – are included in the following references or on the accompanying compact disc .

<b>Tool</b>	<b>Reference</b>
<i>CPC Facilitators Handbook</i>	 Organizational Assessments Toolset



---

# REFERENCES

---

## INTERNAL USCG REFERENCES

U.S. Coast Guard. U.S. Coast Guard Process Improvement Guide (U.S. Coast Guard Quality Institute Staff, 2005).

U.S. Coast Guard. U.S. Coast Guard CPC Facilitators Handbook (U.S. Coast Guard Quality Institute Staff, 2005).

U.S. Coast Guard. U.S. Coast Guard Commandant's Performance Excellence Criteria Guidebook (U.S. Coast Guard Quality Institute Staff, 2005).

U.S. Coast Guard. U.S. Coast Guard Are We Making Progress? Assessment Tool (U.S. Coast Guard Quality Institute Staff, 2005).

## EXTERNAL REFERENCES



Brown, M. Baldrige Award Winning Quality (ASQ Press, 2006).

Block, P. Flawless Consulting (University Associates, Inc., 1981).

U.S. Department of Commerce. Getting Started with the Criteria for Performance Excellence: A Guide to Self-Assessment and Action (National Institute of Standards and Technology, 2005.).

U.S. Department of Commerce. Baldrige National Quality Program, Criteria for Performance Excellence (National Institute of Standards and Technology, 2006).

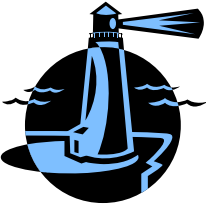


NIST Quality Web site: <http://www.quality.nist.gov/>

---

# TERMS AND DEFINITIONS

---



*The CPEC “provides a common framework for making sense out of all of the theories, tools and approaches that are part of running an effective organization.”*

**Assessment:** The process of collecting information to determine how the organization is functioning or to diagnose problems; assessment data is to be shared with the client to jointly determining the best strategy for change or actions to improve performance.

**CPEC:** Commandant’s Performance Excellence Criteria; based on the NIST criteria for the Baldrige National Quality Award; used to assess a unit’s management system to illuminate ways to improve performance.

**Collaborative Workshop:** A process that leverages the experience, expertise, and knowledge of two different groups in assessing the organization’s strengths and opportunities for improvement. For the CPC, the two groups include CPC Facilitators, who are experts on the Criteria for Performance Excellence, and the unit leadership, experts in their own operational and administrative processes.

**Feedback:** Information reported to the client regarding actual system activity, performance, or results. Usually occurs after a period of observation or as a result of analysis of data gathered from surveys, interviews, or focus groups.

**Strength:** A process that meets the requirements of the CPEC. Strengths tend to be systematic, address the organization’s key challenges, and are aligned with its strategies and operational philosophy.

**Opportunity for Improvement (OFIs):** A process that is not evident or does not appear to meet the requirements of the CPEC. OFIs tend to be inconsistent or ad hoc in nature and have little linkage or alignment with what is going on within the organization. They may also manifest themselves as poor deployment of potentially effective approaches.









## BALDRIGE FOCUS

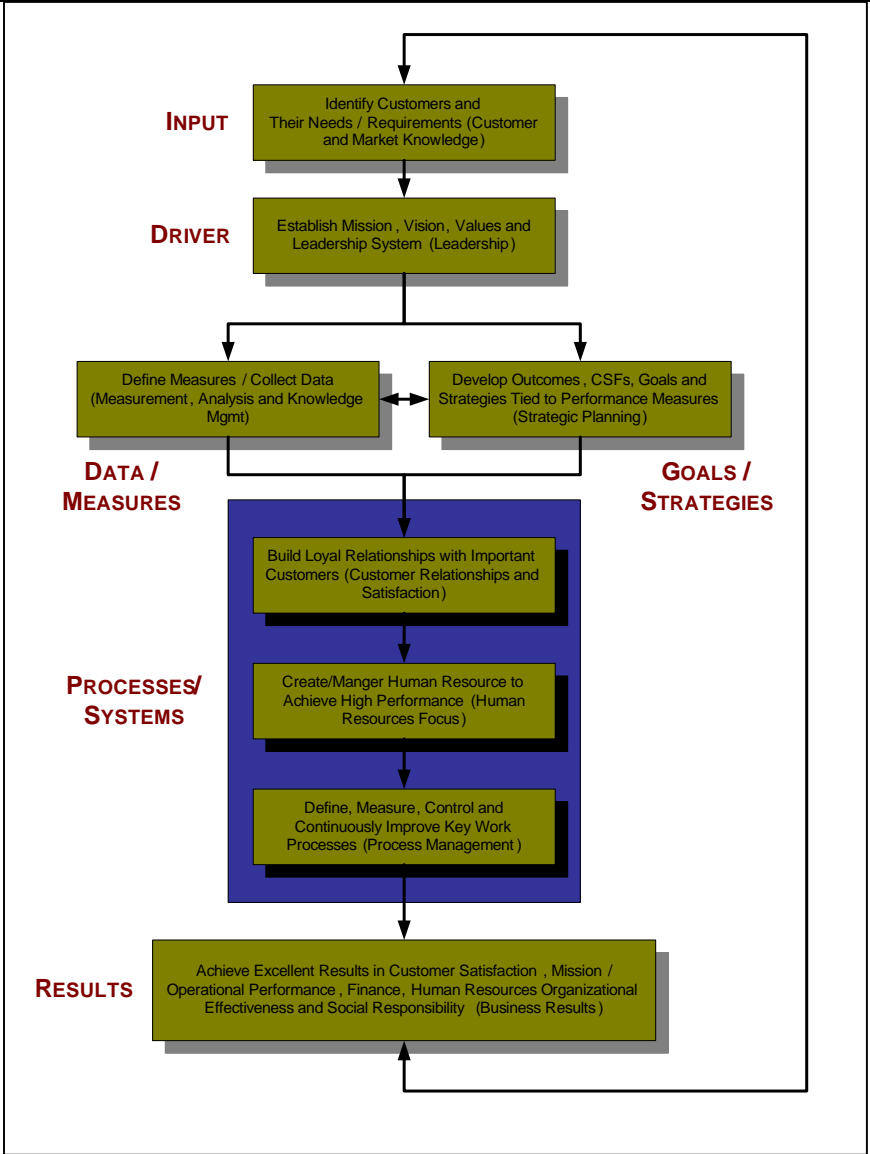
Is the unit ready to introduce the Baldrige Criteria to its organization and looking for a way to begin? Does it need to convince others in its organization of the value of conducting an assessment?

The Commandant's Performance Challenge (CPC) helps units:

- Learn about the Criteria;
- Learn about Coast Guard management methods;
- Identify their Strengths and Opportunities for Improvement;
- Develop an action plan for improvement;
- Identify and capture Proven Practices and Systemic Issues.

*The Commandant's Performance Challenge provides entry-level Criteria for command and staffs using the Commandant's Performance Excellence Criteria (CPEC). While CPEC is best suited to mature management systems and requires cycles of review and improvement, the CPC focuses on foundational elements of a sound, integrated management system.*

# BALDRIGE LINK



**AIM Consulting Associates, LLC**

5 Shaw's Cove, Suite 204

New London CT 06320