

DEPARTMENT OF HOMELAND SECURITY  
UNITED STATES COAST GUARD

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



**O**rganizational  
**P**erformance **C**onsultant

**F**ield **G**uide

# CHANGE MANAGEMENT

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# INTRODUCTION

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## BACKGROUND

In 1994 the Coast Guard established the Organizational Performance Consultant (OPC) Program to help integrate quality management principles into its work. Since the Program's inception, unit commanders, and staff chiefs have sought performance improvement help in many forms, such as leadership, management and quality training; project management; performance assessment; strategic alignment; specialized facilitation; process improvement; and measurement.

As the Coast Guard evolved its use and understanding of quality principles, it adopted the Malcolm Baldrige National Quality Award Criteria for Performance Excellence as its management framework. The Coast Guard's version of the Baldrige criteria, the Commandant's Performance Excellence Criteria (CPEC), has been the focal point of QPC work for the last five years. Because of the organization's exposure to CPEC and its related Commandant's Performance Challenge (CPC) workshops, Commanding Officers now request OPC assistance for a wide variety of services. The Program office is challenged to standardize these services and the tools, practices, and processes upon which they are based. This field guide is intended to address this challenge.

## GUIDING PHILOSOPHY

### CONTROL AND STANDARDIZATION

The OPC Field Guide is meant to provide high-level, yet specific, guidance to OPCs in the field, working on their own without direct oversight and supervision. At the same time, the guide provides a degree of control and standardization for the OPC Program. Although some OPCs may view this approach as an intrusion into their autonomy and independence, from a program standpoint it is absolutely crucial to ensure commonality of purpose.

### KNOWLEDGE, UNDERSTANDING, AND SERVICE

This guide defines the knowledge, understanding, and service requirements for OPCs. With the guide, an OPC can focus on offering a specific set of services, become proficient with them, and extend this capability to a broad set of clients. The guide provides a starting point upon which to build. It can be easily integrated into previously defined OPC levels of expertise and certification; training, education, and development; and marketing and advertisement.

## FIELD GUIDE LAYOUT

This field guide is divided into five major sections, eleven *subject-matter* booklets, and a tools compact disc. The five major sections cover the key aspects of organizational performance consulting and cover a common set of OPC improvement interventions.

Seven of the eleven booklets focus on *process* and provide step-by-step instructions on how to perform a specific improvement intervention, such as strategic planning or process analysis. The remaining four booklets focus on a *model* or concept, such as the Commandant's Performance Challenge (CPC) or facilitating teams.

The booklets are designed to be modular, in that they can be removed from the binder and used independently to facilitate an activity, meeting, or improvement effort. Below is a brief description of the booklets in each major section.

### SECTION 1: HOW WE HELP OUR CUSTOMERS

**Booklet 1: Aligning with Our Clients.** This booklet provides guidance on the OPC–Client relationship. At the outset of any planned change effort, an OPC should take a proactive approach to aligning with the client. By establishing a collaborative relationship and a clear understanding of how the change process will be approached, an OPC can better assure the change effort's success.

### SECTION 2: ASSESSMENTS

**Booklet 2: CPC Assessments.** CPC Workshops provide a collaborative way for entry-level commands and staffs to learn to use the Commandant's Performance Excellence Criteria (CPEC). While CPEC is best suited for mature management systems and requires cycles of review and improvement, the Criteria used for CPC Workshops focus on foundational elements of a sound, integrated management system.

**Booklet 3: Organizational Assessments.** OPCs are often asked to perform consulting interventions to improve performance or create change. These interventions are vitally dependent upon careful organizational or functional diagnosis. Assessments are the key tool used to collect data upon which these diagnoses are made. This booklet establishes a standard assessment process in which to conduct these diagnoses.

### SECTION 3: ORGANIZATIONAL EFFECTIVENESS

**Booklet 4: Strategic Planning.** This booklet consists of process steps to facilitate a strategic planning effort. The steps in this booklet guide the consultant through strategic planning preparation, developing high-level guiding documents, defining the strategy, and setting up the systems for action planning and execution.

**Booklet 5: Action Planning.** This booklet provides guidance on facilitating action planning, particularly as it relates to strategic planning. It focuses on the *strategic project*, a key concept in executing strategy in organizations. The booklet guides the consultant through three action planning phases: 1) strategic action planning, 2) project execution and monitoring, and 3) project closeout.

**Booklet 6: Organizational Measurement.** Few managers would disagree that measurement is important to organizational success. Surprisingly, however, it is one of management's most neglected functions. This booklet describes a formal process for measurement. Using the guidance provided, crafting an effective process is not difficult if one is persistent and follows the right steps.

### SECTION 4: STAKEHOLDER ALIGNMENT

**Booklet 7: Working with Customers.** This booklet describes the Customer Service Process. It presents the models and concepts for increasing customer satisfaction and alignment, with a focus on the Baldrige criteria.

**Booklet 8: Working with Teams.** Getting work done in teams is now more important than ever. This booklet gives the OPC insight into how best to facilitate effective teams. It provides some basic models, techniques, and the theory behind team dynamics. It also describes the stages of team development and provides some diagnostic tools for gauging team effectiveness.

### SECTION 5: PROCESS EFFECTIVENESS

**Booklet 9: Process Analysis.** This booklet provides guidance on process analysis. An organization can add value simply by documenting and analyzing its processes. For example, a well-documented process can be a valuable tool in training new employees, ensuring that existing employees understand how they add value, and showing how that value contributes to the organization's strategy and goals. Process analysis tools include Stakeholder Analysis, Supplier – Input – Process – Output – Customer Analysis, and Flowcharting.

**Booklet 10: Process Improvement.** This booklet provides guidance on process improvement – that is, optimizing process performance to varying degrees and at varying speeds. The process guide walks the OPC through the process, from defining the *As-Is* to designing the *To-Be*. The booklet focuses on the process team and how it goes about effecting an improvement transformation.

**Booklet 11: Process Measurement.** This booklet provides step-by-step guidance on process measurement – determining key measurement points, constructing appropriate metrics, collecting and comparing data, and using the resulting information to make better decisions. Organizations that want to improve process performance, and the performance of their products and services, must use process-level measures to gauge performance.

## **COMPACT DISC: TOOLSETS**

The compact disc provides myriad complementary and useful tools to help OPCs make the most use of the guidance provided in the individual booklets. These include various forms, templates, instructions, questions, and examples. The tools are organized along the same lines as the field guide itself (i.e., into major sections), with each tool provided as its own separate file. The tools may be customized to meet the OPC's and organization's needs and preferences.

## **DESIGN, APPLICATION, AND USE**

### **DESIGN**

This guide is designed to be used by OPCs with varying degrees of education, skills, experience, and abilities. Some OPCs are new to the program and to organizational performance improvement. Others have advanced degrees, quality certifications, and years of experience in multiple organizations.

With this in mind, the improvement interventions detailed in each booklet are both simple and complex, depending on how they are approached and the degree to which they are undertaken and implemented. For example, an OPC at the practitioner level could undertake a process analysis intervention by working with a small team to flowchart a moderately simple intrafunctional process. Conversely, a master OPC might take on a much larger project and a very complex mission critical process crossing multiple functional boundaries. The same guidance is applicable to both situations; however, the degree of difficulty and the need for in-depth guidance is clearly different.

Understanding what this guide will, and will not, do for you is key to getting the most out of the guide. It is not meant to be all encompassing, comprehensive, or to take the place of experience and education. The following maxims will guide your efforts and help you to keep things in perspective:

***What to Expect...***

**IT WILL TAKE WORK**  
TO BECOME PROFICIENT AND CAPABLE

**YOU MUST READ THE REFERENCES**  
IF YOU WANT TO UNDERSTAND THE THEORY BEHIND THE GUIDANCE

**THIS IS A GUIDE, NOT AN INSTRUCTION**  
BOOKLETS OUTLINE THE BASIC STEPS, ALONG WITH BASIC THEORY

**YOU MUST DO THE THINKING**  
THERE IS STILL A LOT YOU WILL HAVE TO FIGURE OUT

## **APPLICATION**

OPCs must be careful not to undertake interventions for which they are not prepared. In some cases, OPCs should team up with another, more experienced OPC to learn the intervention process. Reading too much into the material presented in this guide, drilling down too deeply into the details, or taking on an intervention too complex or expansive will lead the novice or practitioner to becoming quickly overwhelmed, both by the content of this guide and by the difficulty of their effort.

***Bottom line:** Work to the level at which you are comfortable, and use the guide appropriately and as recommended.*

## **HOW TO USE THIS GUIDE**

It is very important, particularly for the OPC novice and practitioner, that this guide be used in a very specific and organized manner. Each section of the guide tells a particular story and is meant to build upon the complexity, detail, and understanding provided in the previous section. To avoid getting in over your head, we recommend the OPC follow the steps outlined in this guide; do your homework; maintain an organized and disciplined approach; and plan, prepare, and rehearse prior to engaging the client.

With this in mind, we have developed a *QUALITY approach* to using the field guide (outlined below). OPCs wanting to maximize the benefits of this field guide should adhere to this methodology.

# THE **Q U A L I T Y** APPROACH

**Q**UICKLY READ THE FOREWORD

**U**NDERSTAND THE CHECKLIST

**A**NALYZE THE CENTERFOLD

**L**EARN THE MAJOR STEPS

**I**DENTIFY SPECIFIC GUIDANCE & TOOLS

**T**AKE A LOOK AT THE MARGINS, CALLOUTS & REFERENCES

**S**TUDY, PREPARE & PRACTICE

**Q** **QUICKLY READ THE FOREWORD.** Before doing anything else, read the foreword to make sure you understand what the booklet covers, how it is laid out, and when it should be used.

**U** **UNDERSTAND THE CHECKLIST.** Next, review the checklist provided. It outlines a list of the activities in each intervention and the order in which you need to proceed. Take a few minutes to understand the intervention you are considering. Ask yourself, *Does it make sense?*

**A** **ANALYZE THE CENTERFOLD.** The centerfold constitutes the highest level flowchart or depiction of the subject intervention. You must understand the big picture before moving on to the details. Analyze the flowchart; consider each activity and what it will take to accomplish it.

**L** **LEARN THE MAJOR STEPS.** This is where the real thinking starts. Each major step is accompanied by a Level 2 flowchart and a list of important sub-steps and useful tools. If you become confused, go back to the centerfold and get your bearings. Keep your thoughts organized and the steps clear in your mind!

**I** **INVESTIGATE RELEVANT GUIDANCE & TOOLS.** Now, focus on text! Read through all the steps and then go back and concentrate on each one individually. What's most important is that you understand the process and come up with a plan for accomplishment. The text and bulleted lists provide the theory behind the steps. The tools can help you work with your team.



**TAKE A LOOK AT THE MARGINS, CALLOUTS & REFERENCES.** Finally, take a look at any margin notes or callouts provided. References to tools or other booklets may be included. They will add to your understanding and provide warnings, cautions, and even more detailed guidance.



**STUDY, PREPARE, & PRACTICE!** No one said this was going to be easy! Helping organizations to improve takes work and a knowledge base above and beyond what this simple guide can provide. So read the references, talk to your counterparts, create your own tools, and above all, study, prepare, and practice!