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18 May 2011

MEMORANDUM

A handwritten signature in black ink, appearing to read "KJ McCormack".

From: K. J. MCCORMACK, LCDR
CG Institute

Reply to: LT Kirkland
Attn of: 405-954-7232

To: COMDT (CG-133)
Thru:

Subj: 2011 SPOTLIGHT ON LEADERSHIP CAMPAIGN CONTEST

Ref: (a) ALCOAST 104/11

1. In accordance with reference (a), I enthusiastically nominate the personnel of the Coast Guard Institute for consideration in the 2011 Spotlight on Leadership Campaign Contest. The Coast Guard Institute is truly unique amongst Coast Guard units. The 34 staff members play a key leadership role in the Coast Guard Human Resource system. The Institute facilitates a crucial piece of the Coast Guard's training system through management of the End of Course Test (EOCT) preparation and administration process. It is also the sole unit designated to manage the Coast Guard's voluntary education services. The impact of these services provided by the Institute is felt by the entire Coast Guard active duty, reserve, civilian, Public Health Officer, and Auxiliary workforces as well retirees and former members who separated from the service.
2. I was one of three Institute staffers that attended the Innovation Expo in 2008 and heard Captain Mike Abrashoff presentation on his book, *It's Your Ship*. Since then, the Institute has employed principles from his book to encourage unit participation in a continuous process to refine policies and procedures. The Spotlight on Leadership Campaign was a culminating opportunity to build upon the foundation the unit lives each day. Due to the prevalent use of Captain Abrashoff's book at the unit, the senior staff decided it would pair up and each week moderate a discussion at the all hands based on the four highlighted leadership competencies and lessons learned from *It's Your Ship*. However, through discussions with the rest of the staff, it was apparent there was a desire to fully integrate all 28 of the Coast Guard Leadership Competencies into the leadership month to enhance the crew's knowledge of the leadership competencies. Therefore, each member volunteered to research a leadership competency and find a quote they believed exemplified the competency and then share that quote or quotes with the crew through email and provide a starting point for discussions on the competency. Each day from 1 to 28 April, a member was responsible for sending out an email with that day's leadership competency. The concepts we used were very simple. We just had discussions and emails, but as Captain Abrashoff states, "look for results, not salutes." The simple approach worked and primed the unit for its Alexander Hamilton Award visit the first week of May. The discussions were moving, passionate, and intellectual. They stretched beyond a simple reading of the competencies for the Coast Guard's sake and into the applicability in private lives and looked beyond our Coast Guard positions to find opportunities for improvement to be better citizens, better family members, and live full productive, purposeful lives.

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3. Followership: For our discussion on Followership, the focus was on Chapter Five, Building a Climate of Trust. An important aspect to remember from *It's Your Ship* is that each member sees the organization from a different perspective. It is critical that supervisors listen to technicians for feedback regarding procedures. In the discussion, it was brought up that the Institute's new initiative to form the Education Advisory Council with full time, collateral, and student members was an idea submitted to the Institute from the field that has paid tremendous dividends and improved the relationship between the Institute staff and the field level Education Services Officers. The Council is a means to promote effective communication, accountability, and stimulate feedback from the customer to the Institute.
4. Respect for Others & Diversity Management: The Institute is a very small unit with a very large job. The discussion focused on the need for all hands to contribute to accomplish its missions. There is no room for insensitivity towards cultural backgrounds. The unit has to remain focused on its mission to accomplish its goals. The HRC Chairperson is an empowered E3 who volunteered for the position and has held cultural observances for each of the celebrated months. He arranged a showing of the movie, *Glory*, to relate this competency with the theme from February's National African American History Month. The discussion that followed the movie focused on CAPT Abrashoff's retelling of a racial incident aboard USS Benfold and a tie in to modern racial events such as the unfortunate noose incidents experienced by both the Navy and the Coast Guard. Former Marine Corps Commandant, General Krulak's Three Vignettes on Character from the ULDP was also used to stimulate conversation on selflessness and respect for others during weekly all hands.
5. Management & Process Improvement: Since the Innovation Expo in 2008, the Institute has been pursuing the ideals set forward in the Baldrige National Quality Award. In 2010, the Institute sent 52% of the staff through Commandant Performance Excellence Criteria orientation courses and two members qualified to serve as examiners for the Alexander Hamilton Award process. Earlier this year, the Institute was one of six Coast Guard units to earn its own visit by the Alexander Hamilton Award examination team. The discussion this week focused on preparation for the examiners visit. Institute process improvement has had great success. For example, it has ushered in a true electronic tuition assistance application process that cut process time from 14 days to a very typical one day or less turn around. The process improvement and time savings enabled the Coast Guard Institute staff to more fully manage the tuition assistance funding reducing the difference between obligated funds and invoiced charges from \$1.2 million in 2008 to \$11,000 in 2010. It has also had less successful initiatives such as electronic EOCT delivery. The discussion was a frank examination of why one may have worked and the obstacles that prevented the other, but ended with the lesson that leaders don't stop and push forward to achieve goals. Leaders do not fear the customer, but crave their input set and then adjust performance goals.
6. Partnering: From full time ESOs in the field to America's 1500 colleges and universities, the list of Institute partners is extensive. This discussion highlighted the importance of our partners. Members were asked to name a partner and then briefly describe their critical role in accomplishing our mission.

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Enclosure: (1) Example of staff member participation in initiating email discussion.
 (2) Applicable portions of unit Hamilton Award package.

McCormack, Kevin LCDR

From: McCormack, Kevin LCDR
Sent: Tuesday, April 12, 2011 12:07 PM
To: CGI-DG-CG_INSTITUTE
Subject: RE: Caring for others

Thanks, Casey, really nicely done...just the right amount of moosh.

People don't care what you know, until they know that you care.

Think of those times you are frustrated by customer service...it may be due to the lack of caring on the part of the clerk. Conversely, think about it when you are providing customer service. Pay it forward. Make the community a better place. There might be zero recognition for it. Accept you make it a better place simply because that is the right thing to do.

We spend more time at the office than we do awake at our homes. It's alright to show you care about each other and the missions here. I'm very glad that you ensured Peggy knew she was appreciated at work. We are beginning the transfer season and this unit's composition will change and be different six months from now. Enjoy the conversations and camaraderie with those while they are here. This unit, this team can be a support network for its members. Like the California Dairy Association says...happy cows, make good milk.

We can uphold standards and enforce policies and still care about the individual. YN3 McGregor, for example, the leadership here did not enjoy the fact that he faced a discharge and that it came to be. I personally don't like to see that happen to any youngster. I'm sure everyone wishes him well, but understands the appropriateness of the discharge.

Remember we have "a personable sense of caring" in our vision statement. Its impressive to me that you all came up with that vision statement without the knowledge of it being one of the Leadership Competencies. That speaks well for each of your abilities as a leader.

CO

-----Original Message-----

From: Speerschneider, Casey IT2
Sent: Tuesday, April 12, 2011 8:33 AM
To: CGI-DG-CG_INSTITUTE
Subject: Caring for others

"Without a sense of caring, there can be no sense of community." Anthony J. D'Angelo -
Founder Of The Collegiate Em Powerment Company

There are a lot of reasons to treat others with care and respect. There are also a lot of quotes about the benefits of such treatment, some of them pretty mooshy. I found this one to be fitting for the Coast Guard. If you think about it, community is what the Coast Guard is all about. We serve our fellow citizens out of a sense of caring, whether it's search and rescue, drug interdiction or environmental protection. We do our job because we care about each other and our country. It's this quality of caring about each other that makes this a great place to live and makes protecting our coasts worthwhile. Likewise, it's a sense of caring for each other in the work place that makes coming to work an enjoyable aspect of our lives and something to look forward to. A sense of community within the Coast Guard is what

facilitates open communication and synergy in our teamwork. As leaders, it's important to understand that caring about each other is central to the mission.

v/r,
IT2 Speerschneider
Coast Guard Institute
5900 SW 64th St
Oklahoma City, OK 73099
(405)954-0662

2011 Hamilton Award - Key Systems

PERFORMANCE MEASUREMENT, REVIEW, AND IMPROVEMENT SYSTEM - How does your unit measure, analyze, and then improve its performance through the use of data and information at all levels and in all parts of the unit?

What this is about: *Performance* refers to outputs and their outcomes produced by your unit processes, products/services, and customers. *Performance measurement* refers to output and outcome results that allow evaluation and comparison relative to goals, standards, past results, and other organizations.

This system is concerned with how your unit selects, collects, and uses measures; use of comparisons; and keeping the overall measurement system current to ensure it meets the unit's decision-making needs. Performance measurement and regular results evaluation or *review*—supported by valid analyses—are used to assess organizational success, competitive performance, and progress relative to strategic objectives and action plans. Leaders translate review findings into priorities for improvement and innovation.

See 2009-2010 Baldrige booklet pg16 for specific Criteria requirements

Briefly describe your unit's system and/or processes. Limit your response to the shaded space below; do not add pages.

The Coast Guard Institute's performance measurement, review, and improvement system is based in data from the Training and Academia Customer Care Tracking System (TACCTS). TACCTS is a program developed and maintained by the Institute's Information Technology Division. It serves as the main interface communication tool for Coast Guard Education Services Officers and the Institute. TACCTS serves as a means for ESOs to submit their product requests and it tracks the progress of the requests. TACCTS can be queried to see which employee is producing the most, producing the quickest, and producing most accurately.

Reviews require a thorough evaluation of every step along the production process. They focus on internal process improvements by finding, correcting, and preventing potential problems including customer complaints. Command emphasis is placed on each staff member being empowered to make suggestions for improvements. It is emphasized that the processes are mechanical means for production. Changes to process are not personal, but are intended to increase efficiencies both for our customers in the field and within the industry and also internally for our own staff members. The Command speaks of a process improvement cycle. A process is developed or in place, customers are trained in that process, the process is observed, and unexpected behavior or results are examined for underlying causes. The causes are the lessons learned. The process is adjusted accordingly and then the whole improvement cycle begins again. Each customer complaint or each mistake is not a personal attack, but rather an opportunity for improvement from a lesson learned that will make the Institute stronger.

A recent example is the discontinuation in 2009 of Institute generated "degree plans" for Coast Guard members. The idea for degree plans was developed in the early 1990s. The Institute's Registrar's Office would examine a member's training record and assign the associated American Council on Education (ACE) college credits to the training. The Institute then produced degree plans for different colleges based on which schools would potentially accept the most amount of ACE credits. The Registrar's Office also has the responsibility for maintaining the ACE accreditation process. The degree plan process was very helpful to members in the years following its development. The process essentially remained the same from 1993 to 2008 despite the increase in demand for services, the development of the internet, and the advent of online colleges. By 2008, the Registrar's Office produced 33,000 transcripts annually nearly four plans per enrolled student. However, customer feedback from both members and industry school representatives was negative regarding degree plans. The dissatisfaction was examined and it was found that the diligent staff in the Registrar's Office was so overburdened by the degree plans that the ACE accreditation process was not getting enough attention. The degree plans depended upon the ACE credits. If the ACE credits were out of date, the degree plans would be out of date. It was decided to discontinue the degree plans as the more important process was the ACE accreditation process. To have out of date ACE credits, was negatively impacting the Institute's mission to provide the clearest path to the next education degree level. Additionally, during the 15 years that the degree plan process was in place, the Coast Guard had hired 49 full time professional civilian Education Services Officers. The Coast Guard Institute no longer had the need to fill the front line education counselor role as there were trained professionals in the field. Industry partners at colleges and universities were very pleased that the Institute stopped producing degree plans that were not always as accurate as they needed to be. ACE credits are only a recommendation for schools. They are not guaranteed. Degree plans are a function of the school in conjunction with the student. The Institute as a third party was not needed in the process. The important role for the Institute was to ensure ACE credits were up to date and that as many Coast Guard training courses as possible had been reviewed for credit. The Registrar's Office staff was refocused on ACE accreditation.

This best describes our system:	<input checked="" type="checkbox"/> System is in place; reviewed and improved	<input type="checkbox"/> Assorted set of processes
	<input type="checkbox"/> System is in place	<input type="checkbox"/> Few-to-no documented processes in place
	<input type="checkbox"/> System designed & understood, not fully implemented	<input type="checkbox"/> Not a relevant system for us

2011 Hamilton Award - Key Systems

WORKFORCE AND LEADER DEVELOPMENT SYSTEM - How does your unit develop its workforce members, including leaders, to achieve high performance?

What this is about: *Workforce* refers to the people actively involved in doing your unit's work. It includes permanent, temporary, volunteer, and part-time personnel; any contract employees that your unit supervises; and, team leaders, supervisors, and managers at all levels. Address contractor-supervised people as part of your larger work systems in the PROCESS MANAGEMENT AND IMPROVEMENT SYSTEM worksheet. Consider any unique workforce development, learning, and career progression considerations and how your unit addresses them.

High-performance work refers to using work processes to pursue higher unit and individual performance levels, including quality, productivity, innovation, and cycle time. It focuses on engaging the workforce and often includes leadership and workforce cooperation; work unit and team cooperation; empowered people; and seeking input. It may include individual and organizational skill building and learning; learning from other organizations; flexibility in job design and work assignments; a flattened organizational structure that decentralizes decision making; and effective performance measures. Many high-performing organizations use monetary and nonmonetary incentives based on organizational performance, team & individual contributions, and skill-building.

See 2009-2010 Baldrige booklet pp18-19 for specific Criteria requirements

Briefly describe your unit's system and/or processes. Limit your response to the shaded space below; do not add pages.

The Institute determines key factors that affect workforce cohesiveness through the annual Defense Equal Opportunity Management Institute (DEOMI) survey and the frequent use of the Unit Leadership Development Program survey. Workforce member input is received at weekly all hands. Matters that affect the entire unit are discussed frankly as a team. The development of the Institute vision and mission statement began as an all hands evolution. This practice by command leadership fostered an organizational culture of open, two-way communication, high performance work with a strong customer focus and an engaged workforce.

In 2008, the Institute established the Captain "Peg Leg" Pete Award. This is an employee driven award. There are only two guiding principles for the award. First, Peg Leg is passed from the current holder to the next recipient when the holder observes an outstanding act by the recipient. Second, the affirmation is written in the Captain's Log and read at the next all hands gathering. All members and contractors are eligible to receive the Captain Peg Leg Pete Award.

In 2009, the Institute established the Captain's Fitness Challenge to prepare its active duty workforce for the stricter weight and body fat allowances. Points are awarded for activities based on time, caloric burn, and distance. Bonus points are awarded for workouts with a shipmate, attending one of the classes offered at the gym on the Center, and for wearing Coast Guard clothing to raise the visibility of the Coast Guard in the heartland of the country. The objective is to earn more points than the Commanding Officer. Those that do, are eligible for liberty. A healthy workforce is a happy workforce, and a happy workforce is a productive, creative, innovative workforce. In addition to the Captain's Fitness Challenge, Forced Fun Fridays were established to get workers out from behind their desks and break down divisional barriers, build camaraderie, and encourage cooperation. Friday mornings between 7 and 9 are typically spent in the gym playing wallyball.

In 2009, the Institute established a Partnership In Education (PIE) program with a local elementary school in Mustang, OK. The Institute is the epicenter of Coast Guard voluntary education and it never had a PIE program before. This was a way to give back to the community, but also to observe another education organization and reinforce that learning at any age is important. Coast Guard members provided one on one tutoring and student test scores at the school in English and math vastly improved. The improvement and overall program was enough to earn the Institute the Partnership in Education Unit Award following its first year.

In 2009, the Institute led the way to reinstate the Education Services Officer of the Year Award. A rewrite of the program was completed with the most notable difference being a reduction in categories from six to two to make the award more prestigious and competitive. The following year, the Institute established the Vander Putten Inspirational Student of the Year Award. This award seeks a unique student who overcame great obstacles to earn a degree. The first award was announced at the 2010 ESO Symposium. Additionally that year, the Institute also established the Honorary Doctorate Degree program. These degrees are awarded in appreciation to the Coast Guard voluntary education program.

In 2009, the Institute established the Education Advisory Council (EAC). It consists of full time and collateral duty ESOs, as well as a Career Development Advisor, and a current student to serve as both a conduit for field level concerns and provide feedback for propose policy and procedure changes. Over the past decade, the Coast Guard committed to providing a full time ESO to all large commands. These are professionals with backgrounds in education and counseling. It was the prudent thing to do to tap into that wealth of knowledge and establish a group that would represent field level concerns and could be used as a sounding board for potential policy or process changes. The Council meets monthly via a teleconference and in person twice a year at the Council of College and Military Educators and ESO Symposium. The Council devises an agenda of topics to be addressed and divides the work amongst the members to work on in committees. Each of these programs seeks to publicly acknowledge the hard work and dedication of high performers and encourage others to emulate their actions and attitude.

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2011 Hamilton Award - Key Systems

WORKFORCE MANAGEMENT SYSTEM - How does your unit manage workforce capability and capacity to accomplish its work? Describe how your unit maintains a safe, secure, and supportive work climate.

What this is about: *Workforce capability* refers to your unit's ability to operate its work processes through the knowledge, skills, abilities, and competencies of its people. Capability may include the ability to build and sustain relationships with customers; to innovate & transition to new technologies; to develop new programs, services, & work processes; and to meet changing mission & regulatory demands. *Workforce capacity* refers to your unit's ability to ensure sufficient staffing to accomplish its work & deliver services/products to customers, including seasonal or varying demand levels. Consider current needs & future requirements based on your strategic objectives & action plans.

All organizations, regardless of size, are required to meet minimum regulatory standards for workforce health, safety, and security; however, high-performing organizations use processes to ensure that they meet minimum standards and go beyond a compliance orientation. This includes designing proactive processes, with input from people directly involved in the work, to ensure a safe, healthy, and secure working environment. The aim is to build an effective environment within which to accomplish your work and support your workforce.

See 2009-2010 Baldrige booklet pg20 for specific Criteria requirements

Briefly describe your unit's system and/or processes. Limit your response to the shaded space below; do not add pages.

The Coast Guard Institute observes the test delivery and voluntary education processes of the other military services and civilian education organizations to understand the technology and procedures employed.

In 2008, the Coast Guard embraced the new Electronic Tuition Assistance (ETA) function in the Navy College Management Information System. Paper load for an administrative unit such as the Institute becomes unruly to manage quite quickly. The true ETA function assisted greatly with managing the paper load and greatly enhanced process efficiency. It reduced application approval time from an average of 14 days to three days. Within six months, ETA submissions accounted for more than half of the tuition assistance applications received. The improved efficiency enabled staff members to conduct audits on tuition assistance applications to improve fiduciary effectiveness.

On the heels of that success, in 2009 the Institute endeavored to provide Navy College Management Information System (NCMIS) access to its full time civilian ESO partners. NCMIS access at the local level provides outstanding service to the field level member seeking tuition assistance and reduces the workload on Institute staffers thereby increasing the Institute's speed while working on applications for the rest of the Coast Guard.

Currently, the Institute is leading the way in an initiative to move the Coast Guard's paper based testing to an electronic format. Online schools have been offering online tests for a solid six years. The Coast Guard is moving in a direction to use the Question Mark Perception software to offer online End of Course Tests as a replacement for paper based tests that are mailed out to units. The electronic approach could be applied to school house tests, mariner exams, and the Service Wide Exam. The system is currently being tested at the National Search and Rescue School at Training Center Yorktown.

Coast Guard Institute staff work together to ensure workplace health, safety and security by adhering to the training and guidelines provided by the Federal Aviation Administration. The FAA maintains an Emergency Operations Plan for the Center. The Institute leadership participates on the Center Management Team (CMT). The Institute maintains a Continuity of Operations Plan (COOP) and a Safety Plan that address health, safety and security. Together the Center and the Institute conduct mandatory health and safety inspections throughout the year. Topics include fire and environmental safety. Health training is covered on topics including ergonomics, pandemic flu, infection control and blood-borne pathogens. In addition to training, the Center ensures the security of employees and operations by providing a 24-hour security service, a guarded fenced perimeter and swipe-card access to all areas of the Center. In addition, FAA security officers perform an annual review of the facility. The Center performs quarterly fire drills.

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