A Model for Management Aboard Medium and High Endurance Coast Guard Cutters

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A MODEL FOR MANAGEMENT ABOARD MEDIUM AND HIGH ENDURANCE COAST GUARD CUTTERS

By
Michael Stewart

A THESIS

Submitted to the Faculty
of the University of Miami
in partial fulfillment of the requirements for
the degree of Master of Science

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A thesis submitted in partial fulfillment of the requirements for the degree of Master of Science

A MODEL FOR MANAGEMENT ABOARD MEDIUM AND HIGH ENDURANCE COAST GUARD CUTTERS

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Increased DHS mission requirements in a post-9/11 operating environment and federal mandates requiring measurable results dictate commanders of USCG Cutters and the chain of command employ the most efficient management mechanisms to best utilize scarce resources. United States Coast Guard Cutters have been challenged in a multi-mission environment to meet requirements including search and rescue, law enforcement, fisheries management, recreational boating safety, hurricane avoidance and response, and homeland security missions. The Commanding Officers of U.S. Coast Guard Cutters are consummate process owners that require the most efficient and dynamic management model to best meet internal and external customers in an ever-changing operating environment.
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CHAPTER 1: Introduction

Coast Guard History

Since the establishment of the Revenue Cutter Service in 1790, the United States Coast Guard has continued to provide unique services and benefits to America through its unique blend of humanitarian, law-enforcement, diplomatic, and military services. A military, multi-mission, maritime service within the Department of Homeland Security and one of the nation’s five Armed Services, the Coast Guard must meet growing operational challenges. The service provided by the cutter fleet in particular versus the small boat stations and aircraft has been particularly dynamic through the course of the history of the organization requiring employment as multi-mission and multi-faceted cutters (USCG.mil).

As noted by the President’s Interagency Task Force (2005), the United States will face an increasingly more complex and interconnected world situation in the coming decades. Compared to the Cold War, which defined U.S. security during the last half of the 20th century, the United States is no longer confronted with a single, superpower adversary. Rather, the nation today faces numerous threats, many of which come from the sea, a situation likely to worsen during the upcoming decades. The oceans and U.S. waterways carrying commercial trade vital for America’s economic well being are conduits for transnational threats such as pollution, over fishing, illegal migration, drug smuggling, international terrorism, and proliferation of weapons of mass destruction. Moreover, America’s burgeoning economic links with the rest of the world will lead to further increases in the volume and value of maritime trade, and continuing challenges for U.S. maritime safety and security. (21st Century 3)
Coast Guard Challenges

A November 2004 report by the Department of Homeland Security Inspector General stated: The Coast Guard faces three major barriers to improving and sustaining its readiness to perform its legacy missions. First, the lack of a comprehensive and fully defined performance management system impedes the Coast Guard’s ability to gauge its performance, allocate resources effectively, and target areas for improved performance. The Coast Guard has yet to comprehensively define a performance management system that includes all the input, output, and outcomes needed to gauge results and target performance improvements, balance its missions, and ensure the capacity and readiness to respond to future crisis or major terrorist attacks. Second, the workload demands on the Coast Guard will continue to increase as it implements MTSA. This complex work requires experienced and trained personnel; however, the Coast Guard has in recent years suffered from declining experience levels among its personnel. Third, sustaining a high operating tempo due to growing homeland security demands, such as added port, waterway, and coastal security patrols, will tax the Coast Guard’s infrastructure including its aging cutter and aircraft fleet.

Management for the Future

Increased DHS mission requirements in a post 911 operating environment and federal mandates requiring measurable results dictate commanders of USCG Cutters and the chain of command employ the most efficient management mechanisms to best utilize scarce resources. United States Coast Guard Cutters have been challenged in a multi-mission environment to meet requirements including search and rescue, law enforcement, fisheries management, recreational boating safety, hurricane avoidance and response, and homeland security missions. The Commanding officers of U.S. Coast Guard Cutters are
consummate process owners that require the most efficient and dynamic management model to best meet internal and external customers in an ever-changing operating environment.
CHAPTER 2: Literature Review

Management by Objective

The prevailing style of management in the United States is “management by objectives” or “MBO” where the focus of upper management stems from performance targets that are emphasized throughout the organization. Management by objectives (MBO) is a systematic and organized approach that allows management to focus on achievable goals and to attain the best possible results from available resources (1000ventures.com). It aims to increase organizational performance by aligning goals and subordinate objectives throughout the organization. Ideally, employees get strong input to identify their objectives, time lines for completion, etc. MBO includes ongoing tracking and feedback in the process to reach objectives. Management by Objectives (MBO) was developed by Peter Drucker in 1954 in his book 'The Practice of Management'. In the 90s, Peter Drucker himself decreased the significance of this organization management method, when he said: "It's just another tool. It is not the great cure for management inefficiency... Management by Objectives works if you know the objectives 90% of the time you don't.” Opponents profess MBO is riddled with contradictions that restrict and often hinder the overall performance of the organization. MBO organizations have a tendency to be reactionary more commonly referred to as the “crisis of the day”.

The System of Profound Knowledge (SOPK)

W. Edwards Deming developed a theory of management, called the System of Profound Knowledge (Deming 1994). The System of Profound Knowledge (SOPK) is a comprehensive management theory. Under Deming’s leadership, the Deming's management theory is centered on thinking of an organization, and the customers of the
organization, as a system (Deming). With what he called the theory or system of "profound knowledge," a system may be managed to yield maximum value to all involved that promotes joy in work through the acquisition of process knowledge (learning) gained from experience coordinated by theory. Deming’s theory of management is based on four paradigms, which create the environment required to promote joy in work. They are:

1. People are best inspired by a mix of intrinsic and extrinsic motivation, not only by extrinsic motivation.
2. Manage using both a process and a results orientation, not only a results orientation.
3. Management’s function is to optimize the entire system so that everyone wins, not optimize only one component of the system.
4. Cooperate works better than competition (Gool 2003).

Deming noted that all systems or processes vary and that most of the variation in the process is due to the process itself. Inherent in every system or process is both common and special variation (Gool 2003). Furthermore, common or system variation is the responsibility of management and special variation is the responsibility of employees, i.e. line workers and/or engineers. The Coast Guard, like the Navy, has evaluation systems that are based on objective based management (Deming, 1994).

Deming’s theory of management comprises four components: appreciation of a system, theory of variation, theory of knowledge, and psychology (Deming, 1994). All four components are interdependent and will not stand alone. Fortunately, it is not necessary to be expert in any of the components to understand and apply the System of Profound Knowledge. The System of Profound knowledge generates an interrelated set
of 14 points for leadership in the Western world (Deming, 1994). These 14 points provide a road map for the shifts of management; no one point should be studied in isolation. The System of Profound Knowledge allows leadership to change and to develop a new basis for understanding the interrelationships between themselves and their environment. New bases for understanding the interrelationships between themselves and their environment. The environment includes people, systems and organizations. It is based on a holistic and comprehensive theory of management. The U.S. Census shows that the overwhelming majority of Americans is employed in service, government or educational organizations or performs service functions in manufacturing organizations. Hence, improvement in our standard of living is highly dependent on better quality and productivity in these sectors of the economy.

The SOPK focuses on accomplishing the mission of an organization by promoting joy in work. The model for professional management has three components: the Management Model, the Micro model and the Project model. The dashboard is the mechanism of transition from the mission to a cascading system of objectives and indicators through the organization (Gitlow and Levine, 2005, Gitlow, Levine and Popovich, 2006). Wherever problematic indicators are apparent the project model is used to improve the process that generates the problematic key indicator. Work focuses on the continual turning of the PDSA (Deming, 1986, Gitlow and Levine, 2005) models to address problematic processes through the creation of revised processes (flowchart revision).

Deming also purported that joy in work is critical to creating an environment. Profound knowledge involves expanded views and an understanding of the seemingly individual yet truly interdependent entities that compose the greater system, the
organization. Deming believed that every worker has nearly unlimited potential if placed in an environment that adequately promotes, develops, and nurtures senses of pride and responsibility; he stated that the majority of a worker's productivity is determined by the environment and only minimally by his or her own skill. Organizations seeking to establish such an environment must employ an understanding of psychology—of groups and individuals. The organization must eliminate tools such as production quotas and use of slogans which only alienate workers from their supervisors and breed divisive competition between the workers themselves. Management should form the company into a large team divided into sub-teams all working on different aspects of the same goal, but eliminate the stovepipes or detached operational areas within organizations. Profits should be spread to members of the organization as teams, not individuals. Management should eliminate fear, envy, anger, and revenge from the workplace and employ sensible methods such as rigorous on-the-job training programs. As a result, members of the organization better understand their jobs—the specific tasks and techniques as well as their higher value; thus stimulated and empowered, they perform better. The resultant gains far outweigh the costs.

Management decision-makers often focus on problems myopically, without identifying their causes or connections. This merely shifts or multiplies problems in other areas of the organization. Holistic system focus—the opposite of a disintegrated approach—typically reveals lasting, elegantly efficient solutions with multiple benefits, which enables the organization to transcend ideological battles and unite all parties around shared goals. Organizations are embedded in systems: families, communities, industries, economies, ecosystems. The machines up which organizations rely upon are also systems, which have increasingly profound effects on the human and environmental
systems around them. Understanding the dynamics of systems is integral to the PDSA and DMAIC cycles of Six Sigma management. Not only does systems thinking point the way to solutions to particular resource problems, but it also reveals interconnections between problems, which often permits one solution to be leveraged to create many more.

For example, ships are extremely complicated and evolutionary systems developed by engineers and designers. Their role is to make a given component or subsystem the best it can be. This is how the modern ships have evolved, through an incremental process of small improvements to individual components, without much change to the overall concept. The challenge is, optimizing isolated parts often negatively impact the whole: integration and synergy are lost; complexity, over sizing, and inefficiency abound. What's lacking is a sense of the big picture, the whole system. Whole-system design means optimizing not just parts but the entire system (in this case a ship). Naturally, this is more difficult at first. It takes ingenuity, intuition, and teamwork. Everything must be considered simultaneously and teased apart to reveal mutually helpful interactions.

Demanding results without improving the process often means doing so at the expense of the organization at large. Deming among others touted that the system variation within an organization is approximately 94% the responsibility of management (Deming, 2006), thus the demands of management for results often falls upon those without responsibility to affect changes to meet the demands. The PDSA cycle compels process improvement with the participation of those in the process vice focusing on arbitrary results: 1) Plan - Review the old flowchart, move to the new; 2) Do – Implement the new flowchart as a pilot test study; 3) Study the key indicator; 4) Act – standardize the new flowchart.
Organizational competition can often promote an environment where individual components of the organization succeed at the expense of others, but the organization as a whole does not. There are several myths of competition that support cooperating verse competing including humans are not naturally competitive, they are taught to be; competition does not bring out the best in individuals; and improvement is not always properly characterized as competition (Kohn 1896).

It has been shown in motivational theory that positive behavior arises largely from the experiences individuals learn from working in teams, not from individual effort. Once behavior attains the former form, organized life follows, and mental reflection is trimmed of unproductive pride and arrogance. From then on, mental reflection also becomes constructive. When a person seeks to work with others, to cooperate with them, he/she has accepted the principle that shared knowledge and wisdom is, perhaps, the best way to unearth one’s hidden potentials or talents. It sums up the point that organizations ought to share internal ideas, not keep them selfishly to ourselves. The contrary to teamwork or cooperativeness appears to be competition. An upsurge in competition brings with it appropriated behavior and mental reflection. Competition has come to rule the corners of life so much that teamwork has been eclipsed in a large class of cases and unhealthy individualism has instead turned out to be entrenched.

The Latin origin for the verb "to compete" is "competere" meaning "to seek together" or "to strive together". However, even the general definition stated above is not universally accepted:

Social theorists, most notably Alfie Kohn (No Contest: The Case Against Competition [1986]), and cooperativists in general argue that the traditional definition of competition is too broad and too vague. Competition that originates internally and is biologically motivated can
and should be defined as either *amoral competition* or simply survival instinct, behavior that is neither good nor bad but exists to further the survival of an individual or species (e.g., hunting), or behavior that is coerced (e.g., self-defense). Social Darwinists, however, state that competition is not only moral, but necessary to the survival of the species.

On the negative side, competition can cause injury to the organisms involved, and drain valuable resources and energy. Human competition can be expensive, as is the case with political elections, international sports competitions, and advertising wars. It can lead to the compromising of ethical standards in order to gain an advantage; for example, several athletes have been caught using banned steroids in professional sports in order to boost their own chances of success or victory. And it can be harmful for the participants, such as athletes who injure themselves exceeding the physical tolerances of their bodies, or companies that pursue unprofitable paths while engaging in competitive rivalries. Competition means trying to outsmart others who have similar pursuits or are made to have similar pursuits; and this brings about the drive to be the best among a host of others. The idea of excellence, its practical realization, arises from competition, so it is claimed. That competition encourages excellence is questionable; but one has to question the means to attain such excellence, as well as the content of excellence. If excellence is praised for its own sake, then it implies that the end justifies the means; and the moral and logical justification of competition may be missed, which is wrong.

Intrinsic motivation is when individuals are motivated by internal factors, as opposed to the external drivers of extrinsic motivation, i.e. monetary compensation (Deming 1994). Intrinsic motivation drives individuals to do accomplish tasks for the fun of it, or because of a belief or morale impetus. There is a paradox of intrinsic and extrinsic motivation. Intrinsic motivation is just as an important motivator as extrinsic motivation, yet external motivation can easily act to displace intrinsic motivation.
Generally, organizations that are able to align members with beliefs in an idea or align their values with organizational goals create a powerful motivational state. Organizations that seek to make members feel good about organizational goals retain and benefit from motivated employees often seek to minimize extrinsic motivation. So, for example, pay them fairly, then do everything to keep money out of the equation of why they come to work, for example, to do their jobs and to improve their jobs and to improve their jobs (e.g. PDSA) Furthermore, the largest portion of members of any organization is comprised by members that have not been the greatest beneficiaries of a competitive environment (i.e. not everyone is a star).

U.S. Coast Guard Management Science Initiatives

The U.S. Coast Guard boasts a number of value-added initiatives that employ a number of accepted management science methodologies. Professional publications and documentation include modeling operations, scheduling the use of assets, traditional supply chain management and search planning with the use of computer modeling. The commandant recently supported Coast Guard buoy tender operations (Bucciarelli 1995) with a desktop decision support system to support the Coast’s Guard planned replacement of the 37-vessel seagoing and coastal buoy tender fleet. Many of the Coast Guard missions could and have clearly benefited from more traditional management science applications including locations with depot level maintenance operations and operations with mission boundaries such as the maintenance and repair of buoys.

Operations research applications have led to a significant degree of success including cost savings and streamlined efficiencies at the Coast Guard Aircraft Repair and Supply Center in Elizabeth City, North Carolina (Everingham et al, 2008). There have been several projects focused on modeling alien migrant interdiction operations and
search and rescue operations, but the dynamic nature of the missions prevents a high
degree of predictive application. The United States Coast Guard Academy established
defined, formal degree offerings for cadets in operations research focus areas during the
last decade. Recent cadet projects include (USCG Academy):

1. Optimization of External Bulk Item Heavy Weather Storage Plans at the
   Aircraft Repair and Supply Center
2. Forecasting Ideal Year Groups
3. Recruit Training Center Scheduling Tool
4. Predicting Cuban Migration Based on Environmental Factors: An Approach
   Using Empirical Distributions
5. General Detail: An Analysis of the Enlisted Support Allowance
6. Aviation Repair and Supply Center, Shop 242: A Resource Allocation Study
7. Analysis of the Selective Reenlistment Bonus
8. U. S. Coast Guard Drug Interdiction Model
9. U. S. Coast Guard HH-65 Transition Course Student Output
10. Response Boat Mix Allocation for San Francisco Bay
11. Chase Hall Schematic Program
12. U. S. Coast Guard Academy Admissions Model Assessment
13. U. S. Coast Guard Academy Web-Enabled Applications

Management science in a broader sense has helped to assist the service with agency
problems in law enforcement (Gawande and Bohara, 2005) who studied issues in the
enforcement of public law, specifically the system of inspections and penalties. Although
the Coast Guard has significant inter-organizational applications of the tenets put forth by
the SOPK and Six Sigma Management, there is no organizational management structure
that ties high-level management objectives to either intermediate dashboards or activities
at the unit level.

U.S. Coast Guard Management Alignment with the U.S. Navy

The naval services exhibit a longstanding history of structure and organization
that has roots tied in centuries of military management. The U.S. Coast Guard is the
nation’s oldest maritime service, originally the Revenue Cutter Service in 1790. The
Coast Guard’s development has grown similarly to that of the U.S. Navy with both services sharing the same management structure. The concept of “command” where a single individual has management control in absolute fashion is paramount. A growing number of private and public organizations have adopted Deming’s theories in one form or another. Much of the Coast Guard’s seagoing professional training has been aligned with the of the U.S. Navy over the course of its history.

**Review of Naval Professional Reading Program**

A review of the Navy Professional Reading Program found at the Nimitz Library and the United States Naval Academy yields sixty titles of contemporary text. The texts are organized into junior enlisted, leading petty officer, division leader, department and command leader, and senior leaders collection. The titles include anecdotal recounts, historical dialogues, democratic and nationalist texts, and some management and strategic planning. No texts with titles focusing on quality management, six sigma management, lean, or lean six sigma comprise the list. (Navy Website)

**Review of Prospective Command Cadre Materials**

All prospective Commanding and Executive officers that serve aboard United States Coast Guard cutters receive focused training prior to reporting aboard their respective cutters. The training is designed to highlight organizational priorities that minimize risk and maximize performance of the commands and their crews. Topics formally presented include: accession, training, engineering topics, interpersonal relationships, legal topics, manuals, officer evaluations, public affairs guidance, relief processes, rules of engagement, navigational “Rules of the Road”, shipboard flight operations, ship handling, subsistence and enlisted evaluations are topic areas of focus (refer to Appendix A). Absent from any of the formal training is the presence of a
structured framework that links the “deck plate level” of the cutter to the command and furthermore, established organizational objectives. The Coast Guard does participate in the Baldridge National Quality Program on a command by command basis, but participation is not mandatory nor promulgated in Commandant directives.

A review of the most important documentation provided to the prospective commanding and executive officers provides further insight into organizational priorities as well as the presence of a structured methodology that promotes continual improvement. The manuals include: The Coast Guard Award Manual, Coast Guard Personnel Manual, Command at Sea, Coast Guard Correspondence Manual, Coast Guard Cutter Employment Standards, Coast Guard Cutter Navigation Standards, Coast Guard Cutter Organization and Training Manual, Coast Guard Cutter Training and Qualification Manual, Financial Resource and Management Manual, Joint Publication, NavRules, Shipboard Lookout Manual, Uniform Regulations, US National Security Strategy, and U.S. Coast Guard Maritime Strategy (Appendix A). None of the manuals include significant information regarding quality management, six sigma management, lean, or lean six sigma.

Review of Armed Forces Interest Group Lean Six Sigma Research

The Consortium for Advanced Manufacturing (CAMI) is an international consortium of manufacturing and service companies, government organizations, consultancies, and academic and professional bodies who have elected to work cooperatively in a pre-competitive environment to solve management problems and critical business issues that are common to the group. Comprised of various interest groups, the Armed Forces Interest Group is chartered with conducting an assessment of the Lean Six Sigma landscape with the Armed Forces. Furthermore, it is intended to
define the link between Lean Six Sigma and cost management as well as document the
cross-service best practices. A recent survey conducted by the ASIG determined that
Lean Six Sigma is understood by many within the organizational ranks of the U.S. Coast
Guard as a value-added improvement to current management processes, however, it has
not been earnestly implemented or tested to date (Appendix B).
CHAPTER 3: Hypothesis

Professional management is a proven management methodology that has transformed many organizations in models of greater efficiency and effectiveness. The DMADV (Define – Measure – Analyze – Design – Verify/Validate) model will be used to evaluate the benefits of initiating and maintaining a six sigma management model aboard U.S. Coast Guard Cutters. A test command has been selected that has an established quality management program in place, but does not have a systematic set of processes for evaluating mission performance and success.

The Define Phase of a Six Sigma DADMV project involves developing a business case with a project charter and establishing a schedule and guidelines for the design review process. This paper will focus on the Define Phase of the DADMV model to identify and clarify the worthiness of a Six Sigma DMADV project and Professional Management aboard U.S. Coast Guard Cutters. Ultimately, Professional Management may help Coast Guard leadership promote the Coast Guard mission by achieving their key objectives through identifying problematic key indicators that can be improved through Six Sigma projects.
CHAPTER 4: Model Development (DMADV in Action)

Developing the Business Case: USCGC Valiant

One representative Coast Guard cutter has been selected to create a model that the other 42 medium and high endurance cutters may adopt in the future. USCGC VALIANT is a multi-mission, two hundred and ten foot, medium endurance cutter homeported in Miami Beach, Florida. VALIANT’s operational theatres include the Atlantic Ocean, Caribbean Sea and Gulf of Mexico. Being one of three medium endurance cutters in southern Florida, VALIANT is optimally located in a mission rich environment. VALIANT was built in Lorain, Ohio by the American Shipbuilding Company, and is the seventh of sixteen cutters of her class. She is a 210’ 6” steel-hulled ship displacing 1127.2 long tons fully loaded, and is powered by two V16 2550 horsepower ALCO diesel engines, making it capable of a maximum sustained speed of 18 knots. The cutter was first commissioned on November 3, 1967 in Galveston, Texas where it served for 24 years before a mid-life overhaul. On January 7, 1994, VALIANT was re-commissioned in her homeport of Miami Beach, Florida. VALIANT normally carries 12 officers and 63 enlisted crewmembers, with additional berthing available for 11 more personnel. One of VALIANT’s most unique features is her ability to carry a Coast Guard HH-65A Dolphin helicopter, which extends the ship’s surveillance range for maritime law enforcement, and significantly reduces response time for search and rescue (SAR) missions.

VALIANT is currently under the Operational Control of LANTAREA (Commander Atlantic Area), and has its Administrative Control under MLC (Commander, Maintenance and Logistics Command Atlantic). As a Coast Guard Resource, the ship deploys in the Western Atlantic and Caribbean basin. Its customers are the American public, Tactical Commanders (usually CG District Seven, CG District
Eight, and CG Sector San Juan). VALIANT’s main products and services that it provides to its clientele include Search and Rescue (SAR), maritime law enforcement, Homeland Security and readiness, and public affairs. Like all major cutters VALIANT is scheduled for 185 days (per FY) away from homeport to provide all of these services and more as the Coast Guard’s missions change. Given the greater levels of alertness and obligation to respond to and defend against any perceived or actual terrorist threats, much of the inport time is spent in a high-ready state poised to quickly get underway and provide services with minimal lead-time.

Most of VALIANT’s time is spent conducting law enforcement activities with approximately 250 days per year training, performing maintenance, and being actively involved with law enforcement activities. VALIANT’s next largest items is search and rescue which averages nearly 40 days per year training, prepping, and actively involved in search and rescue operations. In addition to this, Public Affairs averages over 30 days per fiscal year, through joint ventures with local and national communities such as the Naval Sea Cadets, local school tours, community service events, and hosting foreign relations events. Other days are dedicated to maintenance periods and well-deserved family time.

VALIANT is crewed by 75 men and women with breakdown of 12 Officers, 6 Chief Petty Officers, and 57 Petty Officer and non-rated personnel. VALIANT’s crew is extremely diverse with members from over 6 countries. VALIANT largest minority is Hispanics with over 20 Hispanic in origin and 19 fluent in Spanish. All of VALIANT’s Officers possess a Bachelors degree in various areas and go through some sort of commissioning program. The Commanding Officer also holds a Masters degree along with the Executive officer.
VALIANT’s command reinforces its message to the crew on how it wants to achieve its goals through the Command philosophy, and a strategic plan. This gives the crew onboard VALIANT a unified voice on the direction that VALIANT is going, and how it will get there. VALIANT manages an annual operating budget (AFC-30) of $408,000. Additional monies are obtained from the Navy in order to maintain and service weapons systems and electronics onboard. VALIANT is also subsidized through the MWR program which includes both a morale and Satellite Exchange Office, and a Imprest Fund that is used for emergency purposes to organizations not accepting purchase requests, and credit cards. The Commander Atlantic Area, the Maritime Logistics Command, the Aviation Certification team, the Tailored Annual Cutter Training Team, and the American taxpayers regulate VALIANT in different ways.

Current Organizational Relationships

The organizational structure facilitates VALIANT to complete daily operations. This command staff acts as the unit’s Figurehead. VALIANT’s personnel are each separated into one of three departments: Engineering, Supply or Operations, each of which is supervised by a Department Head. Comprising each department are divisions, which are made up of one division officer as well as a senior petty officer, and junior enlisted personnel. Organizational “stove pipes” are minimized through cross-functional quality action teams, natural working groups and myriad of other boards and committees.

The unit’s command staff is made up of a Commanding Officer (O-5, by military paygrade), Executive Officer (O-4), Operations Officer (O-3), Engineer Officer (O-3), Supply Officer (O-2), and Command Chief (E-7).
BM = Botswains Mate, CPO = Chief Petty Officer, DC = Damage Controlman, Electrician’s Mate, EM = Electronic’s Technician, FN = Fireman, FS = Food Specialist, HS = Health Services Specialist, SK = Storekeeper, Operation’s Specialist, MK = Machinery Technician; YN = Yoeman, 1, 2, 3 corresponds to 1st, 2nd, 3rd Class Petty Officer.

Current Stakeholders

VALIANT’s key customers are its OPCON – Commander Atlantic Area, its TACON, various law enforcement agencies, the maritime industry, and the United States taxpayer. Its key customers are defined by its assigned missions (Law Enforcement, Homeland Security / Readiness, Search and Rescue, and Public Affairs. Its Key Customers are further designated through specific tasking from TACON while on patrol based on law enforcement surge operations. These law enforcement surge operations focus VALIANT’s operational efforts on a specific key customer. An excellent example of this occurred during a recent Gulf of Mexico patrol when VALIANT was part of Operation Leviathan in which the Tactical Commander tasked VALIANT to provide services to a key customer which in this case was the commercial fishing industry (protecting the master and crew from unsafe conditions through written citations and
voyage terminations) and the American tax payers (preserving America’s living marine resources)

Another method by which VALIANT identifies its key customers is through actionable intelligence normally relayed to VALIANT from TACON. This actionable intelligence aids VALIANT in directing operations to provide a service to a key customer. An example of this would be where Sector Key West receives a TELEX from the Cuban Border Guard that a migrant go-fast vessel departed Cuba and is northbound for the United States. This actionable intelligence is relayed and VALIANT is able to provide its services to the various law enforcement agencies key customers by stopping the migrant go-fast vessel from reaching U.S. soil.

While providing excellent service to current key customers VALIANT is constantly seeking to identify and obtain potential customers. Customers are identified by the constant evaluation and improvement of policies and procedures utilized by VALIANT. Essentially, VALIANT strives to improve on procedures in place in order to allow VALIANT to service more customers. This is exemplified by VALIANT’s proven excellence in engineering maintenance. Due to exceptional planning and preventative maintenance completion, VALIANT has remained mission ready and not missed a patrol deadline within the last two years. This superior readiness allows VALIANT to be underway on time, complete operations, and identify potential customers. Moreover by providing a superior service to its current customers, VALIANT effectively includes potential customers and competitors customers. An example of this superior service is highlighted by the specific requests made by Coast Guard Air Stations to VALIANT’s TACON to conduct training with VALIANT. A final example is VALIANT’s demonstrated ability to respond to any type of distress call. Examples of this superior
response capability during recent patrols range from saving a sinking overloaded migrant sail freighter taking on water, to providing technical expertise to a luxury sailing catamaran experiencing engineering casualties. These examples illuminate VALIANT’s ability to respond to any type of distress call, render services, and obtain potential competitors. Thus, by consistently providing a mission ready cutter and crew, potential/competitor customers seek VALIANT out to provide services.

Not only do potential/competitor customers seek VALIANT out to provide services solely based on VALIANT’s ability to provide services based on readiness, VALIANT’s superior response time further garners potential/competitor customers. Perhaps the best example of this occurred during a recent AMIO/Counter Drug patrol when VALIANT came under hostile fire during a rebel insurrection in Port Au Prince, Haiti. Through superior readiness, training, and engineering excellence VALIANT was able to get underway and proceed safely away from her moorings in Port Au Prince in only twelve minutes, rivaling if not surpassing even the fastest response times for a vessel less than $1/10^{th}$ the size of VALIANT.

COMLANTAREA serves as a “customer broker” that embodies the requirements set forth by higher headquarters and the general public. In adherence to the chain of command concept, we are aware that through meeting the expectations of COMLANTAREA, we are fulfilling the ever-changing requirements from customers at a higher level, right up to that of the Commander in Chief. COMLANTAREA expects VALIANT to be fully ready to deploy 185 days per year to execute assigned missions. Additionally, VALIANT is also expected to complete all (quarterly, semi-annual, and annual) training requirements in order to “maintain the edge” and be ready to carry out any/all missions. VALIANT’s operational readiness is reported to its entitled customers
(OPCON/TACON) by using the Status of Resource and Training (SORTS) and Risk Assessment Matrix (RAM) to indicate overall readiness based on the current state of supplies, personnel, training, and equipment onboard. VALIANT does not provide a specific report to its voluntary/compelled customers: the general public. COMLANTAREA, again serving as a “customer broker”, provides the oversight necessary to ensure that VALIANT is ready and able to provide the services the public desires. Through continuous training and preparation, VALIANT is able to meet LANTAREA’s mission requirements as well as the taxpayer expectations.

Customer and stakeholder relationships are maintained by readiness reports using the SORTS and CASREP systems, phone calls, email and message traffic. LANTAREA AOFC solicits or disseminates information via periodic TRACKLINES messages, quarterly SITREPS, annual CO’s conferences, program manager visits and annual Force Development Plan. VALIANT also provides data to LANTAREA using patrol After Action Reports, Lessons Learned messages, Abstract of Operations, SARMIS, Marine Information for Safety and Law Enforcement (MISLE) systems. After receiving and processing the data provided by VALIANT, LANTAREA is then able to provide feedback as necessary.

Interaction with the general public is typically limited to law enforcement boarding’s, public affairs events, and shipboard tours. Although the majority of the boating public appreciates the job the Coast Guard is doing, there is a small percentage that misunderstands its Service’s authority and responsibility. This misunderstanding develops when the merchant mariner, boater, or fisherman falls under its authority, is being boarded, and becomes a **compelled customer**. In those situations VALIANT’s boarding officer is responsible for carrying out the LE mission as well as ensuring that
the boater is properly educated and comes away satisfied with the job we are tasked to carry out.

Customer complaints are received either informally through direct phone calls, email or by message or letters to the command. Responses are sent via phone call, email, messages, or command letter. Some complaints are handled very delicately, such was the case when a master of a U.S. fishing vessel on the high seas (subject to USCG jurisdiction and therefore a compelled customer) became very agitated that its boarding team had come aboard and claimed the cutter small boat had damaged his vessel while embarking its boarding team. The CO convinced the master to calm down and provided him with the necessary information and procedures to use should he desire compensations for damages from the Coast Guard. The master then calmed down and allowed the boarding team to complete the boarding. By maintaining a professional law enforcement team, VALIANT is able to deescalate tense situations while providing services to its compelled customers.

VALIANT further opens communication for customer feedback and complaints by actively participating in outreach programs that allow customers to visit the unit and interact directly with VALIANT senior leadership. This process was highlighted during a recent inport period when VALIANT hosted various Miami based Haitian community leaders. While onboard, the Haitian community leaders observed VALIANT migrant processing and care practices. Further, excellent dialogue took place where concerns for migrant care were discussed. This community effort provided an in depth look of the Coast Guard procedures to the Haitian community leaders and allowed them to listen to its concerns which have led to the systematic processes involved with the Alien Migrant Interdiction Operations mission. This type of community outreach ensures VALIANT
recognizes customer needs, and priorities and allows VALIANT to focus efforts to improve in voiced areas of concern. This also causes it to be a continued process to ensure that customer needs are met, see figure (2).

**Figure 2**  
Customer Service Process

VALIANT’s ability and readiness to execute routine CG missions and respond to short-notice tasking from OPCON & TACON is important to its key customers. Specific requirements from LANTAREA (and higher headquarters) are detailed in their Strategic Objectives and Tactical Operational Plans or Orders. As a result of a close relationship and frequent communications with LANTAREA, VALIANT is able to maintain a comprehensive picture of current and anticipated tasking and expectations and therefore remains very in tune with organizational needs and directives.
VALIANT builds relationships with its customers primarily through the completion of its assigned missions and required training. Through excellent mission readiness and operational capability, VALIANT is on scene, underway, getting results for its customers. The nature in which VALIANT completes assigned missions, facilitates the increase of loyalty of current customers and the addition of new customers. Specifically, through proven excellence, VALIANT naturally fosters customer satisfaction, growth and loyalty. This excellence is exemplified in performance during formal inspections, most notably during 2005 Tailored Annual Cutter Training (TACT) in which VALIANT scored a 98.4% total on all drills earning the “Battle E” Ribbon. VALIANT thus demonstrated to LANTAREA the efficiency and professional ability of VALIANT. This display of ability recognizes VALIANT as an able platform capable of completing even the most challenging of assignments. In this manner, VALIANT exceeds customer expectations while garnering new customers.
VALIANT’s key access mechanisms are provided through the timely release of message traffic. This message traffic includes Press Releases, Patrol Summary Messages, Law Enforcement Situation Reports, Risk Assessment Matrix messages, and SORTS messages. The accurate and timely release of these documents ensures VALIANT’s customers are provided with up to date information regarding completed operations and readiness status at all times. Customer contact requirements are defined by VALIANT’s OPCON, ADCON and TACON. Additionally, information provided to the American taxpayer is provided through community outreach programs in which VALIANT invites various community groups aboard to tour the unit and learn about the Coast Guard’s missions. By meeting all obligations to provide information to customers, VALIANT ensures all customers receive required information.

VALIANT manages customer complaints through corrective action, which is entirely dependent upon the type of complaint. Complaints that are operational in nature are routinely addressed through all hands “Hot washes” in which VALIANT crewmembers collectively voice suggestions and input to address a particular issue. Complaints administrative in nature are typically assigned to a project officer that formulates a committee to investigate, and resolve the complaint by instituting a process to prevent reoccurrence. Additionally, customer dissatisfaction is minimized through excellent planning and training. By proven excellence in readiness and training, VALIANT provides superior service to its customers while minimizing dissatisfaction. Complaints are generally aggregated by VALIANT’s OPCON or ADCON and then relayed to VALIANT. Upon receipt, VALIANT’s command cadre analyzes the complaints and designates action teams to resolve the fundamental problem generating a specific complaint. Through demonstrated compliance with all mandated requirements
and policies, VALIANT maintains forward thinking strategies to build relationships with customers and keeps current with organizational needs and directions.

**Figure 4: Customer Resolution Process**

Current Results Determination

VALIANT’s greatest indicators of customer satisfaction and dissatisfaction are success during formal inspections/training as well as from operational results. Specifically, scores obtained during TACT, MLC Administrative Compliance Inspection, official visits, and patrol statistics. The major factor that affects how satisfaction and dissatisfaction is measured is based upon whether the customer is an agency or industry versus the American taxpayer. Satisfaction/Dissatisfaction from the American taxpayer is measured on VALIANT through outreach visits. The aforementioned measurements specifically analyze how well VALIANT completes her missions and ensure that if excellent performance is noted, customer expectations are naturally exceeded. Customer feedback is utilized for improvement in the following manner:

1. Command cadre thoroughly identifies problem areas highlighted by customer feedback
2. Command cadre sets time driven realistic goals for resolution
3. Project committee realizes goals for resolution
4. The main method in which VALIANT follows up with customers regarding product quality and satisfaction is through close command cadre correspondence with OPCON, ADCON and TACON by soliciting feedback. Through excellent working
relationships, VALIANT receives constructive recommendations as well as positive input for a job well done.

5. Information obtained from customer satisfaction relative to their satisfaction with competitors is utilized to set the basis for formulating VALIANT’s goals for mission accomplishment. Essentially, VALIANT studies the accepted standard for the 210ft cutter and constantly seeks to perform well beyond the standard. This is exemplified through success during inspections, training evolutions, and operations.

6. VALIANT’s methods for determining satisfaction are kept current through focused alignment with OPCON’s and TACON’s stated policies and guidelines. By meeting and succeeding all mandated requirements, VALIANT remains in compliance and cognizant of customer satisfaction.

Key Customers and Requirements

The leadership communicates this focus via its Vision, Mission Statement, Command Philosophy, and the Strategic Plan. Its readiness is reported to OPCON using the U.S. Navy readiness reporting system called the Status of Resources and Training Systems (SORTS). Within SORTS each mission area is given a rating depending on the strength of four component “building blocks”, (1) personnel, (2) supplies on hand, (3) equipment, and (4) training. The Commanding Officer can then determine the readiness and capability of his unit. During its weekly department head meetings, we also use a suite of dashboard indicators that report numerically its relative status regarding those readiness indicators reported in SORTS and a host of other readiness indicators focused on the internal operations of the cutter. VALIANT has also developed a Commanding Officer’s Readiness Indicator (CORI) to aid the command in determining overall
readiness. VALIANT’s measurement system was formulated in order to give the command and crew a real-time snapshot of unit readiness.

**Current Organizational Dashboard**

The following objectives and anecdotal indicators were an initial version developed by the command. Although its scope is organizationally all-inclusive, the key objectives and key indicators are not tied together through systematic and stable processes. The dashboard developed later in this paper does so.

**Table 1: Current Organizational Dashboard**

<table>
<thead>
<tr>
<th>Customer</th>
<th>Services/ Products</th>
<th>Customer Requirements</th>
<th>Key Indicators</th>
</tr>
</thead>
<tbody>
<tr>
<td>MLE Customers (LE, LMR, AMIO)</td>
<td>- Boarding Reports (4100 and 4100F)</td>
<td>- Mission Readiness</td>
<td>- Seized Drugs</td>
</tr>
<tr>
<td></td>
<td>- Citations as Needed</td>
<td>- Complete and Thorough Case Packages</td>
<td>- AMIO Interdictions and Repatriations</td>
</tr>
<tr>
<td></td>
<td>- Sighting Reports</td>
<td>- Accurate &amp; Timely Information</td>
<td>- Reported Landings while in Theatre</td>
</tr>
<tr>
<td></td>
<td>- Field Intelligence Reports</td>
<td>- Courteous Service</td>
<td>- Number of Boardings</td>
</tr>
<tr>
<td></td>
<td>- Situation Reports</td>
<td>- Knowledgeable and Skilled Boarding</td>
<td>- Seizures and Fines</td>
</tr>
<tr>
<td></td>
<td>- Seizure and Case Packages</td>
<td>Officers</td>
<td>- Familiarization Packages</td>
</tr>
<tr>
<td></td>
<td>- Accused Perpetrators(s) and/or Violations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Enforcement of Law and Treaties</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Homeland Security Customers (Primarily Comlantarea)</td>
<td>- Field Intelligence Reports</td>
<td>- Mission Readiness</td>
<td>- Number of Boardings</td>
</tr>
<tr>
<td></td>
<td>- Transport Services</td>
<td>- Accurate and Timely Information</td>
<td>- Number of Safety Violations</td>
</tr>
<tr>
<td></td>
<td>- Security Zones</td>
<td>- Knowledgeable and Skilled Boarding</td>
<td>- Number of Criminals Found Aboard Vessels</td>
</tr>
<tr>
<td></td>
<td>- Platforms</td>
<td>Teams</td>
<td>- Number of FIRS</td>
</tr>
<tr>
<td></td>
<td>- Physical Law</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Enforcement Presence</td>
<td>Thorough Enforcement</td>
<td>Number of HRS Underway</td>
<td></td>
</tr>
<tr>
<td>-----------------------------------------------------------</td>
<td>----------------------</td>
<td>------------------------</td>
<td></td>
</tr>
<tr>
<td>• Boardings</td>
<td>• Fast Response</td>
<td>• Patrols Made/Missed</td>
<td></td>
</tr>
<tr>
<td>• Boarding Reports (4100)</td>
<td>• Professional Presence</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>• Detection</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Search and Rescue Customers</td>
<td>Fast Response</td>
<td>Lives Saved</td>
<td></td>
</tr>
<tr>
<td>• Search Plans</td>
<td>• Effective Search and Rescue</td>
<td>Property Saved</td>
<td></td>
</tr>
<tr>
<td>• Asset Scene</td>
<td>• Mission Readiness</td>
<td>• Supplies Transferred</td>
<td></td>
</tr>
<tr>
<td>• # of Patrol Days</td>
<td>• Caring and Professional Service</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Assistance (Lives and Property)</td>
<td>• Knowledgeable and Skilled Boarding Teams, Medical Personnel, and Rescue and Assistance Teams</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Extending Aircraft</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Onscene Time As Refueling Platform</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Public Affairs Customers</td>
<td>Competent and Professional Crew</td>
<td>Media Coverage</td>
<td></td>
</tr>
<tr>
<td>• Community Relations</td>
<td>• Well Maintained Vessel</td>
<td>Flag Feedback</td>
<td></td>
</tr>
<tr>
<td>• Press Release</td>
<td>• Accurate and Timely Information</td>
<td>Bravo Zulu’s</td>
<td></td>
</tr>
<tr>
<td>• Vip Tours</td>
<td></td>
<td>• Positive Influence</td>
<td></td>
</tr>
<tr>
<td>• Media Coverage</td>
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<td></td>
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</tbody>
</table>
CHAPTER 5: VOC & Assessing the Risks to Six Sigma Success

In order to develop a six sigma management model a review of the risks to success is conducted. The technical, human factors, team dynamics, planning issues, business sources, organizational and political, and external sources of risk must be fully understood and quantified (Gitlow). Maintaining the level of cutter readiness demanded by its customers is an ever changing and evolving process.

**Table 2: Challenges/Risks/Solutions to Six Sigma Success**

<table>
<thead>
<tr>
<th>Challenges or Risks to Six Sigma Success</th>
<th>Solutions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequent turnover among the crew</td>
<td>Intensive training program (DCPQS; OBTT performance; CART/TACT process)</td>
</tr>
<tr>
<td>Mission requirements vary among the TACON’s</td>
<td>Dedicated leadership</td>
</tr>
<tr>
<td>The older the ship gets, the more maintenance she requires (therefore less ready)</td>
<td>Timely &amp; effective communication with its customers</td>
</tr>
<tr>
<td>Budgetary constraints impose limits on spare parts availability</td>
<td>Effective and reliable crew feedback mechanism Positive control of unit spending</td>
</tr>
<tr>
<td>Pipeline training requirements are not always met</td>
<td>Capitalize on every available training opportunity</td>
</tr>
<tr>
<td>Maintaining sea duty attractiveness</td>
<td>Improving crew habitability Maintain a sense of community with local city and state</td>
</tr>
</tbody>
</table>
Table 3: Categorization of Risk Elements for Implementing Six Sigma aboard CGC VALIANT

<table>
<thead>
<tr>
<th>Technical Sources of Risk</th>
<th>Human factors Sources of Risk</th>
<th>Team dynamics Sources of Risk</th>
<th>Planning issues Sources of Risk</th>
<th>Business Sources of Risk</th>
<th>Organization and Political Sources of Risk</th>
<th>External Sources of Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information and Knowledge Management</td>
<td>Morale</td>
<td>Strategic Development Process</td>
<td>Performance Improvement System</td>
<td>Business Results</td>
<td>Senior Leadership</td>
<td>Mission Performance</td>
</tr>
<tr>
<td>Inspection and Audit Process</td>
<td>Medical Readiness</td>
<td>Process Management</td>
<td>Strategy Development Process</td>
<td></td>
<td>Organization Performance</td>
<td></td>
</tr>
<tr>
<td>Measurement and Analysis Processes</td>
<td>Employee Education and Development</td>
<td>Communication</td>
<td></td>
<td></td>
<td>Customer Satisfaction</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Employee Performance Management System</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 4: Definition of “Occurrence” Scale

<table>
<thead>
<tr>
<th>Impact</th>
<th>Rating</th>
<th>Criteria: A failure could</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bad – Good</td>
<td>10 – 1</td>
<td>10 = More than Once/day 1 = Every 6 to 10 years</td>
</tr>
</tbody>
</table>

Definition of “Severity” Scale

<table>
<thead>
<tr>
<th>Impact</th>
<th>Rating</th>
<th>Criteria: A failure could</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bad – Good</td>
<td>10 – 1</td>
<td>10 = Stop implementation 1 = unnoticed, no effect</td>
</tr>
</tbody>
</table>

Definition of “Detection” Scale

<table>
<thead>
<tr>
<th>Impact</th>
<th>Rating</th>
<th>Criteria: A failure could</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bad – Good</td>
<td>10 – 1</td>
<td>10 = Undetectable 1 = Obvious</td>
</tr>
</tbody>
</table>
Performance Improvement System

One of the primary building blocks that VALIANT uses is reassessment and innovation. Before and after nearly every evolution, VALIANT conducts a brief on how the evolution will be completed. Safety, efficiency, quality of work, and quantity of work are evaluated and a specific blend is converged upon to provide the customer with what they are looking for. VALIANT has organized several administrative bills that initially draw away from productivity, but ultimately end in a best practice onboard. This process of continual improvement of its systematic processes allows VALIANT to focus on the future and not dwell on the past. If the Command determines that a bill is not fully efficient and streamlined, then they designate a project officer that researches, innovates, and streamlines the process and then brings the new bill before the command for approval. This process continuously updates itself and allows more frequent tasks to be updated more and this helps to gain efficiency even in the most mundane of tasks.

Figure 5

PERFORMANCE IMPROVEMENT SYSTEM

- Conduct the Evolution using current administrative bill
- Conduct on station debriefs
- Supervisors bring feedback for further process improvement
- Feedback is than used to reshape the original process
- New administrative bill is implemented for future evolutions
Senior Leadership

VALIANT’s senior leaders have exemplified the highest standards of quality management and control by:

- Communicating a clear, concise, and unanimous command philosophy and direction
- Continued focus on establishing an early assistance that focuses on aiding ethical, legal, and moral decisions by providing assistance before it’s too late.
- Stimulating innovation through constant analysis, improvement, and instruction
- Instituting an open dialogue with junior members, enabling them to accomplish the objectives, goals, and improve processes
- Initiating random internal inspections to ensure compliance with all applicable external governing audits to ensure full accountability and appropriate management safeguards are in place.
- Play the “what if” game constantly to prevent mistakes, enhance foresight, and allow VALIANT to address concerns before they become larger issues.
Actively identify weaknesses within processes, people, and programs. Then correcting immediately using training, community relations, and seeking other sources of outside help from all available networks.

VALIANT’s senior leadership has led the Atlantic Fleet for several years now by actively implementing new and innovative ideas to both reach and maintain a balance between the needs of the customers, the needs of the stakeholders, and the needs of the organizational members. The primary customer is its Coast Guard operational commander – Commander, Atlantic Area. For VALIANT, responsiveness to its customer means maintaining around the clock vigilance and readiness, and ensuring the ship can respond quickly to a variety of tasking by always being flexible. Its senior leaders have often struggled with the dilemma associated with being “always ready” and the accompanying toll that is taken on the organization’s members. These members also have other responsibilities in addition to the Coast Guard with responsibilities with their families and their community and societal responsibilities. Its unique ability to maintain a high state of readiness is augmented by several other resources. This is necessary to ease the strain of the perpetual needed for maintenance on such an aging ship. Most maintenance is performed during homeport periods and subsequently proper planning, efficiency, and flexibility are key leadership elements that allow VALIANT to strike the perfect balance between achieving needed maintenance and granting some well deserved down-time for the crew.

In response to the changing needs of the multiple factors involved in the organization, the senior leaders on board VALIANT created a mission statement, a vision statement, a strategic plan and a command philosophy (enclosure 1) to communicate values and performance expectations to ensure that VALIANT is considered a First
Choice assignment, ensure the command prepares its people. The command philosophy is a document disseminated throughout the crew, which recognizes the need for constant change and addresses the components that enable VALIANT to perform its mission and serve the customer. First recognizing the members of the organization, the document recognizes that the crew is “comprised of a highly diverse mixture of individuals from many different hometowns, backgrounds and interests which ensure that the command adheres to its core values of HONOR, RESPECT AND DEVOTION TO DUTY.” The document also imparts an inter-dependency on each other to complete the missions assigned to us. This means that the command must train all new individuals to ensure that they are competent and able to help carry the workload. VALIANT does this through cross training, job rotation, and seeking out numerous educational opportunities. Currently 100% of the members onboard is VALIANT is qualified in multiple watch stations which allows us to have the flexibility to rotate personnel and gives us the added benefit of maintaining above average watch rotations and thus increase workload productivity. VALIANT has set this bar high to facilitate the best possible job atmosphere for every member onboard. Every member onboard stands a watch which eliminates some issues that other cutters have with dissatisfaction among crew members. This document also states that this job must be a first choice assignment to ensure that the command employs innovative ways that are fun and provide a high level of job satisfaction by scheduling constructive work hours, maximize professional development, and reward those who deliver results. VALIANT’s senior leaders continue to reaffirm the importance of the organization’s members by addressing the concerns that individuals have about being called away with little notice: “We will ensure that its people’s families are well provided for with the support and services they are entitled to and may need.”
The command philosophy also addresses the requirements placed on the organization’s members in order to perform its missions and carry out the tasks assigned by the customer. The command calls for individual members to maintain discipline and conform to high standards of performance so that VALIANT may “answer all bells, perform any mission, anywhere, anytime” and “be ambassadors of the Coast Guard and bring credit upon the command and the United States.”

Figure 6: Command and Mission Alignment

VALIANT’s senior leaders have established an early warning network that is monitored via personal, systematic, and organizational performance via Department Head Meetings and Natural Working Groups. An in brief by each key member in the VALIANT team provided each new member with the ability to search out answers and help from the designated members onboard. New members also have personal meeting with the Commanding Officer and Executive Officer to demonstrate to each member that VALIANT is only as strong as it’s weakest link and that help is out there if needed both personally and professionally. Quarters are held twice weekly underway and weekly import to communicate values and performance expectations. This also allows the
command to pass the “latest and greatest” operational information to keep the officers and crew “in the loop.” This allows the crew to manage their expectations and also fosters a sense of ownership by allowing each and every member to participate and do complete their part that will allow VALIANT to accomplish the next task. Quarters also provide a stage to give recognition to sailors who have outstanding performance or earned awards for exemplary service. VALIANT has also instituted several internal programs that show the continued efforts of the command to recognize its people through programs such as Sailor of the Quarter, Commanding Officers Bravo Zulu Shirts, and other internal awards. The Plan of the Day (POD) underway and the Plan of the Week (POW) import is published to pass along important command information, set goals and announce the unit’s schedule. Further guidance is posted in the Ship’s Organization and Regulations Manual (SORM) supplemented by the CO’s Standing Orders for OOD’s, which provides clear instruction on performance expectations for every job onboard.

<table>
<thead>
<tr>
<th>Risk Element Impacting SS Implementation</th>
<th>Failure Mode</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Senior Leadership</td>
<td>Future commands do not support SS</td>
<td>7</td>
<td>10</td>
<td>2</td>
<td>140</td>
</tr>
</tbody>
</table>

Communication and Organizational Performance

The senior leaders of VALIANT herald empowerment throughout the ranks and challenge VALIANT’s sailors to improve themselves both professionally and personally through educational opportunities, spiritual meetings, community service, and internal programs that aid in their advancement. Some examples include “C- schools” which often provide offsite training on shipboard systems and processes, and the Defense Activity for Non-Traditional Education Support (DANTES) that enables members to take
college courses in a multitude of ways to fit their unique learning style. By encouraging input from all levels of the organization through “Hot washes,” debriefs, and general Question and Answer sessions, the command initiates natural working groups for diverse issues. The issues include items that affect the crew everyday including implementing more efficient duty sections, thus ensuring VALIANT is always ready by implementing various quality control efforts to make its crew ready at any time for its annual Command Assessment of Readiness Training (CART). Furthermore, information exchanges are held weekly through Morale meetings, Request and Complaint Masts, and divisional trainings and meetings. VALIANT also holds training on an as needed basis to discuss and inform the crew of new programs that are available such as the thrift savings plan, budget training, educational opportunities, and explaining other support groups located in and around the south Florida area. Despite the extremely high operational tempo, VALIANT continues to promote and participate in an active role in the community through involvement in programs like the Combined Federal Campaign (CFC), Community Relations projects, and forming an Memorandum of understanding with a local Naval Sea Cadet Chapter.

Table 5: Action Team and Working Group Relationships

<table>
<thead>
<tr>
<th>Defining Attributes</th>
<th>Quality Action Team Relationships</th>
<th>Natural Working Groups Relationships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Membership</td>
<td>Cross Functional groups generally including multiple departments.</td>
<td>Groups generally isolated to specific divisions that work together daily and own one or more of the processes in question.</td>
</tr>
<tr>
<td>Basis</td>
<td>Designated by the Commanding Officer in the Cutter Organizational Manual (CORM) or the Command</td>
<td>The Personnel Allowance List (PAL), Command Assignment List (CAL), and VALIANT Organizational Chart</td>
</tr>
<tr>
<td>Who designates assignment?</td>
<td>Assignment List (CAL).</td>
<td>provide the input and structure.</td>
</tr>
<tr>
<td>---------------------------</td>
<td>------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td></td>
<td>The CORM and CAL designate accordingly. Commanding Officer and Executive Officer also designate on an as needed basis.</td>
<td>The CAL, Divisional standard operating procedures, and the VALIANT instructions designate accordingly. Commanding Officer and Executive Officer also designate on an as needed basis.</td>
</tr>
<tr>
<td>Process for ensuring information is passed on</td>
<td>Construction and correction to administrative bills.</td>
<td>Construction and correction of administrative bills.</td>
</tr>
</tbody>
</table>

The crew frequently meets with both the Commanding Officer (CO) and the Command Chief (CC) to voice their concerns and get answers “from the top”. The CO and CC use these meetings to understand the ever-changing needs of the crew and to find out what is being perceived of the current activities and to also find out how things are really going. The CC meets with the separate pay grades to discuss VALIANT specifics such as habitability, morale, and educational concerns in addition to field any questions concerning the operational tasking. The topics also cover Coast Guard wide issues such as the uniforms, capital improvement, and its ever-changing job description as new issues and events force the Coast Guard to be ready to tackle any task at hand. The CC uses these meetings to execute training, much of which is taken from the Leadership Development Center training manual with topics such as chain of command training, effective leadership, and promoting good work environments from within. This venue
provides a unique learning opportunity and allows the crew to interact through lectures and role-playing various leadership scenarios. The CO also meets with the separate groups providing the crew with yet another chance to voice their specific concerns. The Captain uses this as an opportunity to snuff out rumors, discuss current/future patrol plans, and provide insight into various policies and procedures. So the crew can get an idea into the thought processes being used and allow an avenue for constructive feedback.

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<thead>
<tr>
<th>Risk Element Impacting SS Implementation</th>
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<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication and Organizational Performance</td>
<td>Communication breaks down and performance is not a priority</td>
<td>2</td>
<td>10</td>
<td>2</td>
<td>40</td>
</tr>
</tbody>
</table>

**Inspection and Audit Processes**

Coast Guard Personnel Command provides Human Resources. VALIANT measures Human Resource success by numerically analyzing personnel strength trends and then providing feedback via “Command Concerns” messages prior to each assignment season. Budgetary control is further exercised by weekly review of spending rates through the spreadsheets given in Enclosure (2) during Department Head meetings. MLC Atlantic provides technical and parts support to resolve all engineering casualties. Their performance is based on timely delivery of parts and services, which is measured through parts/service lag times. Training Quota Center (TQC) provides pipelines and shipboard training for the crew. Mandatory training requirements are detailed in the Cutter Training and Qualification Manual, which provides an excellent baseline to measure TQC’s overall service to VALIANT.

Another measurement of VALIANT’s customer satisfaction and business results has to do with the ability to request and receive the parts we need to correct equipment.
casualties in a timely manner. As VALIANT’s engineers have proven to be very adept at correcting casualties once provided the necessary resources (usually a matter of days, depending on the scope of the casualty and type of equipment), results in this area are usually dependent upon the availability/lead time of parts needed for the repairs. One feedback mechanism we provide to suppliers is a standard line on CASCOR (CASualty CORrect) messages: “XX DAYS DELAY IN RECEIPT OF PARTS.” This is one way for both parties to track the urgency of the need for certain parts and allows VALIANT to frequently remind key suppliers of the most critical equipment shortcomings. Through this process, VALIANT is able to keep a sharp focus on the deficiencies that keep us from being “fully mission capable” in the engineering realm and direct the appropriate amount of concern to lacking areas.

Figure 7: Suppliers, Partner Processes & Performance: PERCENTAGE OF ASSIGNED BILLETS ACTUALLY FILLED
Internal Support Process Performance

VALIANT’s overall measurement of internal support processes is the bi-annual MLC Compliance inspection. Satisfactory scores during the inspection translate into an effective internal support system. As discussed in Category 6, the MLC Compliance inspection is an assessment of all administrative and financial processes. The last MLC Compliance Inspection, conducted in August of 2005, yielded a result of “100% Compliant” with only 4 noted discrepancies. This is yet another direct representation of VALIANT’s high level of customer satisfaction and continued ability to achieve the business results it is designed to produce.

VALIANT is able to hold it’s senior leaders accountable through their Officer Evaluation Reports. This documents their actions, output, and ability to conduct their job and the next higher pay grade. This could limit their future promotions, and could also end their career if errors in certain areas are identified. VALIANT also holds Fiscal Accountability high and has a system that prevents personnel from abusing the Taxpayers money by requiring all purchases to first be approved both for necessity and by the ability of the unit to procure the items. This is especially important with items such as alcohol, ice, water, gifts, and other items that are already either provided or not necessary to complete the mission. VALIANT also has random internal and external audits that don’t always coincide and are used to measure the success of the individual program at that time. VALIANT also protects its people by allowing them fair and equal treatment. This is done through a strong Human relations policy onboard, and by providing the member with all of the necessary tools for them to succeed.

VALIANT recognizes that today’s Coast Guard is an increasingly diverse workforce. Due to operational commitments it is challenging to educate afloat units
concerning issues relating to diversity, sexual harassment, and equal opportunity. These issues are at the forefront of the Commandant’s vision and the Command of the CGC VALIANT.

Success requires a personal commitment to the principles of civil rights and equal opportunity, and is based on all personnel acting purposefully and proactively to put this commitment into action. The Command aboard VALIANT and its personnel have established a proud and favorable working environment through:

1. Establishing an HRC/Equal Opportunity program that agrees with the Commandant’s policy to, “Continuously strive for a workforce that reflects America, and promote an environment that places high value on individual dignity, respect, and professional growth.”

2. A system of organized meetings conducted while underway and in port, the Human Relations Council creates a network to address Human Relations issues as they arise, while at the same time educating the crew about diversity, thereby promoting the spirit of the Commandant’s policy on diversity, sexual harassment, and equal opportunity.

3. Recognizing several cultural observances, Hispanic Heritage Month, Native American Heritage Month, African American Heritage Month, Women’s Heritage Month, and Asian/Pacific Islander Heritage Month. The HRC will discuss appropriate ways for the crew to observe these months with command approval.

VALIANT’s senior leadership is judged by the success of the junior members and the overall unit. This is not just dedicated to the number of LE cases run, boarding’s, etc… but rather it is this included with operational readiness, unit results during
inspections, and various other safety and personnel related categories. Included in these are Educational opportunities, Public Affairs, and unit morale.

VALIANT frequently conducts internal audits and ensures that internal inspections are down prior to the arrival of official inspecting parties such as the Maintenance Logistics Command, the Tailored Annual Cutter Training Team, and the Food Services Assessment Team. Project Officers and mock inspection teams are established to ensure that the proper administrative procedures are being followed. This allows VALIANT to maintain its high state of readiness and ensures that there is a constant learning curve and furthermore it promotes instruction and discovers any discrepancies and allows adequate time for the cutter to fix these issues. Additionally, unlike some other units, VALIANT uses these inspections as a training example and institutes checks and balances to ensure that the same mistakes do not continue to occur. This process fosters an outstanding work environment by providing a level of success and an even higher level of expectations. These processes have also promoted team building and has caused every member to take ownership in team VALIANT and causes their to be a new rational that they don’t want to be the black mark on the inspection checklist, but rather be the very best.

Figure 8: Command Recipe for Success

Planning  Job Rotation  Educational Opportunities

Cross Training

Foresightedness

Recipe for Success

Morale
VALIANT’s recipe to success has been the ability to institute foresightedness and careful detailed planning, through drafting instructional bills, holding “Hot wash” sessions that allow immediate feedback, and constantly managing the need for improving processes. VALIANT’s recipe for success has resulted from instituting project officers that work with the other crewmembers. This unique process allows there to be one central distribution point, however this allows junior leaders to involve other members and work cohesively as a team to accomplish the assigned task or goal. With VALIANT’s extensive planning for every patrol and inport period, even the most miniscule issues are identified and tracked to ensure that small projects don’t slip through the cracks and become major headaches down the road.

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</tr>
</thead>
<tbody>
<tr>
<td>Inspection and Audit Process</td>
<td>Audits and Inspections are not tied to SS key outcomes</td>
<td>4</td>
<td>10</td>
<td>2</td>
<td>40</td>
</tr>
</tbody>
</table>

**External Outreach**

VALIANT is the largest afloat military asset in the Miami metropolitan area. The command enhances its community involvement by acting as the host platform for the Florida Hispanic Yearbook premier. While moored in homeport, VALIANT displayed in distinguished fashion the diversity, willingness, and unique cohesion that has earned VALIANT’s crew as being some of the finest members in the Coast Guard. The Yearbook event garnered both local and national media attention and prompted demonstrations for local community leaders, press, and flag officers. VALIANT also
extended its helping hand in four different foreign countries and achieved front page media coverage in the Miami Herald, the Nassau Guardian, and the national newspaper of the Dominican Republic. All of VALIANT’s efforts also resulted in the filming by UNIVISION to further explain the Coast Guards roles and responsibilities of the general public. VALIANT’s consistent success has also entered into talks for VALIANT to represent the Coast Guard in the movie “A Color of Honor, the Hispanic history in the United States military.” Additionally, due to its multi-mission effectiveness and daily involvement with the local community, VALIANT was chosen to host a tour for local minority community leaders to illustrate and provide a background for the Coast Guards role in Alien Migrant Interdiction Operations (AMIO). VALIANT continues to remain sensitive to the passionate desires of the Haitian and Cuban-Americans and further educates them on the dangers of trying to illegally enter into the United States.
The Flight deck of VALIANT with over 300 Haitian and Cuban migrants on deck being attended to for medical and repatriation purposes.

VALIANT crew members at a community relations visit to an orphanage in Puerto Plata, DR.

Boarding Officer distributing Life Jackets to an overloaded Haitian Sail Freighter.
VALIANT’s news and media coverage is also a very important indicator of Public Affairs customer satisfaction.
discovered that there were well over 50 people inside of the 258 square-foot VALIANT embarked all migrants from the vessel and destroyed the sailing vessel as a hazard to navigation. VALIANT embarked the 57 migrants, which brought the total number of migrants to 469 migrants that had crossed VALIANT’s decks during the short 24-day patrol.

VALIANT quickly organized the repatriation of the Haitian migrants reduced to Cap-Haitien until off loaded the 108 Haitians. This marked the first time in history that a Coast Guard cutter repatriated migrants to Cap-Haitien. As a result, Cap-Haitien will serve as a utilitarian repatriation location for future operations.

VALIANT then continued on to Guanatamo Bay, CU for the further transfer of free Cuban migrants and a logbook stop. After departing Guanatamo Bay, Cuba VALIANT proceeded to Catoe Reef, NM for its final scheduled port visit where it enjoyed a relaxing two day visit and celebrated the New Year.

The VALIANT has a crew of 75 men and women and was commissioned in 1963. It saw action in Operation Althea, the Marianna Bight Lift, and is considered the most dependable cutter in the Atlantic Fleet. In the past year the cutter has steamed from the Gulf of Mexico to the shores of Virginia and Maryland, and to the far reaches of the eastern Caribbean conducting the Coast Guard’s missions of maritime security, national defense, search and rescue, illegal drug interdiction, and law enforcement resources. On this patrol alone, the cutter traveled over 2,500 miles in the Western Atlantic and Caribbean basin.

THE COMMANDANT OF THE UNITED STATES COAST GUARD
WASHINGTON, D.C.

3 August 2004

The Commandant of the Coast Guard takes pleasure in presenting the COAST GUARD MERITOUS UNIT COMMENDATION to:

USCGC VALIANT (WRCC 621)

For service as set forth in the following:

CLARION:

For meritorious service from August 2003 – May 2004 in the extraordinary execution of the Haitian Migration Anomalies in the Tropical Western and Western Passage. Throughout this period, VALIANT’s meritorious performance of duty and exceptional interagency communications were vital to a successful mission outcome. While under the overall command of Group Key West, VALIANT took custody of 279 Cuban migrants. Effectively conducting intense migrant interdiction operations, VALIANT conducted Law Enforcement operations that led to the interdiction of 52 Cuban migrants and those migrant smugglers in a single week. During the month of February 2004, VALIANT repatriated 112 Cuban migrants along with Coast Guard Cutter PIGEON during the repatriation of large numbers of migrants assisted Cuban Territorial Seas. During this same time period, VALIANT continued to provide a steady presence for the Government, District Seven Commander, and the Director of the Bureau of Immigration and Naturalization Service while at sea with migrants to avoid the challenges associated with migrant interdiction and the risks associated with the transfer of migrants. As task unit commander of Perico in the Western Passage during the initial stages of its assigned mission of Cuban migrants during the recent crisis situation in Haiti, VALIANT successfully assisted a total of two ships and three aircraft, preventing over 100 migrants and allowing a mass deportation from Haiti. VALIANT became the first cutter to successfully repatriate a high-risk population of over 300 Haitian migrants without American follow up support. Throughout this operation, VALIANT executed time-sensitive interdiction missions, interdictions, and lands were provided to the Government. Task Force South. This information proved to be the critical factor in a successful series of events ranging from positive media coverage of Coast Guard interdiction response, to the immediate repatriation of additional assets to the region. The dedication, pride and professionalism displayed by VALIANT reaffirms our past and present, and the United States Coast Guard.

The Operational Distinguishing Device is authorized.

For the Commandant,

V. S. Cox
Vice Admiral, U.S. Coast Guard
Commander, Atlantic Area
CGC VALIANT Returning home after a recent Holiday Deployment.
The above excerpts are from recent articles that were released to the press and used for news stories. The ultimate Business Result for USCGC VALIANT is the state of readiness reported to the operational commander. Externally, we report SORTS and RAM to customers. Internal tracking is supplemented by the CORI. If readiness is not at a level pursuant to the demands of our operational commander, changes are in order to achieve those expectations.

For the Commanding Officer and his crewmen and women, the journey had been at times exciting, dicey, tense and yet rewarding.
On Dec. 10, the cutter called 911 from a satellite telephone after finding 34 Cuban refugees and three alleged smugglers whose craft was taking water.

Then, there was another encounter with Haitian refugees – 50 people in a 25-foot sailboat. The cutter took the refugees to Cap Haitian, Haiti, the first time ever refugees were repatriated there.

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</thead>
<tbody>
<tr>
<td>External Outreach</td>
<td>External Stakeholders do not support SS</td>
<td>2</td>
<td>10</td>
<td>2</td>
<td>40</td>
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**Strategy Development Process**

VALIANT’s command has recognized the necessity for proper planning of both future known events, and unknown events and have done so by careful planning to allocate time for both known and unknown events, programs, inspections, and casualty’s. VALIANT’s inports range from 30-40 days on average and are generally speckled throughout with these events that require both preparation and planning to succeed and ensure that we hold ourselves to the VALIANT standard. Its ability to continually
improve will only result in proper planning, preparation, and analysis to ensure that its higher standard is both met and exceeded.

(1) VALIANT has 4 main items in addition to those laid down by Commandant, LANTAREA, and it’s TACON’s that we use to develop its plans including the Command Philosophy, the strategic plan, the mission statement, and VALIANT’s vision statement. Strategic planning helps VALIANT enhance its simplicity of operation and expectations, and surge in unit readiness. By constantly reevaluating its processes, both internal and external, we have been able to identify weakness and inefficiency in its operations. VALIANT goes through its general checklist to determine shortcomings that would prevent us from ultimately attaining its goals. Continual questioning fosters continual improvement:

- Is its equipment operational and do we have the key parts, funds, and knowledge to keep it operational.
- Do we have a fully qualified crew that is knowledgeable in all aspects of their job
- Do members involved have a clear, concise message that has been conveyed to them on several different occasions that identify the expectations for both themselves and the Unit.

VALIANT's championed planning processes have led to instituting several checks and balances including the following:

- Communicating a clear, concise, and unanimous command philosophy and direction that emphasizes the continued growth and development of the crew
Implementing ideas and plans that ease the job burdens on key players by searching for simple solutions to problems

Obtaining short term and long term objectives and posting these goals to inform the crew of the milestones that are needed to achieve the short term and long term goals.

Instituting an open dialogue with junior members, enabling them to accomplish the objectives, goals, and improve processes

Extensive tracking of preventative maintenance to keep up with an aging legacy asset

The Mission, Vision, Command Philosophy, and Strategic Plan are posted in the main passageway. All new personnel reporting aboard are provided a copy of which for review.

The unit’s Senior Leadership Meetings consist of the CO, XO, department heads and the Command Chief. They meet regularly to review the progress of Natural Working Groups and Quality Action Teams and also review progress made toward calendar year goals and long-term strategies noted in VALIANT’s Strategic Plan.

Short-term planning is handled through periodic Department Head meetings. Due to increased OPTEMPO, these meetings are held on an as needed basis and are very flexible in their planning. They are called together, when needed, to refine the ship’s schedule, enhance the unit training plan, review action items and the status of required reports, and update personnel and budget issues (human resource capabilities and needs) in support of strategic goals. All of these items are placed into a centralized event calendar, which is then distributed throughout the crew. During periods of extreme
Operations, special care is placed in crew fatigue, environment, and morale to ensure that they are ready to accomplish the next major goal.

Natural Working Groups are utilized to assess and refine the effectiveness of various shipboard evolutions. A systemic approach was used to improve all-hands evolutions such as Alien Migrant Interdiction Operations (AMIO), the execution of shipboard drills, and Vessel boarding’s. To illustrate, during a standard patrol Alien Migrant Interdiction Operations are intensive. When encountering a vessel dangerously overloaded with people that are desperate to escape from the conditions of their homeland, a cutter needs to execute the following: launch the Rigid Hull Inflatable (RHI), launch the Motor Surfboat (MSB), provide lifejackets to the migrants, embark the migrants onto the RHI/MSB for further transport to the cutter, frisk each migrant that comes aboard, get an accurate count of migrants, take their belongings away and set them aside, transport them to the flight deck, issue new belongings (shower shoes, soap, towel, toothpaste, toothbrush, blanket), recover the RHI/MSB, provide security forces on the flight deck, coordinate feeding times for the migrants, set up the toilet facilities, set up the migrant tent to keep them out of the direct sunlight, continue to care and feed the migrants until repatriation is arranged, prepare the migrants for disembarkation, and essentially conduct the process in reverse. There is a LOT that can go wrong during AMIO evolutions. Because we encountered numerous migrant vessels, we seized the opportunity to build upon previous events and cultivate continuous improvement. After every AMIO vessel encounter, key members of the AMIO/LE NWG (Refer to diagram on page 6) met in the wardroom to work-out the various snags and better the process for the next migrant vessel. The built-in cycle for improvement trained us to become very proficient with its services. The following are some AMIO specific processes that were
fixed through the systematic approach: timely issue of migrant consumables (blanket, soap, etc); proper coordination of migrant feeding times; accurate accountability for every migrant and his/her personal belongings; smooth execution of migrant embarkation and frisking.

Long term planning is executed quarterly or on an as needed basis due to schedule changes, casualties, or other limiting factors that can severely alter a cutters actions and response. When these meetings are scheduled, a set agenda is discussed along with an open questions and answer session to ensure that the crews voice and concerns are being heard. All of these items are placed into a centralized event calendar, which is distributed throughout the crew via email. During extended periods of lengthy patrols, due care is put into ensuring things such as morale, health and well being, and habitability is factored in. This is because the drills will get done and the work will get done, but often times during bust patrols, the crew loses touch of reality. By carefully planning several meetings before the patrol to discuss items to improve the patrol, long term objectives are met. The key instrument for long term planning is the Commandant and LANTAREA’s strategic plan, which is used in updating VALIANT’s strategic plan for at least one year in advance.

During every short and long term planning meeting VALIANT determines its organizations abilities and shortcomings via a SWOT analysis. During these in depth analysis, items that are hindering VALIANT are identified along with strong and weak items that both help and threaten its ships short and long term goals. VALIANT also uses the “What If” mindset to address different scenarios and ensure that we have the senior and junior members that are necessary for long term organizational stability and
sustainability to ensure that VALIANT can continue on even after major transfer seasons, and difficult times.

Strategic objectives are broken into smaller portions and are distributed to the appropriate personnel to implement and internalize into VALIANT. Some examples are the Educational Services Officer is given the task of preparing a small budget and allocating space onboard for a learning library for use with both outside educational items and internal professional development items.

While executing the annual budget, it is absolutely critical to ensure the proper planning, monitoring and evaluating of limited financial resources. Planned spending for the fiscal year is developed well in advance with the needs of all divisions in mind. The Budget Board meets several times at the end of the fiscal year to determine the breakdown of spending across quarterly and divisional lines. Over the course of the fiscal year, actual divisional spending is monitored closely and then discussed during department head meetings.

Operational objectives are established by OPCON and TACON in OPORDER's and are achieved through its presence, aggressive boarding’s, law enforcement actions (documentation of warnings, violations and seizures), helicopter operations, search and rescue, and enforcement of marine environmental protection regulations and maritime security. VALIANT’s overall readiness for these activities is monitored continuously via the Commanding Officer’s Readiness Indicator (CORI). Readiness indicators are reported up the chain of command using SORTS and a Risk Assessment Matrix (RAM). These are the overall measures of organizational effectiveness.

Commandant’s Cutter Training and Qualification Manual promulgates unit training requirements. The unit training program measures those requirements against
actual completion and performance. The Training Officer produces graphs of unit training percent complete during patrols and makes them available for crew’s review. Unit Training percent complete is compiled quarterly and used as an input to the CORI. Personnel watch station qualifications are tracked for each department to ensure minimum requirements are met, thus, allowing for review and cross training of critical billets to account for personnel transfers, further improving readiness.

The most recent human resource plans that have been developed include cross training, and empowering its people by providing them with the qualification materials immediately upon arrival along with an extensive check in package that allows the member to internalize there key support systems available and allow them to see what is expected early on when they are provided the Command Philosophy, Vision and Mission statement, and the strategic plan. VALIANT’s dashboard gauges along with extensive tickler charts are used to ensure that the strategic plans are being followed upon and to ensure that all key deployment areas and stakeholders fully understand its objectives.

Figure 9:

| Commanding Officer’s Readiness Index (CORI) |
The strategic objective onboard VALIANT is Readiness. Readiness is the ability to respond appropriately to assigned missions and is paramount to satisfactory performance. All measurements to determine readiness are analytical in nature. Making arbitrary, unsubstantiated decisions concerning the readiness level is dangerous to both the crew and the ship. The various measurements of readiness are checked and
crosschecked for their reliability via various natural working groups, training teams, and leadership analysis.

SORTS

SORTS is the DoD standard for assigning a rating to a military command. SORTS provides a unit assessment comprised of the following areas: personnel, supplies on hand, equipment, mobility, SAR capability, and training. These tiers are then applied to Navy and Coast Guard mission areas with a score applied for each tier within the mission area. The overall goal of SORTS is to aid the Operational Commander in determining the readiness and military capability of a unit. SORTS defines readiness as:

“the ability of forces, units, weapon systems, or equipment to perform wartime functions” (primary missions) “for which they are designed or organized, including the ability to deploy and employ without unacceptable delays. The principal components are condition of on hand resources, inventories of material and personnel, and the positioning of elements.”

Military capability is defined by SORTS as: “the ability to achieve a specific wartime objective” (mission).

The primary missions for the 210’ Medium Endurance Cutter class are CG Mobility, CG Command and Control, Law Enforcement, Search and Rescue, Navy Mobility, and Navy Command and Control. Each mission area is further broken down into the four resource areas of personnel, supply, equipment and training. Determinations of readiness in each category are made using the Class-specific SORTS computer program, which automatically applies a numerical value for each area. The program includes further calculations for degradation to mission areas and resources caused by personnel shortages, casualties to equipment, shortfalls in training, and lack of supplies.
All calculations throughout the process are rule based and therefore provide an accurate snapshot of the unit’s readiness at a given time.

**CORI**

The Commanding Officer’s Readiness Indicator (CORI) is a compilation of numerous qualitative readiness inputs; the resultant being a quick analytical overview of how ready the cutter is to provide her services. The four assessment areas incorporated into the CORI are CART, Risk Assessment Matrix (RAM) and SORTS, Maintenance and Logistics Command (MLC) Compliance, and Percentage of Training complete.

The Command Assessment of Readiness and Training (CART) process is designed to maintain cutter operational readiness and meet mobility requirements, including the ability to operate and maintain U.S. Navy funded combat systems. During CART, a thorough checklist of over two thousand individual requirements is used to provide an overall assessment of a unit’s readiness to perform a wide variety of tasks that could be necessary at a moment’s notice. CART requirements carry three different weights in decreasing levels of readiness; major restrictive, training restrictive, and underway restrictive. Points are deducted from the CART Readiness Percentage when requirements are not met based on a fixed weight, derived from the Operational Readiness Award criteria. The most points are deducted for the most severe degradation, followed by fewer and fewer points. Finally, all Weighted Values are summed and then subtracted from 100 percent resulting in its CART Readiness Percentage.

The RAM is a COMLANTAREA generated message report that formally identifies and quantifies risk on board Coast Guard Cutters. Like SORTS, it can be explained as providing a snapshot of a cutter’s readiness to perform its assigned missions. On an administrative level, LANTAREA has been able to use the RAM
message to track and quantify areas of concern within the fleet in order to present data for personnel and budget issues, as well as shortfalls (i.e. lack of qualified crewmembers). The RAM database is accessible to strategic planners at the Area, MLC and Commandant level. These reports serve two ends: they keep the strategic planners informed of VALIANT’s status and precipitate dialogue between the command and the crew during the interaction that is required for the message’s creation.

Within the RAM message there are three color-coded assessments (red, yellow, and green) which are applied to six areas: Deck, Engineering, Operations, Supply, Weapons and Law Enforcement, and Quality of Life. Red denotes a high level of risk and the reasonable inability to perform an assigned task. Yellow denotes a moderate degree of risk or degradation, however the mission or assignment can still be completed. A green classification signifies a low level of risk and that the mission can be fully performed. Supporting comments are added to clarify why the cutter is deficient. The Commanding Officer fills out the “Overall” column thereby summing all of the marking areas and establishing the cutter’s immediate readiness level. Within the CORI each color code is designated with a numeric representation. All categories are then summed, with the highest possible score being forty. The sum is then used to calculate a RAM Readiness Percentage.

All cutters undergo a bi-yearly MLC Compliance inspection; the purpose being to ascertain the condition of administrative, personnel, and supply logistics on the cutter. The resulting Compliance Percentage is based on an exhaustive checklist with either pass or fail outcomes. This percentage is entered into the Readiness Calculation, the third phase of the CORI matrix.
The fourth input into the CORI is **Training Percentage completed**. Crewmember training is a vital factor in determining whether a cutter can accomplish its mission. In order to track training percentages for personnel, VALIANT has a Training Board chaired by the Executive Officer. The Training Officer is responsible for the Unit Training Plan, as well as composing schedules for cutter drills and exercises, departmental/divisional training, periods for accomplishing general military training, and ensuring On Board Training Teams (OBTT) are in place and functioning. The Training Officer reports to the Executive Officer on the status of training percentages and scheduling. Training requirements for the cutter are broken down into four categories: quarterly, semi-annual, annual, and bi-annual.

**Figure 10**

### CORI Example

<table>
<thead>
<tr>
<th>CART Input</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Restrictive Category</strong></td>
<td><strong>Cumulative Number</strong></td>
<td><strong>Category Weight</strong></td>
</tr>
<tr>
<td>Underway</td>
<td>0</td>
<td>1.00</td>
</tr>
<tr>
<td>Training</td>
<td>0</td>
<td>0.66</td>
</tr>
<tr>
<td>Major</td>
<td>0</td>
<td>0.26</td>
</tr>
</tbody>
</table>
CART Readiness Percentage: 100.0%

RAM Input

<table>
<thead>
<tr>
<th>Department</th>
<th>ORM Color Assignment</th>
<th>RAM Color to Point Key</th>
<th>Point Assignment</th>
</tr>
</thead>
<tbody>
<tr>
<td>Engineering</td>
<td>Green</td>
<td>Red = 2</td>
<td>10</td>
</tr>
<tr>
<td>Deck</td>
<td>Green</td>
<td></td>
<td>10</td>
</tr>
<tr>
<td>Supply</td>
<td>Green</td>
<td>Amber = 6</td>
<td>10</td>
</tr>
<tr>
<td>Operations</td>
<td>Green</td>
<td></td>
<td>10</td>
</tr>
<tr>
<td>Weps / L.E.</td>
<td>Green</td>
<td>Green = 10</td>
<td>10</td>
</tr>
<tr>
<td>Quals</td>
<td>Green</td>
<td></td>
<td>10</td>
</tr>
</tbody>
</table>

Total RAM Points: 60
RAM Readiness Percentage: 100.0%

CORI Calculation

<table>
<thead>
<tr>
<th>Component of Overall Readiness</th>
<th>Component Readiness Percentage</th>
<th>Component Weight</th>
<th>Component Weighted Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>CART</td>
<td>100%</td>
<td>0.20</td>
<td>.2</td>
</tr>
<tr>
<td>RAM</td>
<td>100%</td>
<td>0.50</td>
<td>.5</td>
</tr>
<tr>
<td>MLC Compl.</td>
<td>94.0%</td>
<td>0.15</td>
<td>0.141</td>
</tr>
<tr>
<td>Training %</td>
<td>45.0%</td>
<td>0.15</td>
<td>0.068</td>
</tr>
</tbody>
</table>
The SORTS and the CORI matrix provide an insight into the cutter’s overall readiness. In order to establish a historic representation, the two major categories are tracked and compared in order to improve organizational performance. Further, this data output is utilized by VALIANT senior leadership to identify problem areas, and correct
through the innovation of onboard training teams and project committees. The diagram below demonstrates the influence that the CORI (RAM, CART, Training, and MLC compliance%), RAM, and SORTS play into providing both the customer, and Commanding Officer on the status of the cutter at any one point.

Tracking of the cutter’s budget is key to the administrative success of the unit. Through a complex series of electronic worksheets, divisional spending is tracked in detail to ensure spending is within prescribed limits and rates. The entire workbook is available to the crew via the ship’s network server, to allow all crewmembers access to the information at their convenience. At the end of each quarter, planned versus actual spending is reviewed by the budget board and necessary adjustments are made to subsequent quarterly plans. VALIANT selects overall readiness indicators that assess every detail. Output equals accurate portrayal of readiness. Innovation is developed through looking at the information provided by readiness assessment tools and finding novel methods in which to reach 100% mission capability at all times.

Performance measurement is kept current with organizational needs and directions through the utilization of broad-based readiness indicators. By maintaining readiness for all types of situations, VALIANT remains current with all organizational needs or mandates. Further, as forward-looking, capable platform VALIANT remains open to adapt to the utilization of a new readiness indicator when it becomes available.

Organizational performance is reviewed onboard VALIANT utilizing both SORTS data and the CORI matrix. SORTS data is reviewed by the VALIANT command cadre through the routing of the SORTS readiness summary message prior to release. This summary message is composed during each change in readiness status (i.e. Cutter enters maintenance period or experiences a significant CASREP). Senior leadership
analyzes the factors contributing to a decrease in readiness status and assigns appropriate
training teams or committees to resolve the deficiency. Further, on a daily basis during
evening reports composed of the Executive Officer, Department Heads and Command
Chief, readiness deficiencies identified through SORTS are discussed in detail, including
the impact of a specific problem. Appropriate action is then planned and taken for
resolution. The discussion of the specific impact is the crucial factor that validates or
invalidates the data provided from SORTS. Similarly, the CORI matrix is reviewed to
assess readiness. The process of preparing for the inspections and training that compose
the CORI matrix identify weak areas and are focused on by the senior leadership as target
areas for improvement.

The output of the SORTS data and CORI matrix is directly utilized to determine
organizational success and competitive performance. VALIANT’s strategic objective is
mission readiness and is illustrated inherently by the output of SORTS / CORI matrix. In
terms of SORTS, optimal readiness is designated as CHARLIE I and in the CORI matrix
as a score of 100%. VALIANT’s designation as CHARLIE I and 100% in the CORI
matrix demonstrates fulfillment of the strategic objective of mission readiness and
naturally displays VALIANT’s ability as a mission ready platform able to adapt to
changing organizational needs.

Organizational performance findings are constantly evaluated by VALIANT’s
senior leadership and then analyzed on how to make a given success standardized and
systematic. An excellent example of this is the creation of Area Familiarization Packages
in which VALIANT develops a comprehensive document that includes relevant
information regarding a port or operation area to the entire fleet. The first package that
was completed received excellent response from VALIANT’s TACON and OPCON.
VALIANT identified this success and made it standard practice for all ports visited or significant operations conducted. The completion of such a product naturally involves a significant portion of VALIANT’s crew including its junior members and thus enables effective decision-making throughout the organization on the final composition of a given product. Finally, VALIANT actively seeks feedback from its partners once it produces a product. This feedback is taken to ensure that the product that is provided is relevant and is in organizational alignment.

VALIANT maintains administrative compliance by tracking inventory and maintenance levels. The cutter maintains a large inventory of Operating Materials and Supplies (OM&S), which is tracked through a computer database called CM-Plus. CM-Plus provides detailed info on the ship’s inventory, to include shortfalls and excess items. The ship’s inventory is based on the unit allowance, referred to as MICA (Maintenance Inventory Control Allowance). Shortfalls are MICA items that we do not have on board. An excess is just the opposite….having a large amount of both is a bad thing. The amount of excess and shortfall items are tracked and analyzed on a quarterly basis. The desired trend is a decrease in OM&S excesses and a decrease in OM&S shortfalls. Currently, we are moving towards that end as depicted in the graph below.

Coast Guard Personnel Command (CGPC) is responsible for keeping VALIANT fully staffed in accordance with the Personnel Allowance List (PAL). VALIANT reviews their performance by comparing the PAL with the actual number of personnel onboard. On a monthly basis we release an Enlisted Vacancy Report that discusses issues such as the PAL vs. assigned billets and is used as a vehicle to communicate manning concerns to both OPCON - COMLANTAREA and to the personnel resource support command (CGPC). Another process measured to gauge readiness is the measurement of
Preventative Maintenance Schedule (PMS) rates. This provides the Engineering Officer with a tool to access the performance of his various divisions. 80% PMS completion for each category is the Coast Guard’s minimum standard. VALIANT strives to meet or exceed this standard and has shown a trend of steady improvement over the past three years.

VALIANT also uses the Large Unit Financial System (LUFS) to track all products purchased. Internally, the unit tracks undelivered orders (UDOs) as a measure of the supplier’s ability to deliver supplies and services in a timely manner. An upward trend of UDO’s indicates the ship placed a large number of orders at or about the same time, and the items have not been received and/or paid for. Conversely, a downward trend is indicative of an efficient Supply department that follows up on all purchases ensuring orders are received. A large number of UDOs can lead to a decreased state of readiness due to declining maintenance, an absence of necessary shipboard gear, and the inefficient expenditure of limited funding.

MLC is required to provide technical and funding support to ensure all engineering casualties are resolved in a timely fashion. Their responsiveness to needs is measured internally by analyzing the length of time it takes to resolve casualties and the lag time in receiving parts. We provide MLC feedback via casualty update messages which inform them of the status of a particular casualty and prompt them to expedite parts and support in order to meet mission requirements.

Another inhibitor to unit readiness is from the frequent turnover of crewmembers throughout the assignment season. When a seasoned crewmember departs VALIANT, readiness is temporarily degraded. One process to control this cyclical depletion is feedback via an annual “Command Concerns” messages. In this message we identify all
anticipated departures in the upcoming Assignment Year, discuss the impact of those departures, and provide suggestions on how to minimize the impact (on-site relief, fully pipeline trained, etc) on unit readiness.

The Cutter Training Manual provides a list of required individual pipeline training courses, required all hands drills and general military training. An internal process has been developed to track quarterly, semi-annual, and annual training percentage completeness. A training board meeting is held prior to each underway period and each inport period. A training calendar is created outlining when and training will be conducted. The training officer then logs the drills and training as they take place. Logged drills and training are compared to required drills and training to produce a real-time figure of percentage of training complete. The training officer will propose a training calendar for the next period based on drills remaining to achieve 100% training complete. All drills and training are recorded in the electronic Training Management Tools Database (TMT), and an individual report of drill completion is printed and entered into each member’s training record on a quarterly basis.

The training officer has also developed an internal process to track completion of pipeline and required formal schools. VALIANT is able to verify completion of these schools via the People soft database and uses the information to determine any pipeline training shortfalls. Although Training Quota Center (TQC) is the Coast Guard support command responsible for coordinating pipeline training, actionable feedback is provided to TQC via Electronic Training Requests (ETR). These requests prompt TQC to arrange training for an individual. Pipeline training shortfalls, which are identified on the ETR, are typically given the highest priority and therefore get the greatest visibility and response. A spreadsheet is used to track all pipeline and required formal school shortfalls,
ETRs submitted, and completion of a formal school or an expiration of an ETR. If a school is completed, the shortfall is removed from the spreadsheet. Example:

**VALIANT Required Training Shortfalls**

<table>
<thead>
<tr>
<th>Name</th>
<th>Course</th>
<th>Code</th>
<th>P/L</th>
<th>ETR</th>
<th>Orders</th>
</tr>
</thead>
<tbody>
<tr>
<td>LT</td>
<td>Engineering Admin</td>
<td>MK-01A</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>ENS</td>
<td>Engineering Admin</td>
<td>MK-01A</td>
<td>N</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>CWO</td>
<td>SWO-DCA</td>
<td>A-4G-0020</td>
<td>N</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>MKC</td>
<td>Diesel Engine &quot;C&quot; School</td>
<td>A-652-0321</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>MK1</td>
<td>AC&amp;R</td>
<td>MK-22</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>MK1</td>
<td>Caterpillar 3400 Series</td>
<td>MK-26</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>DC3</td>
<td>Steel Welding</td>
<td>DC-01</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td></td>
<td>Aluminum Welding</td>
<td>DC-02</td>
<td>Y</td>
<td>Y</td>
<td>N</td>
</tr>
<tr>
<td>BMC</td>
<td>SCCS-INS</td>
<td>CGC-216</td>
<td>Y</td>
<td>N</td>
<td></td>
</tr>
<tr>
<td>HS2</td>
<td>Med Serv. Craftsman IDT</td>
<td>J3AZR4N071-004</td>
<td>N</td>
<td>Y</td>
<td>N</td>
</tr>
</tbody>
</table>

Internal procedures and service delivery processes that support readiness are partly measured through performance during a bi-annual MLC Compliance Inspection. This inspection analyzes every aspect of the financial, supply and personnel processes and procedures. The results of the MLC Compliance Inspection are direct inputs to the CORI. In order to prepare for the MLC Compliance inspection, members responsible for a section of the inspection must do a self-evaluation of their area of responsibility. That member will then meet with the Executive and Supply Officer to report their results. Discrepancies found during the self-evaluation must be explained and a plan for correction must be presented. The effectiveness of this process is measured by the success of VALIANT at the inspection.
Business Results

The results of its processes used to maintain an acceptable level of readiness, are measured by the CORI and SORTS.

Figure 11: CGC VALIANT CORI Inputs
The operational commander is primarily concerned about mission success. They measure unit readiness for mission success through CART discrepancies and TACT scores. Delighting our primary customer means doing well in CART and TACT and striving to achieve the Atlantic Area Operational Readiness Award. Achieving excellence in CART requires constant review of the CART checklists. Achieving excellence during TACT requires highly effective shipboard training teams that have the ability to influence the entire crew in achieving superior scores in a variety of drills and exercises. By measuring our previous CART and TACT scores we can set realistic goals for improvement on an annual basis. By measuring our quarterly training percent complete we can measure our ability to succeed at TACT. As indicated in the two charts below, VALIANT’s most recent CART (completed December 2, 2004) yielded 12 (pre-TACT) discrepancies, which is significantly less than the 5 years prior. The result from our latest TACT, which concluded March 2, 2005, was an average overall score of over
97 percent. These exceptional results from CART and TACT resulted in the ATLANTIC AREA award for OPERATIONAL READINESS. The noticeable decrease in TACT scores in Fiscal Year 2002 is due to the fact that VALIANT’s underway time during 2002 increased exponentially from the previous year due to the terrorist attacks of 9-11 and the subsequent shift in focus of the Coast Guard’s missions. This abrupt and unique circumstance was a major player in the decrease in productivity for TACT in 2002 and then CART in 2003 due to the numerous new requirements that were put in place without funding since the fiscal years run behind the calendar years.

Figure 12: Customer Satisfaction: CART

A downward trend is preferred in CART
Mission Performance

The primary leading indicator of successful mission performance is the overall readiness as measured through SORTS and CORI. By tracking both of these measures, VALIANT can set performance goals and readily identify areas needing improvement; mission success will follow. VALIANT is provided an operating budget of approximately $326,000 annually. The purpose of this funding is to provide VALIANT with the ability to procure supplies and services for mission accomplishment.
The overall readiness status identifies the extent to which a unit can perform up to the level it was designed. Essentially, the overall readiness status is a composite of five resource area levels: personnel, equipment, supplies on hand, equipment condition, and training. A readiness status level of 1 indicates that VALIANT possesses the required resources and is trained to undertake all missions for which it was designed. Readiness status levels of 2 indicates that the unit has the resources to accomplish most missions, while level 3 indicates that the unit possess many but not all resources to undertake the mission for which it was designed. Conversely, a readiness status level of 4 indicates that the unit requires additional resources to undertake the missions, while level 5 indicates the unit is undergoing a service-directed resource action and is not prepared to undertake the missions for which it was designed.

Within the last year, VALIANT has maintained a readiness status of either 1 or 2, with the exception of a brief period in April when a shortage of parts through a key supplier caused VALIANT to drop into the unacceptable area for a brief period. This was noticed and all parts to mission critical systems were double checked at its onboard supply area to ensure that similar instances didn’t occur in the future.

Fractional numbers (e.g. 2.5) indicate that VALIANT was at two different overall readiness status on separate occasions throughout the month.
Despite this, VALIANT has not had to compromise its mission while on deployment to address a material casualty or supply issue. Having maintained VALIANT as a fully mission capable asset in the D7 AOR, VALIANT and its crew remained on patrol for 163 days during 2005 not including a nearly 2 month dry dock.

Being able to perform boardings, SAR cases, and AMIO cases are what is used to fulfill the customers need. Therefore the graph above illustrates VALIANT’s ability to do so. As noticed in FY05 is the extremely high level due to the fact that VALIANT was involved in a District 8 patrol where the primary concern was Fishery enforcement. During that patrol we conducted over 60 boardings alone and issued several hundred
safety violations and even had 4 vessel voyage terminations for extremely unsafe conditions thus meeting all of District 8’s objectives and goals. During the patrol VALIANT produced the most boardings, violations issued, and terminations of any WMEC during a 30 day period.

VALIANT’s focus on Alien Migrant Interdiction Operations (AMIO) decreased in FY05. This is due to the fact that during this time period, VALIANT participated in a 42 day District 8 patrol, and was involved in nearly a two month long dockside which limited VALIANT’s resources conducting AMIO operations.

SAR cases are something that isn’t necessarily a common mission for any Coast Guard Cutter, however it is extremely important that during these cases that the cutter is ready to respond to the search and rescue call. During this three year period VALIANT had saved over 1500 lives with AMIO and SAR related cases and saved well over 5 million dollars worth of property during this time period, by fixing, salvaging, and towing vessels in distress.
Another process measured to gauge our readiness is the measurement of Preventative Maintenance Schedule (PMS) rates. This provides the Engineering Officer with a tool to access the performance of his various divisions. 80% PMS completion for each category is the Coast Guard’s minimum standard. VALIANT strives to meet or exceed this standard and has shown a trend of steady improvement over the past three years. A graphical representation of the internal PMS tracking is shown on the above.

Budget planning is accomplished through a zero-based approach. The measurement of success is whether or not departments execute the budget to plan. Planned, versus actual spending analysis is utilized as the primary measurement tool for financial success. Most indicative of a successful budgetary process is a process known as undelivered orders. This process is depicted below for the improvement over the past fiscal year.
VALIANT also uses the Large Unit Financial System (LUFS) to track all products purchased. Internally, the unit tracks undelivered orders (UDOs) as a measure of the supplier’s ability to deliver supplies and services in a timely manner. An upward trend of UDO’s indicates the ship placed a large number of orders at or about the same time, and the items have not been received and/or paid for. Conversely, a downward trend is indicative of an efficient Supply department that follows up on all purchases ensuring orders are received. A large number of UDOs can lead to a decreased state of readiness due to declining maintenance, an absence of necessary shipboard gear, and the inefficient expenditure of limited funding.
<table>
<thead>
<tr>
<th>Risk Element Impacting SS implementation</th>
<th>Failure Mode</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measurement and Analysis Processes</td>
<td>Knowledge Management tools are not dynamic, tied to SS outcomes or updated easily</td>
<td>6</td>
<td>10</td>
<td>3</td>
<td>180</td>
</tr>
</tbody>
</table>

**Information and Knowledge Management**

Information and data is made available to VALIANT’s customers and partners primarily through the timely release of message traffic. Additionally, information is provided through Area Familiarization Packages. Finally information is provided to the American tax payer through community outreach programs which allow the public to interact with the command directly. Hardware and software are kept reliable, secure and user friendly by remaining in compliance with all mandatory upgrades and maintenance as well as through the implementation of all hands user training. VALIANT’s hardware and software systems remain available even in the event of emergency by the implementation of redundant systems. In this manner, VALIANT employs multiple means by which to accomplish the same task. This has the effect that during emergency when a particular system may be damaged, there is an alternative ready to be utilized. Data and information availability is kept current with business needs by the constant research and implementation of the most sophisticated equipment available to accomplish tasks.

**Organizational Knowledge Management.** VALIANT ensures the collection and transfer of employee knowledge through a wide array of training programs. Initial information is provided to new employees through a comprehensive indoctrination package that provides a newly reported member with general information regarding shipboard life and the daily work routine. In addition the package provides the member with the very basic...
information and skills to keep them safe in potentially hazardous situations while underway. Additionally knowledge is transferred by its onboard training teams, which instruct crewmembers on damage control and nautical science. The effectiveness of VALIANT’s onboard training team is highlighted through the demonstrated excellence during formal inspections such as CART and TACT.

The transfer of knowledge to customers and partners is accomplished through timely and accurate reports released by official message traffic. VALIANT, in return receives information through official message traffic, which is distributed and routed to applicable crewmembers by its Radio watch standers. As mentioned previously, VALIANT created a process to provide the fleet with best practices through Area Familiarization packages in which critical information applicable to afloat units is provided regarding operational areas and foreign ports.

c. Data, Information, and Knowledge Quality

VALIANT ensures that the information that is provided to customers, partners, and suppliers is accurate, timely and with integrity through close alignment with organizational directives. Meeting and exceeding established Coast Guard guidelines consistently provides high quality information. Further, all correspondence and information released from VALIANT undergoes a triple-level review process. The Commanding Officer, Executive Officer, and another reviewer scrutinize information that is being released and ensure accuracy. Additionally, through excellent management of security policies information is protected and kept secure. This excellence is highlighted by zero EKMS incidents within the last two years, major accomplishment.
Human Resource Management

VALIANT has established a tradition of examining work processes distribution to maximize the effectiveness of crewmembers. Its crewmembers are constantly adapting to changing regulations and requirements to accomplish its missions. The Commandant’s Vision of placing renewed emphasis on the growth development and well being of people has been incorporated into VALIANT’s command philosophy. VALIANT’s leaders understand that high performing teams require enthusiastic and engaged members.
Special attention is given to ensuring VALIANT provides an environment focused on timely recognition, adequate compensation, and personal and professional development.

The Coast Guard has standardized the work organization for cutters by promulgating standard billet lists that outline the required personnel and competencies for each position necessary to have a fully mission capable asset. The Cutter Training and Qualification Manual denotes the billets and minimum training prerequisites for VALIANT. The unit Training Officer and ship’s yeoman assist the Executive Officer with ensuring all incoming personnel have completed pipeline training whenever practical before reporting to the ship. The standard billet list is organized in such a way to ensure a suitable number of qualified individuals in all necessary watch stations to permit VALIANT to be mission ready.

Although the majority of VALIANT’s crewmembers are specialists in particular fields that correspond to their rating, many crewmembers are cross-trained in other fields. The flexibility of crewmembers adds an additional degree of adaptability to VALIANT. Almost every VALIANT crewmember has at least one collateral duty which can range from damage control petty officer to command master at arms. Many of these additional jobs require crewmembers to learn skill-sets that may not be possible at ashore units. VALIANT has a Command Assignment List (CAL) that formally designates the duties and collateral duties of all personnel onboard. This document also indicates the makeup of all formal teams such as the Survey Board or Engineering Casualty Control Training Team (ECCTT). The CAL assists crewmembers with determining the formal point of contact for various issues.

Due to the fast pace of operations, VALIANT occasionally encounters times when the majority of the crew is stretched thin due to additional work requirements
beyond normal patrol time. These requirements include helicopter operations, towing, alien migrant interdiction operations (AMIO), law enforcement boarding operations, go fast chases, and humanitarian assistance. VALIANT’s condition of readiness reaches its peak during these events, and all personnel are required to fulfill specialized jobs and tasks that may be outside of their traditional training. Precise planning and assignment to duties via the various unit bills, such as the Watch Quarter Station Bill or AMIO Bill, help manage the workload for each of these operations. All supervisory personnel are constantly reevaluating the readiness posture of the unit with special attention given to sustainability of operations, crew fatigue, and contingency plans.

VALIANT’s crewmembers understand the importance of training junior personnel. An atmosphere of cross-training and mentoring exists to ensure that the newest crewmembers are properly indoctrinated into shipboard life onboard a cutter. All new crewmembers are assigned sponsors prior to arrival to ensure the first several days onboard are a smooth transition from either boot camp or the members previous unit. During those days, the member goes through a robust check-in process that allows them to meet with vital personnel to receive training and instruction on topics ranging from educational opportunities to weight requirements. Included in the indoctrination package is the Its Your Ship program. The Its Your Ship program takes the new crewmember into every compartment on the boat to learn vital damage control and lifesaving equipment. This program sets a sound basis for new crewmembers and improves the level of participation in shipboard drills and exercises.

Medical Readiness

VALIANT’s mission readiness is contingent on the medical status of crewmembers. Deployable medical status starts with promoting a safe workplace and safe
practices both on and off the job. This helps minimize the number of mishaps that could prevent a member from sailing for a patrol. VALIANT has an independent duty corpsman that works closely with the medical clinic at ISC Miami to ensure that crewmembers are medically deployable. The corpsman ensures that members medical records are updated, schedules physical examinations and dental appointments, and refers members to specialists for any condition that could prevent a member from sailing. The corpsman works with all members, the members’ supervisors, and the Executive Officer to maintain the medical readiness of the unit.

Morale Events

The morale committee onboard VALIANT is dedicated to maintaining a high sense and spirit of morale onboard the hardest working cutter in the Atlantic fleet. The morale committee is overseen by the morale officer onboard. The Morale officer’s job is to ensure that all events sponsored by morale or by the cutter, are safe, fun, and healthy. The morale officer acts as more of a guiding influence than an idea courier. The morale committee has no set bounds and allows all members to participate. With the only set position being the morale committee chair person, all crew members are encouraged to attend and this allows a fairly even distribution of the crew to present new and exciting ideas. The committee meets twice during inports and underway periods. This unique process allows the morale committee to internalize and take a great deal of pride and ownership into the committee which is responsible for the morale of all 75 crew members. This also allows the crew to follow up on the progress of the morale events and presents the opportunity for command oversight if desired morale events aren’t being accomplished. This is further solidified by the morale committee goals which are used
for formulating the Commanding Officers goals for each period and allow for a further oversight on progress tracking.

_Maintaining High Qualification Level_

VALIANT has consistently maintained a strives to maintain the highest levels of qualifications. Even during large transfer seasons, VALIANT ensures that enough qualified personnel are present to maintain full mission capability. VALIANT’s current qualifications are as follows for vital positions, are no worse than 1 in 6. This is due to careful planning and such as the following matrix which is used by the command to determine set backs and organizing plans to rectify problems. The example below is AY 05’s operations department matrix that was created to plan for the future.

<table>
<thead>
<tr>
<th>AY05 outgoing personnel:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>LT Ray (OPS)</td>
<td>LTJG Pierce (1LT)</td>
</tr>
<tr>
<td>OS1 Washko</td>
<td>BM2 Ladaga</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>AY05 incoming personnel:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>LT Ray</td>
<td>LT Kinsey (TACLET South)</td>
</tr>
<tr>
<td>LTJG Pierce</td>
<td>Unidentified Cadet (DWO)</td>
</tr>
<tr>
<td>LTJG Walter</td>
<td>Unidentified Cadet (DWO)</td>
</tr>
<tr>
<td>BMC Ladomirak</td>
<td>BMC Michael P. Kelly (MSO Tampa)*</td>
</tr>
<tr>
<td>BM1 Mats</td>
<td>BM1 Goodson *</td>
</tr>
<tr>
<td>OS1 Washko</td>
<td>Unidentified OS2 **</td>
</tr>
<tr>
<td>BM2 Ladaga</td>
<td>BM3 Paton *</td>
</tr>
<tr>
<td>OS3 Duncan</td>
<td>OS3 Walker **</td>
</tr>
<tr>
<td>BM1 Goodson</td>
<td>BM2 Munson *</td>
</tr>
<tr>
<td>SNBM Howard</td>
<td>Unidentified Non-rate ***</td>
</tr>
<tr>
<td>SN Pitts</td>
<td>Unidentified Non-rate ***</td>
</tr>
</tbody>
</table>

* BM1 Goodson will be “fleeted up” & filling the BM1 (Deck) billet after BM1 Mats’ anticipated departure. BM1 Goodson is filling a BM2 (Deck) Billet. BM2 Munson (who is filling a BM3 (Nav) Billet) will be “fleeted up” to BM1 Goodson (BM2 (Deck) billet). BM3 Paton will be “fleeted up” to fill BM2 Ladaga’s billet (BM3), and VALIANT should expect to receive one BM “A-schooler” to fill in NAV Division and a New BMC (Nav; BMC Kelly).

** According to the detailer (CWO Tellesch), The new OS2 is not projected to arrive until August; however, detailer sent an OS “A” Graduate (OS3 Walker) to help facilitate OS1’s departure even though the OS3 is replacing OS3 Duncan. I recommend that we do not let OS3 Duncan go until the new OS2 reports to VALIANT. In addition, once OS3 Walker is released from service the detailer will send another “A-schooler” immediately according to the email I (LT Ray) received.

*** According to the detailer and guidance (email WE received), there is a severe shortage of Non-rates in the CG (“juniority” in the CG). Superiors are aware of the impact and are managing it accordingly.

MC= Morale Committee Chairmen

| Summary of Impact to Unit |

VAL will be losing 6 qualified underway OODs, 5 inport OODs, every qualified BO (3), 3 qualified COXs, 2 qualified OSOWs, 3 qualified LSOs, 2 qualified HCOs, 4 NSTT members, & ship's Command Chief.

This planning lends to high readiness levels. Some examples of this include a 1 in 11 Underway Officer of the Deck, 1 in 8 Underway Engineer of the Watch, 1 in 8 Quartermaster of the Watch, and 1 in 6 throttle man of the watch qualifications that we currently posses. Several of the departments have also developed set qualifications that are expected of incoming personnel and provide the materials to these individuals upon arrival which allows them to understand their expectations from their first couple of days onboard. These packets are distributed and tracked by their corresponding department
and division heads and are enforced with early warning reminders to ensure that qualifications are actively being sought and to ensure that the resources are available to accomplish this.

<table>
<thead>
<tr>
<th>Risk Element Impacting SS implementation</th>
<th>Failure Mode</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Resource Management</td>
<td>Personnel churn overcomes SS intellectual capital base within officers and crew</td>
<td>5</td>
<td>10</td>
<td>3</td>
<td>150</td>
</tr>
</tbody>
</table>

**Employee Performance Management System**

One of the ways that VALIANT promotes outstanding performance is via the Officer and Enlisted Performance Evaluation Systems. All crewmembers are evaluated on an annual or semiannual basis by their supervisors against criteria that are aligned with the Commandant’s 28 leadership competencies. All crewmembers are required to maintain records of performance recognition for submission to their supervisor to ensure a fair and accurate evaluation. All crewmembers are given timely counseling on their performance at least one during and immediately following a marking period. Crewmembers are also afforded the opportunity to request an audience with the command to discuss their performance if they feel evaluations are not accurate. The performance evaluation process for crewmembers has an effect on future work assignments and promotion eligibility, thus fair and accurate assessments are in the best interest of all stakeholders in the process.

VALIANT has an active Awards Board that meets as required to nominate individual awards to recognize outstanding performance. A crewmember is also selected
by the Awards Board as Sailor of the Quarter (SOQ). All nominated for SOQ receive a positive administrative remarks (CG-3307) entry in their official record. Those selected as SOQ receive written recognition, $100 savings bond, leatherman tool, coffee mug, and a reserved parking spot for their use during the quarter. Crewmembers who have been onboard for six months and have qualified in all their assigned damage control PQS and watch stations are awarded a temporary cutterman’s pin. This pin instills a sense of pride for sea service and motivates junior personnel to stay afloat in order to earn a permanent pin. VALIANT’s Commanding Officer recognizes crewmembers that have performed exceptionally by awarding Bravo-Zulu T-shirts. These T-shirts are Valiant cruise T-shirts with the Bravo and Zulu signal flags emblazoned on the back side.

VALIANT’s yeoman and Executive Officer work closely with the Headquarters Office of Personnel Management to ensure that personnel requirements are being properly fulfilled. The afloat community faces the very challenging issue of high personnel turnover rates. The vast majority of junior personnel remain with the unit for less than two years. No crewmembers remain with the unit for more than three years, thus preserving the knowledge and experience base within the unit is a challenge that must be mitigated. Efforts are made to ensure that the senior personnel onboard have a wide variety of professional backgrounds to ensure a broad spectrum of experiences guide the decision making process.

VALIANT’s command philosophy places special emphasis on preparing people. A mentoring program supports crewmember development. Junior personnel get sound advice from senior personnel that have seen the trials and challenges in the past. The mentor program also serves as a conduit for the senior personnel to provide career
counseling and advice. Every effort is made to ensure that its crewmembers are professionally prepared for new jobs and responsibilities along their career path.

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>Employee Performance Management System</td>
<td>Employee Performance Management system does not accurately reflect SS success</td>
<td>7</td>
<td>8</td>
<td>3</td>
<td>168</td>
</tr>
</tbody>
</table>

**Employee Education, Training and Development**

Company commanders teach the importance of education, training, and professional development to the newest recruits during recruit training. This important requirement serves as a gauge of readiness of those serving within the organization. VALIANT fosters a learning environment via employee cross-training, on-the-job training, and personal goal setting. Each crewmember is encouraged to utilize the whole-person concept of developing the mind, heart, body and spirit.

The Training Board meets monthly to schedule inport and underway unit training exercises and all hands training lectures to meet Commandant and Atlantic Area requirements. Damage Control (DC) training to qualify crew in basic and advanced DC PQS is scheduled nightly both inport and underway. Departmental training is held twice a week for divisions to prepare lesson plan outlines for areas of interest. The divisional training system concentrates on watch station PQS and practical factors for the next higher grade.

The Training Board manages training cycles to ensure all requirements are met. The administrative petty officers publish promotion status reports for each crewmember in each department, additionally, a second list tracks watch station and special qualifications, as well as shortfalls therein (e.g., boarding teams, coxswains, LSOs, etc.).
The Educational Services Officer (ESO) is responsible for ordering and administering end of course tests, CLEP’s, Rules of the Road, and a myriad of other exams. These exams are instrumental in the educational, professional, and military development of the crew. The ESO also advises on college credit and external continuing education opportunities.

On Board Training Teams are used to best make use of the experience and skill sets of crewmembers. For different areas of expertise such as Damage Control (DCTT), Aviation (ATT), Engineering and Navigation/Seamanship (NSTT), crewmembers are organized into training teams (DCTT stands for Damage Control Training Team) in order to develop and execute training exercises. These teams ensure the best instruction is being given and that all training requirements are met.

One of the VALIANT’s key leadership tools is the Command Chief. The Command Chief has unrestricted access to the Commanding Officer and the crew. He provides valuable insight to both the command and enlisted personnel on subjects spanning from habitability aboard the cutter to Service-wide influences such as JRR and DEEPWATER. Responsibilities of this job include holding E-6 and below leadership training, attending numerous board meetings, conducting career intention surveys, and work life coordination for crewmembers. Regular meetings with portions of the crew (nonrates, PO2’s & PO3’s, and PO1’s) allow the Command Chief to address specific issues.

The Human Relations Council meets at least quarterly to review and discuss ways to improve the Human Relations climate aboard VALIANT. It is comprised of the Human Relations Officer and a cross section of the crew. The Human Relations Council is currently considering ways to quantify the level of satisfaction with the climate
onboard. The Q12 Survey is one of the primary steps utilized by VALIANT to accomplish this goal. A formal briefing session on the results of the survey is planned for both junior and senior personnel onboard. Another initiative that the Human Relations Council has currently undertaken is to bring the Myers-Briggs Personality Indicator test to the unit. This test is used as a leadership tool and also as a way for crewmembers to better understand others’ motivations and tendencies. It was so well received that a yearly ship-wide assessment has been planned.

All crewmembers have received instruction on the unit’s employee assistance program, which is overseen by the Command Chief and Executive Officer. These resources and programs help mitigate workplace violence, suicide, and harassment. Officers and senior enlisted crewmembers have received specialized instruction on how to properly identify the signs of potential issues as well as who to notify for help. The Command Chief, Executive Officer, and Commanding Officer have also attended workshops and training on the command role and the obligations of the unit and entitlements and rights of the member.

Another important facet of safety within the shipboard work environment is proper stowage and cleanliness. This is reiterated on a daily basis via walkthroughs of all spaces by the Command Master at Arms (CMAA) when underway and import Officers of the Day when import. Each berthing area is assigned an MAA that ensures morning cleanups are completed on a daily basis. Materiel inspections are conducted by the Executive Officer to determine the health and cleanliness status of VALIANT and to identify action measures necessary to maintain high levels of health and safety compliance.
VALIANT maintains a high level of internal emergency preparedness by using well-developed contingency plans in addition to the required emergency bills that are outlined in the Cutter Organizational Manual (CORM). The Damage Control Training Team (DCTT) provides instruction on many damage control contingencies, and drills are conducted on a regular basis. Other internal emergencies include hostile go-fast response and crowd control situations during AMIO. These situations are also incorporated into the SORM and walkthroughs and prebriefs are conducted prior to commencing patrols.

External emergency preparedness is also a vital concern for VALIANT. The most common emergencies that the unit could encounter are hurricanes and homeland security threats. VALIANT has well defined procedures for hurricane evasion when underway and inport. Whether VALIANT is directed to return to homeport or to serve as On Scene Commander (OSC), VALIANT’s crew is well prepared to respond to distress and serve as needed by local, district, and area command requirements. VALIANT also has contingency plans for dependents during these situations. The unit Executive Officer coordinates with ISC Miami’s Hurricane Evacuation Assistance Team to ensure that crewmembers with families in mandatory evacuation areas relocate to areas of safe-haven well in advance of a storm.

Providing support for crewmembers, especially junior members with limited experience, is an important priority onboard VALIANT. The support processes begin before a recruit or transfer even checks in. All VALIANT crewmembers are given sponsors prior to arrival. The sponsor is an information conduit for new members; each sponsor helps answer questions and helps the member resolve issues prior to the report date. VALIANT’s sponsors use a checklist that ensures all new personnel are adequately supported. Sponsors ensure that new crewmembers are introduced to their shipmates and
shown around the ship and base. New recruits are met at the airport. The sponsor program is constantly evaluated by those that utilize it. New shipmates are asked to provide feedback on the sponsor program within the first week aboard. This process allows the sponsor program to be modified as necessary and helps to capture best practices that can be adopted by other crewmembers for future use.

After arriving onboard VALIANT, new crewmembers are integrated into the unit via the Know Your Ship program. With the help of shipmates, new personnel learn every part of the ship and meet with key representatives of each department within the first few weeks of reporting. The program allows supervisors to gauge the progress of new personnel as well as clearly defines the topics that a new crewmember needs to know.

Administrative tracking, pay and personnel support is executed by the sole yeoman stationed onboard VALIANT. He facilitates travel and transfer of personnel, ensures pay and special pay is requested and received, maintains the ships reference library and ensures promotions and recognition are tracked and properly documented. Another gauge of employee satisfaction is the Executive Officer’s request and complaint mast. Everyday at 1000, every crewmember has the opportunity to have an audience with the Executive Officer. Another often-overlooked tool for crew-command communication is Quarters formations. Although primarily used for personnel accountability, Quarters is also the principal method of keeping the crew informed and soliciting questions and concerns.

VALIANT is allocated one HS2 for medical services. On a weekly basis he reviews medical files to identify the need for physicals, immunizations, and dental exams. Sick Call is conducted on a daily basis whether in port or underway, with serious maladies referred to ISC Miami’s medical offices. While underway, the medical petty
officer is on call at all times. During the workday he can be found checking water quality, the cleanliness of the galley, maintaining equipment and medication, or ensuring the Hearing and Sight Conservation Program are being properly administered. Annual MLC Health and Safety Inspections keep the unit focused on human resources issues. Also, VALIANT’s Safety and Health Committee meets quarterly to review mishap reports, update unit pre-mishap plans, review safety and wellness suggestions from the crew, address health and sanitation issues, coordinate and track abatement actions to eliminate identified hazards or reduce risks, coordinate quarterly training plans, recommend funding levels for health and safety related purchases, and review the progress of annual MLC Inspections.

While underway, VALIANT’s liaison ashore is the ombudsman. The ombudsman is a volunteer and usually is a crewmember’s spouse. She provides vital emergent and non-emergent information to the families of crewmembers while the cutter is underway. She is also responsible for the cutter’s phone tree, which notifies family members of changes in the operational schedule and anticipated return to homeport. She provided invaluable support for VALIANT when away from families when Hurricane Wilma crossed the Florida Peninsula in October 2005 while VALIANT was on patrol. Although VALIANT returned to Miami within a week following landfall, her support with contacting families and relaying information back to us helped allow crewmembers to rest at ease and focus on the remaining days of the challenging patrol.

<table>
<thead>
<tr>
<th>Risk Element Impacting SS implementation</th>
<th>Failure Mode</th>
<th>Likelihood of Occurrence</th>
<th>Severity</th>
<th>Likelihood of Occurrence</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Training and Development</td>
<td>Regular SS training is not a routine part of training regimen</td>
<td>5</td>
<td>10</td>
<td>3</td>
<td>150</td>
</tr>
</tbody>
</table>
Process Management

VALIANT’s performance is based upon its readiness to complete missions. Hundreds of internal and external processes are executed on a daily basis to achieve its given state of readiness, which is measured by SORTS and the CORI. Management and oversight of the various processes is necessary to ensure unit readiness.

VALIANT’s Key Mission Processes are listed below:

<table>
<thead>
<tr>
<th>Meeting Patrol Requirements</th>
<th>Aviation Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>CART/TACT</td>
<td>LMR Boarding’s</td>
</tr>
<tr>
<td>Law Enforcement Boarding’s</td>
<td>Migrant Interdictions / Repatriations</td>
</tr>
<tr>
<td>Drug Interdictions / Repatriations</td>
<td>SORTS</td>
</tr>
</tbody>
</table>

Meeting Patrol Requirements

The processes for patrol planning begin months in advance of the time that VALIANT is on station and assumes responsibility for a patrol area. VALIANT receives tasking from OPCON to patrol for specific TACONs via annual and quarterly scheduling messages. The TACONs will then coordinate with the command to determine the specifics for the patrol such as mid patrol breaks and transit dates. During this process, the Operations Officer coordinates with Department Heads and Division officers to determine the training and operational requirements that are necessary during the period. This process includes consulting various OPORDERS, intelligence summaries, and directives and using this information to present a consolidated operational picture for the Commanding Officer to review prior to patrol. The command balances the operational requirements with foreign port call opportunities and other morale and community relations opportunities. Once the concept of operations (CONOP) is approved by the command, it is forwarded to TACON for approval.
Prior to each patrol, the Executive Officer convenes a patrol goal planning board that sets operational, training, qualification, and morale goals for the patrol. These goals help set the tone and expectations for the patrol. The goals are discussed by department heads, division officers, and division chief petty officers and prioritized to conform to time constraints and qualification levels. The goals are submitted to the Commanding Officer then released to the crew upon final approval.

Aviation Certification

As a medium endurance cutter, VALIANT’s ability to conduct shipboard helicopter operations in the District Seven area of responsibility gives the tactical commander increased options with deploying assets and conducting operations. Recently VALIANT has used its flight deck as a repair facility for an HH-65 that was experienced smoke in the cockpit and for a medical evacuation of five people from an overloaded go-fast. VALIANT has also provided refuels for numerous helicopters conducting patrols in support of VALIANT’s missions. Aviation Certification (AVCERT) helps ensure VALIANT’s crews are properly trained and facilities properly maintained to conduct safe and efficient shipboard helicopter operations.

AVCERT is a vital requirement for VALIANT’s flexibility and mission performance. AVCERT is required for all flight deck equipped cutters approximately every 18 months. The Coast Guard and Naval Air Warfare Center, Aircraft Division Lakehurst provide inspectors and provide a Shipboard Aviation Facility Resume that indicates certification levels for day, night and NVG operations and also identifies any discrepancies and recommends corrective action to ensure compliance. Preparation for AVCERT is headed by the First Lieutenant and coordinated between key representatives
from the Deck and Engineering Departments. Weekly meetings are held to determine the progress level to ensure VALIANT is ready the day the inspection begins.

*CART/TACT*

Command Assessment for Readiness and Training (CART) is a yearly inspection conducted by Afloat Training Group (ATG) Mayport. Through a standard set of checklists, ATG inspectors spend 2 days onboard the ship ensuring your readiness for TACT. In order for VALIANT to be prepared for CART, a robust internal tracking system is activated and maintained by all divisions. After obtaining an advance copy of the same checklists to be used by the ATG inspectors, physical and administrative elements of the ship are inspected by VALIANT crewmembers. Examples of items that are evaluated include: Compartment Check-Off Lists, inventory of damage control lockers, rigging of deck safety gear, security of restricted spaces, correctness of charts and publications, verification of qualification letters, maintenance of required publications/directives/instructions. The pre-inspection of all of the ship’s operational processes is initiated 6 months prior to CART. This lead-time has helped VALIANT identify discrepancies and make effective and timely corrections prior to the real inspection.

*Migrant and Drug Interdiction*

VALIANT has established a reputation as an efficient and safe AMIO interdiction and repatriation platform for District Seven. This reputation is due to the systematic processes that are enacted during every operation that involves the transfer care of migrants. The procedures for migrant operations are a ship-wide operation that is planned in detail prior to the transfer of migrants onboard. This process begins well in advance with crew-wide training on safety during migrant operations and a refresher on
procedures to ensure compliance with the Maritime Counter Drug and Alien Migrant Interdiction Operations Manual (COMDTINST M16247.4).

The AMIO bill identifies each crewmember's assignment and role during operations. Before each patrol, the AMIO bill is updated and submitted to supervisors to ensure all necessary positions are filled by qualified personnel. Specialized training is provided for escorts and friskers. The AMIO supply inventory is updated and maintained by the assistant MAA. Once VALIANT departs for an AMIO patrol, all personnel and supplies are ready to conduct operations.

All safety concerns and the plan for the embarkation are briefed to station supervisors by the Operations Officer and Law Enforcement Officer. Small boat coxswains are reminded of special considerations while maneuvering around overcrowded vessels, and all personnel make preparations to take action if the vessel capsizes. Once embarkation begins, the systematic process of positive control and detailed instruction for all migrants takes over. In the end, all migrants are frisked for possible safety hazards, are given extra clothing and blankets, are checked for any medical conditions, and all required reports are submitted to the appropriate agencies.

SORTS

The Status of Readiness and Training (SORTS) message is produced by the TRMS Afloat R 5.6 Module for Coast Guard units in accordance with NTTP 1-03.3. The Communications Officer (COMMO) drafts a SORTS message, and is sent every time a unit pulls in and out of a port or if the unit sustains a significant material casualty (CASREP CAT 3 or CAT 4) To determine the readiness status, the COMMO meets with Department Heads (Supply, Operations, and Engineering) and Division Officers/Lead Petty Officers to gather data which includes outstanding material casualties, personnel
absences, status of fuel and provisions, etc. This data is then entered into a Microsoft Excel Spreadsheet created by AOFC called “210 WMEC Decision Aid1.” The spreadsheet has nine tabs including a Summary tab. The Summary tab converts the raw data into ratings; they range from 1-4. The ratings are taken from the Summary tab and entered into the TRMS Afloat worksheet. As the new status of resources are updated into the TRMS Afloat worksheet, the program takes the sum of the resource discrepancies and their severity, and generates a message which includes VALIANT’s Coast Guard Naval and Mission Readiness Status levels (which range from 1-5). Depending on the number and nature of the resource discrepancy, the program requires comments, for example on the causes for the discrepancy or the estimated time for repair. The TRMS program simultaneously generates a Summary Report, which puts the message in plane text, explaining the primary, secondary, etc reasons that VALIANT is not at the ideal overall readiness status level of 1.

The SORTS message and the Summary Report are routed to the Operations Officer, the Executive Officer, and finally to the Commanding Officer for approval. The Operations Officer and the Executive Officer verify the status of the resources and the comments included if applicable. The Commanding Officer has the authority to use the Percent Effectiveness (PCTEF) tool to include a subjective assessment of VALIANT’s ability to accomplish assigned missions; the Commanding Officer exercises this authority when he believes that VALIANT’s ability to respond to mission tasking is not demonstrated by the automated message alone.

Crew satisfaction is qualitatively measured through monthly morale meetings and Human Relations Boards. Minutes of meetings are approved by the command and posted throughout the ship. Action items from these meetings are delegated to Department
Heads via the Executive Officer. The most effective means of gauging employee well-being, satisfaction, and development are the periodic sessions hosted between the Command Cadre and crew. The CO and Command Chief meet separately with groups of the crew (E2/E3s, E4/E5s, E6s) to get a read-out on how things are going. Notes are compared and then the action items are delegated to department heads via the Executive Officer. Some of the results of these sessions are as follows: command sanctioned workout periods from 0600-0700 every Tuesday-Thursday while in homeport; 2 more computers made available for crew usage; an increase in the micro-computer allowance (MAW) to enhance productivity, efficiency, and morale; increased visibility and attention to berthing area comforts (timely repairs to air conditioning units; and contracted repairs to leaking pipes and faulty insulation; re-upholstered lounge areas and improvements to furniture).

Crew professional development is tracked by department and reviewed at department head meetings. The Command uses this tracking sheet to encourage professional growth and timely advancement. Job satisfaction is an important Human Resource consideration. Assignment to a cutter has its share of opportunities to generate pride in self, unit, mission, and country. The job satisfaction comes from successful mission fulfillment, whether it is a drug seizure, an interdiction of migrants, or the successful completion of a search and rescue case. It is through the completion of cutter-based services that we generate the personal and unit pride referred to as job satisfaction. Under proper leadership, cutter operations become a perpetual cycle that capitalizes on personal and unit pride to maintain her readiness so that she can successfully fulfill all assigned missions, thus renewing that feeling of accomplishment, duty, and satisfaction. This was evident during the (December 05-January 06) patrol when we intercepted,
embarked, cared for, and repatriated 473 migrants from 3 dangerously overcrowded vessels. VALIANT could not have carried out the critical AMIO mission unless every crewmember knew what was expected of them, made personal improvements in doing their job, and took pride in both their individual and collective efforts. The fact that VALIANT intercepted, cared for, and safely transferred nearly 500 total migrants in less than one month serves as a solid indicator of readiness and proved that we are able to provide the best possible service to customers.

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<thead>
<tr>
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<tr>
<td>Process Management</td>
<td>Repetitive Processes are not systematic (stable where quantifiably measurable)</td>
<td>2</td>
<td>10</td>
<td>4</td>
<td>80</td>
</tr>
</tbody>
</table>
CHAPTER 6: FMEA of Six Sigma Implementation Aboard CGC VALIANT

The following pages summarize the risk elements impacting the SS implementation noting the highest RPN’s before and after mitigation actions are implemented. The scores reflect that the Strategic Development process is a critical aspect of shipboard management that would impact the success of six sigma management aboard the sample Coast Guard Cutter. It is also important to note that the processes that are documented with the Cutter Operations and Readiness Manual are those that have the greatest impact in solidifying the desired six sigma or Professional Management processes.
<table>
<thead>
<tr>
<th>Risk Element</th>
<th>Failure Mode</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Improvement System</td>
<td>Improvement Cycle is not completed</td>
<td>5</td>
<td>4</td>
<td>6</td>
<td>120</td>
<td>3</td>
<td>24</td>
</tr>
<tr>
<td>Senior Leadership</td>
<td>Future commands do not support SS</td>
<td>7</td>
<td>10</td>
<td>2</td>
<td>140</td>
<td>3</td>
<td>60</td>
</tr>
<tr>
<td>Communication and Organizational Performance</td>
<td>Communication breaks down and performance is not a priority</td>
<td>2</td>
<td>10</td>
<td>2</td>
<td>40</td>
<td>2</td>
<td>20</td>
</tr>
<tr>
<td>Inspection and Audit Processes</td>
<td>Audits and Inspections are not tied to SS key outcomes</td>
<td>4</td>
<td>10</td>
<td>2</td>
<td>40</td>
<td>2</td>
<td>40</td>
</tr>
<tr>
<td>External Outreach</td>
<td>External Stakeholders do not support SS</td>
<td>3</td>
<td>10</td>
<td>2</td>
<td>40</td>
<td>2</td>
<td>40</td>
</tr>
<tr>
<td>Strategic Development Process</td>
<td>Routine management of the SS process is not consistent</td>
<td>6</td>
<td>10</td>
<td>7</td>
<td>420</td>
<td>4</td>
<td>200</td>
</tr>
<tr>
<td>Measurement, Analysis, and Knowledge Management</td>
<td>Knowledge Management tools are not dynamic, tied to SS outcomes or updated easily</td>
<td>6</td>
<td>10</td>
<td>3</td>
<td>180</td>
<td>2</td>
<td>60</td>
</tr>
</tbody>
</table>
Table 6: FMEA of Six Sigma Implementation aboard CGC VALIANT

<table>
<thead>
<tr>
<th>Risk Element</th>
<th>Failure Mode</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood of occurrence</th>
<th>Severity</th>
<th>Likelihood Of Detection</th>
<th>RPN</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information and Knowledge Management</td>
<td>Knowledge Management tools are not dynamic, tied to SS outcomes or updated easily</td>
<td>6</td>
<td>10</td>
<td>5</td>
<td>300</td>
<td>Implement efficient SS tools that can be managed as simply as possible, Command solidifies processes into CORM</td>
<td>3</td>
</tr>
<tr>
<td>Human Resource Management</td>
<td>Personnel churn overcomes SS intellectual capital base within officers and crew</td>
<td>5</td>
<td>10</td>
<td>3</td>
<td>150</td>
<td>Command solidifies processes into CORM</td>
<td>3</td>
</tr>
<tr>
<td>Employee Performance Management System</td>
<td>Employee Performance Management system does not accurately reflect SS success</td>
<td>7</td>
<td>8</td>
<td>3</td>
<td>168</td>
<td>Translate performance categories on OERs/EPEFs to reflect SS success</td>
<td>4</td>
</tr>
<tr>
<td>Employee Training and Development</td>
<td>Regular SS training is not a routine part of training regimen</td>
<td>5</td>
<td>10</td>
<td>3</td>
<td>150</td>
<td>Regular SS training is a routine part of training regimen</td>
<td>5</td>
</tr>
<tr>
<td>Process Management</td>
<td>Repetitive Processes are not systematic (stable where quantifiably measurable)</td>
<td>3</td>
<td>4</td>
<td>1</td>
<td>120</td>
<td>Command solidifies processes into CORM</td>
<td>2</td>
</tr>
</tbody>
</table>
CHAPTER 7: Results – A Model for Implementation

The result is a Command Dashboard that has been developed from the objectives of the current command dashboard but also reflect the presence of veritable key indicators that are tied systematically to the key objectives. One the risks to organizational success for the quality management program currently in place is that there is no PDSA cycle associated with its development. Key Objectives are outlined as well as anecdotal indicators, but the initiative ends there. The Command Dashboard below fully ties the key measures at the lowest level of the organization to the objectives at the highest level. The Command Dashboard is further annotated with a cascading example for Command Assessment for Readiness for Training (CART). CART is the precursor to dedicated seamanship, navigation, damage control, combat systems and engineering casualty training.
# Table 7: Command Dashboard: Cutter Readiness and Training Inspection Example

## Mission: Optimize Service to the American Public

<table>
<thead>
<tr>
<th>Commanding/Executive Officer</th>
<th>Department Head</th>
<th>Division/Chief Petty Officer</th>
<th>Leading Petty Officer</th>
<th>Petty Officer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Key Objectives</td>
<td>Key Indicators (by month)</td>
<td>K.O. (by month)</td>
<td>K.I. (by month)</td>
<td>K.O. (by month)</td>
</tr>
<tr>
<td><strong>MLE (LE, LMR, AMIO)</strong></td>
<td><strong>Mission Readiness for Law Enforcement, Living Marine Resources, and Alien Migration and Interdiction Operations</strong></td>
<td><strong>Earn 100% Departmental CART/TACT Score</strong></td>
<td>CART/TACT Departmental Score</td>
<td>Manage CART / TACT Training</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Maintain Highest Departmental SORTS Score</td>
<td>Departmental PMS Scores</td>
<td>Maintain Highest Divisional SORTS Status</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Seized Drugs</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>AMIO Interdictions and Repatriations</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Reported Landings while in Theatre</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of Boardings</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Seizures and Fines Imposed</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Familiarization Packages</td>
<td>Detail not shown</td>
<td></td>
</tr>
<tr>
<td><strong>Homeland Security</strong></td>
<td><strong>Mission Readiness</strong></td>
<td>Detail not shown</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td># of Patrol Days</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of Boardings</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of Safety Violations</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of Criminals</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Found Aboard Vessels</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of FIRS</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Number of HRS Underway</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Patrols Made/Missed</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Search Plans</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Asset Scene</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Search and Rescue</strong></td>
<td><strong>- Mission Readiness</strong></td>
<td>Detail Not shown</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Lives Saved</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Property Saved</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Supplies Transferred</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- SITREPS</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Public Affairs</strong></td>
<td><strong>- Media Coverage</strong></td>
<td>Detail Not shown</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Flag Feedback</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Bravo Zulu’s</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>- Community Relations</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

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*Note: Table continues with additional data not shown.*
### Table 7: Command Dashboard: Cutter Readiness and Training Inspection Example

**Mission: Optimize Service to the American Public (CART Example with detailed explanation)**

<table>
<thead>
<tr>
<th>Commanding/Executive Officer</th>
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</tr>
</tbody>
</table>

This example would then be fully developed with the DMAIC model. The project team in this case would include the CO, XO, Dept Head, Division/Chief Petty Officer, the Leading Petty Officer and the division Petty Officer. The team would develop the key measures of success and the associated causal factors. CART and TACT is an ideal project to demonstrate six sigma success because the schedule is known and the parameters for success are clearly delineated by organizational standards. The checklist in Appendix C provides both binary (i.e. yes or no) and gradients for success that can be appropriately built into measurable indicators. Many of the key measures would be a function of percentage of completion by month with respect to a timeline. For example, for this department eight navigational drills or exercises are required to be successfully completed by the class of ship provided in the example in this text (210 foot Medium Endurance Cutter). Each drill requires preparatory actions as well as successful completion. The measure might be noted as percentage of drills completed successfully by month with an associated factor for the score of each individual drill. The measure of success cascade through the dashboard to allow for successful completion of a traditionally stable process.
References


   http://baldrige.nist.gov/


Appendices

Appendix A: Manuals Provided to PCO/PXO School

Manuals provided during PCO/PXO School

Awards Manual

CG Personnel Manual

Command at Sea

Correspondence Manual

Cutter Employment Standards

Cutter Navigation Standards

Cutter Organization and Training Manual

Cutter Training and Qualification and Training Manual


Joint Publication

NavRules

Shipboard Lookout Manual

Uniform Regulations

US National Security Strategy

USCG Maritime Strategy
Appendix B: Survey Questionnaire

Interview Objective
Obtain an overview of the continuous process improvement initiatives (CPI) at participating armed services, in particular Lean Six Sigma (LSS) efforts. Identify best practices within the LSS initiatives applied by the participating armed services.

Background
CAM-I is an industry-led collaborative research consortium producing the “best-of-the industry” cost and performance management solutions, techniques, products, tools, and resources for over 30 years. The Armed Services Interest Group (ASIG) within CAM-I leverages the knowledge-sharing forum to identify best practices and lessons learned for performance and cost management in the Armed Services.

Some form of continuous process improvement (CPI) is underway in all services, and the ASIG is seeking to identify opportunities to share lessons learned and best practices within the services to increase the efficiency and effectiveness of relating cost management within LSS efforts. Understanding that Lean and Six Sigma are distinct tools for continuous process improvement, for the purposes of this study, the ASIG is researching Lean and/or Six Sigma efforts as simply Lean Six Sigma (LSS), and we are looking to external services for best practices in the areas of identifying, tracking and measuring success within those initiatives. Results of this questionnaire are anonymous, and we may conduct follow-on interviews with selected survey participants to gain further insight or clarification.

GENERAL QUESTIONS:
1. What is your Lean Six Sigma (LSS) familiarity level?
   a. Black Belt
   b. Green Belt
   c. Yellow Belt
   d. Familiar with concepts
   e. Not familiar

2. Does your organization/command have an active LSS program?
   a. Yes
      i. When did your organization/command launch its LSS program?
         1. Within the past 6 months
         2. 7 to 18 months ago
         3. More than 18 months ago
   b. No
      i. Are you currently using some other methodology as your primary Continuous Process Improvement (CPI) methodology?
         1. Business Process Reengineering (BPR)
         2. Theory of Constraints (TOC)
         3. Other____
         4. Not using a CPI methodology (If answered, you need not complete the rest of the survey)
      ii. Do you expect to initiate an LSS program within your organization/command in the next 12 months?
         1. Yes
2. No

The term CPI in questions 3-7 applies to all methods of Continuous Process Improvement

3. In general, how would you describe your deployment of CPI initiatives?
   a. Direction and project identification driven from higher command
   b. Direction and project identification at the executing unit level.
   c. Mix of higher command and unit level

4. Do your CPI initiatives have your senior leader sponsorship / support?
   a. Yes
   b. No

5. In general, how would you rate the organizational buy-in of CPI?
   a. Part of the organizational fabric
   b. Strong but not widespread across the organization
   c. Has more acceptance than resistance
   d. Has more resistance than acceptance
   e. Not off the ground

6. Is your organization’s understanding and use of CPI improving?
   a. Yes, knowledge and use of the methods is permeating throughout out the organization
   b. Yes, but only at certain levels of the organization
   c. No, the efforts seem to have stalled.

7. Is your CPI deployment aligned with your organization’s strategic plan?
   a. Yes
   b. No
   c. Unknown

The following questions refer only to LSS projects begun and/or completed within the past year at all levels of your organization. (For multiple-choice questions, select all that apply)

1. On what basis are projects selected?
   a. Directed by higher HQ
   b. Potential for “hard savings” or “cost avoidance”
   c. Local “command interest”
   d. Customer satisfaction issues
   e. Response to budget cuts
   f. Ease of completion
   g. Other________

2. Where did most project ideas originate?
   a. As part of specific higher headquarters initiatives
   b. Generated from within the unit’s command structure
   c. Initially recommended by functional-level personnel
   d. Other________

3. In your opinion, five years from now, will your organization be utilizing LSS as its primary process improvement / cost savings methodology?
   a. Yes
   b. No

4. Of the projects you have initiated, what percentage used the following methodologies?
a. Full Define Measure Analyze Improve Control (DMAIC) ___%
b. Abbreviated DMAIC ___%
c. Kaizen ___%
d. Rapid Improvement/Lean Event ___%
e. Other__________ ___%

5. Does resource availability (people and/or dollars) drive the type of methodology selected?
   a. Yes
   b. No

6. Does your organization have staff or full time equivalents (FTEs) dedicated to LSS project management?
   a. No, managing projects is an ancillary duty at all levels
   b. Yes, at the command level, resources are dedicated to project management but at the sub-commands, project management is an ancillary duty.
   c. Yes, all levels responsible for running projects have dedicated FTEs

7. Do you feel having FTEs dedicated to a project influence its success?
   a. Yes
   b. No

8. Given their roles on LSS initiatives, are FTE’s adequately trained on tools and methodologies?
   a. Always
   b. Most of the time
   c. Sometimes
   d. Usually not
   e. Never

9. Is a formal cost/benefit analysis, business case analysis, or economic analysis performed in the “Define”, “Measure” and/or “Analyze” phase of the methodology?
   a. Always
   b. Most of the time
   c. Sometimes
   d. Usually not
   e. Never

10. Before beginning a project, is “success” defined in quantifiable terms?
    a. Always
    b. Most of the time
    c. Sometimes
    d. Usually not
    e. Never

11. When defining “success” how often are these criteria used?
    a. Hard dollar savings ___% of the time
    b. Cost avoidance ___% of the time
    c. Customer satisfaction scores ___% of the time
    d. Process efficiency ___% of the time
    e. Other_____ ___% of the time

12. Do you track the number of projects initiated?
    a. Yes
       i. How many have you initiated in the past year? ___#
13. What cost management methodology(ies) do you have in place to identify and define process costs (hard savings and/or avoidance)?
   a. Activity based costing
   b. Job order costing
   c. Statistical sampling
   d. Cost estimating
   e. Other _______
   f. None

14. How would you rate the quality of cost data as it relates to your projects?
   a. Outstanding
   b. Good
   c. Adequate
   d. Suspect
   e. Completely unreliable

15. How would you rate the quality of performance data as it relates to your projects?
   a. Outstanding
   b. Good
   c. Adequate
   d. Suspect
   e. Completely unreliable

16. Do your LSS efforts use any specific software
   a. Yes
      i. What is the software? ________ (allow multiple software entries)
         1. What is the primary function of the software? _______________
   b. No

17. Is an independent entity, external to your organization, responsible for “verifying” a project’s savings and/or benefits?
   a. Always
   b. Sometimes depending on the project
   c. Seldom
   d. Never

18. Is there department policy on how savings, if achieved, may be used?
   a. Yes
   b. No
   c. Unknown

19. What percentage of all projects completed, were deemed successful based on criteria outlined in the project charter? _______ %

20. Overall, do you believe that your organization’s LSS initiatives are worth the resource expense?
   a. Yes
   b. No

Can you recommend other points of contact to participate in this questionnaire? (up and down)
If you have questions on this survey or on CAM-I in general, please contact Bob Misch (bob.misch@gt.com) or LT Gregg Zike (Gregory.d.zike@uscg.mil).