

Civilian Workforce Needs Assessment Report

Table of Contents

Executive Summary	i
What is the Civilian Workforce Needs Assessment (CIVNA)?	1
Terms	1
Competency	1
Knowledge	1
Skill	1
Attitude	1
Ability	1
Charter for the Civilian Needs Assessment Team	1
Transition Points	1
Tasks	2
Intended Result	2
Why was the Civilian Needs Assessment Conducted?	3
Workforce Cultural Audit	3
Diversity Issues Underpin the Coast Guard	
Workforce Needs Assessment	3
Other Workforce Needs Assessments	4
The Civilian Needs Assessment Process	6
Preliminary steps	6
Selection of CIVNA Team Members	6
Introductory and Team Building Exercises	6
Expectations for the Civilian Needs Assessment	6
Ground Rules	7
Identification of Optimal Competencies	8
Coast Guard Documents	8
Benchmarks	9
Measurement of Actual Competencies	9
Preliminary Test Survey	9
Coast Guard-Wide Survey	10
Identification of “Gaps”	10
Focus Groups	10

What were the Results of the Civilian Needs Assessment?	14
Preliminary Test Survey Results	14
Core Worker	14
Supervisor	14
Manager	14
Discrepancies – Core Worker and Supervisor	15
Discrepancies – Supervisor and Boss and Subordinate	15
Coast Guard Wide Survey Results	15
Competencies of Concern	16
Focus Group Results	16
3 Major Categories	16
Recommendations	20
Recommendations to Close Training and Development Gaps	20
1. Training/Learning	20
2. Mentoring	23
3. Coaching and Conflict Resolution	23
4. Performance Management	24
5. Personal Development – IDP’s	25
6. Personal and Family Support Programs	26
7. Career Management	26
8. Organizational Knowledge	27
Other Conclusions and Recommendations	29
9. Program and Project Management	29
10. “Shelfware”	30
11. Military/Civilian Cultural Interface	30
12. Attrition and Workforce Management	31
Literature Cited	32

List of Figures

Figure es-1. Schematic diagramming the relationships between knowledge, skill, attitude, and ability.	ii
Figure 1. Schematic diagramming the relationships between knowledge, skill, attitude, and ability.	1
Figure 2. Projected attrition of USCG procurement employees from 1998 to 2005.	3
Figure 3. SCANS report competency matrix.	5
Figure 4. Breakdown of root cause categories identified from all focus group responses (Refer to table 5 for the key to actual root cause categories).	18
Figure 5. Breakdown of root cause categories identified by each workforce segment's focus group responses (Refer to table 5 for the key to actual root cause categories).	18

List of Tables

Table es-1. Gaps between optimal and actual competencies identified and ranked for each workforce component.	ii
Table 1. Demographic information of the twelve member CIVNA Team.	6
Table 2. Matrix describing the reporting regime utilized in the survey.	10
Table 3. Location of focus groups held in Coast Guard civilian personnel centers.	10
Table 4. Questions presented to focus groups in centers of civilian personnel.	11
Table 5. Gaps between optimal Coast Guard and actual competencies identified and ranked for each employment level.	16
Table 6. Major categories of root causes linked to the gaps in competencies.	17

List of Appendices

Appendix 1: Civilian Needs Assessment Charter	a-1
Appendix 2: CIVNA-derived Optimal Competencies	a-6
Appendix 3: Survey Results	a-12
Appendix 4: Definition of SCANS Competencies and Foundation Skills	a-19
Appendix 5: Root Causes/Recommended Solutions Matrices	a-25
Appendix 6: Competency Gaps Comparison	a-44
Appendix 7: List of Recommendations	a-49
Appendix 8: Team Members	a-59

Executive Summary

The Coast Guard undertook the Workforce Cultural Audit in 1995. This audit spawned a number of developmental needs assessments (e.g. Junior Officer Needs Assessment, Senior Enlisted Needs Assessment, etc.). The Civilian Needs Assessment focused on professional development and leadership competencies necessary for successful civilian career transitions. The structure and purpose is similar to other workforce assessments conducted elsewhere in the public and private sectors. Like other Coast Guard assessments, the Civilian Needs Assessment focused on competencies needed to perform work.

The Civilian Needs Assessment (CIVNA) Team has completed over a year of research, data collection, and analysis. The results of this effort are recommendations intended to improve the professional competency and development of the Coast Guard civilian workforce.

The process included:

- Identifying **optimal** competencies (defined as knowledge, skill, attitudes, and abilities) that civilian employees (core-workers (non-supervisors), supervisors, and managers) must have in order to meet Coast Guard expectations.
- Surveying the workforces to measure the degree to which civilian employees **actually** hold those competencies.
- Identifying gaps between the “**optimal**” and “**actual**” competencies.
- Identifying the root causes of the measured gaps by categorizing them as
 - ♦ lack of knowledge, skill or information;
 - ♦ environment (e.g. resources, culture, policies, practices, or procedures, organization); or
 - ♦ motivation, incentive, and attitude.
- Recommending interventions through problem-solving and the use of benchmarks.

The CIVNA Team reviewed a comprehensive list of Coast Guard documents, studies, and publications to identify optimal competencies expected of civilian employees.

Comprehension of the following **terms** is critical for a complete understanding of the CIVNA process:

- **Competency** – an underlying characteristic of an employee that results in effective and/or superior performance (i.e., they are predictive of performance);
- **Knowledge** – **information accumulated in a particular area of expertise** (e.g., accounting, human resources management, engineering, etc.);
- **Skill** – the **demonstration of expertise** (e.g., the ability to make effective presentations, or to negotiate successfully);
- **Attitude** – a self-concept, one must **choose to** use knowledge and skills to perform a task;
- **Ability** – when an employee is knowledgeable and skilled in a particular area of expertise, chooses to exercise that knowledge and skill, and then is **able to perform well**.

The relationships between knowledge, skill, attitude, and ability are depicted below (Figure es-1). Knowledge is the foundation on which skill, attitude, and ability are based. Without practiced skill and the choice to apply it, the ability cannot exist. The ability to perform a task is the highest level of competency and is dependent upon the foundation of knowledge, skill, and attitude.

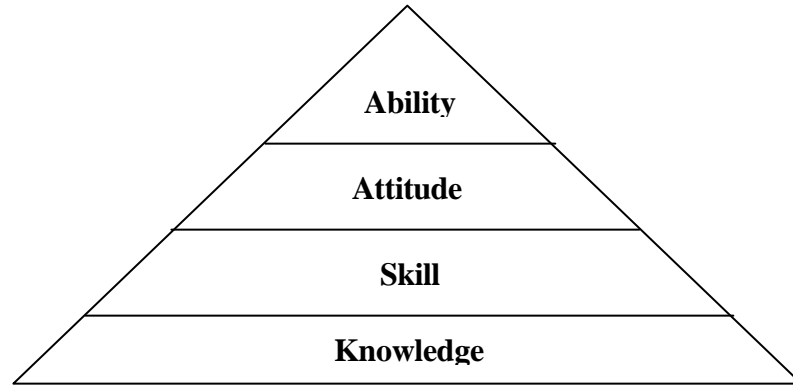


Figure es-1. Schematic diagramming the relationships between knowledge, skill, attitude and, finally, ability.

The CIVNA Team then surveyed the workforce to measure the difference between identified optimal competencies and actual competencies held by Coast Guard civilian employees.

The survey tool was sent to all civilians in the Coast Guard and completed and returned by approximately 20% of them. Results of this survey yielded primarily knowledge-based gaps in competencies. The identified gaps are ranked for the three workforce segments studied in this assessment (Table es-1).

Table es-1. Gaps between optimal and actual competencies compared between workforce segments.

Core Worker	Supervisor	Manager	Combined
Mentoring Programs (formal and informal)	Mentoring Programs (formal and informal)	Mentoring Programs (formal and informal)	Mentoring Programs (formal and informal)
Acquire a Mentor	Acquire a Mentor, Mentor Others, Mentoring Techniques	Acquire a Mentor	Acquire a Mentor
Individual Development Plan Procedures	Individual Development Plan Procedures	Individual Development Plan Procedures	Individual Development Plan Procedures
Coast Guard Personal and Family Support Programs	Coast Guard Personal and Family-Support Programs	Coast Guard Personal and Family-Support Programs	Coast Guard Personal and Family-Support Programs
Professional Development Resources, Career Path Opportunities	Professional Development Resources	Professional Development Resources, Plan Career	Professional Development Resources, Career Path Opportunities
Military Personnel Management System			Military Personnel Management System
Coast Guard Knowledge, DOT Structure		Coast Guard Knowledge	Coast Guard Knowledge, DOT Structure
	Local Union Contract	Local Union Contract, Fair and Unfair Labor Practices	
	Coaching Techniques, Conflict Resolution Techniques		
Coast Guard Budget Process		Legislative Proposal Process	Coast Guard Budget Process

The Coast Guard civilian community is average! Although the Coast Guard itself is unique, the general trends and conditions of the civilian workforce are little different from the civil service system as a whole. Civilians recorded a “C” level score (3.0 on a scale of 1.0 to 5.0) for only a few competencies. Given the relatively high mean scores we found by analyzing the survey results (no glaring gaps between expectations [optimal] and actual conditions), the CIVNA Team concluded that **the Coast Guard’s civilian workforce is generally as competent as the Coast Guard has stated it expects it to be.** However, if the Coast Guard truly intends to become the “employer of choice,” a workforce of “average” competency is not sufficient. In fact, improvement is critical to attracting, developing, and maintaining a competent civilian workforce in an increasingly competitive marketplace.

Nearly all of the gaps were knowledge-related, meaning Coast Guard employees had either not seen the information or it had not been presented to them. Without basic knowledge skills, attitudes and abilities will not be developed.

In an attempt to identify some of the root causes of the measured gaps, focus groups were conducted nationwide at the heaviest concentrations of civilian employees to identify the root causes of the measured gaps.

Root causes fell into one of **three major categories: Lack of knowledge, skill or information; Environmental** (lack of resources, cultural issues, etc.); or **Motivation, Incentive or Attitude**. Analysis of over 3,000 focus group comments indicates that, for the workforce at large, the root causes of the knowledge gaps are primarily environmental, particularly due to a lack of resources and the constraints of policies, procedures and practices.

Finally, the CIVNA Team made recommendations to close developmental and training gaps.

The interventions included a strong recommendation to take advantage of Computer Based Training (CBT). Additional training and developmental recommendations fell into two broad categories: leadership and personal development. Recommendations are fully described in the report and briefly detailed below:

Training/Learning: Train more people with fewer resources – rely less on non-resident training. Consistent with Executive Order 13111 and the Coast Guard strategic plan, take advantage of on-line learning opportunities.

Leadership

- ◆ Mentoring – inform, implement, and lead a Coast Guard-wide mentoring effort.
- ◆ Coaching and Conflict Resolution – train Coast Guard supervisors in coaching and conflict resolution techniques.
- ◆ Performance Management – link awards and performance appraisals to established performance milestones.

Personal Development

- ◆ Individual Development Plan (IDP) – create an IDP instruction, instruct all

- employees in its use, and require IDPs as part of every training application.
- ◆ Personal and Family Support Program – ensure that all civilians are aware of CG services, survey workforce to determine whether they are working and amend as necessary.
 - ◆ Career management – while acknowledging that every civilian is responsible for his/her own career, provide career development services (self-assessment tools, career strategy development models, basic on-line training, etc.); use “push technology” to distribute information about promotional and career opportunities.
 - ◆ Organizational Knowledge – consider development of a year-long civilian orientation program using CBT to ensure that all Coast Guard civilians receive basic orientation.

In addition to the measured gaps, the following anecdotal gap was repeatedly voiced by focus groups:

“**Shelfware**” – From the 1st CIVNA Team meeting to the last, and from all the Focus Groups, Coast Guard civilians expressed cynicism that this report, like many others, will become just another volume in the library of indecision. This assessment is like many others conducted in the public and private sectors. Implementation is the issue, not further study. There is sufficient information available to support a proactive decision to change the way we train and develop people without gathering more data **before** we decide to act.

The impending retirement (and replacement) of “baby-boomers” and the change-enabling revolution in information technology are fundamentally impacting the nature of our economy and of civil service. Recognizing these trends, other governmental organizations also have assessed the nature and needs of their workforces. In 1990 the Secretary of Labor commissioned the Secretary’s Commission on Achieving Necessary Skills (SCANS) resulting in a 1992 report entitled “**LEARNING A LIVING: A Blueprint for High Performance (A SCANS REPORT FOR AMERICA 2000).**” The SCANS report addressed workforce competencies for the national economy, both the private and public sectors. In similar but more narrowly focused efforts, DOT published a Workforce Planning Guide last April (1999) and EPA recently (May 1999) published the report of their Workforce Assessment Project. Both address organizational competencies. The EPA report identifies gaps, and the DOT report included a model for use by other modal administrations to identify and measure necessary workforce competencies. Although differences exist in the way competencies are organized and defined between these reports, the similarities between EPA, DOT, SCANS, and the Civilian Needs Assessment findings are striking.

Our future workplace is likely to be much more diverse and collaborative and less homogeneous and hierarchical. For much of the past, the workforce has been hired on the basis of one’s ability to meet specific job requirements. The future workforce will be employed and developed on the basis of competencies.

Competencies needed for future success will include:

- Communicating to a variety of audiences in multiple formats;
- Thinking creatively and analytically, proactively stretching the “envelope” of custom

- and convention;
- Continually learning and encouraging others' professional development;
- Accepting responsibility and accountability for effectively managing resources (money, people, technology);
- Selecting and using appropriate information technologies effectively for measurement, process improvement, and analysis;
- Collaborating with and leading a diverse workforce;
- Building and using teams;
- Leading, managing, and adapting quickly to change.

Finally, the findings and recommendations embodied in this report should surprise no one. There are no delay fuses; nor are there high explosives. In many ways, this report resembles other Coast Guard reports about its workforces. It also contains findings and recommendations similar to those of other Federal Agencies about their workforce. Private companies have spent private dollars finding similar results. We've been here before! Let's act!

From the diverse workforce that is the Coast Guard civilian community, people repeatedly expressed cynicism laced with resignation at a Coast Guard practice that might best be described as "**Ready, Aim ... Ready, Aim ... Ready, Aim**." The CIVNA Team's hope is that we don't continue to duplicate the findings of others, but instead take proactive measures to improve our current condition and charge forward to meet our future needs. The Coast Guard's Strategic Goals state our intent. The needs are clear. The recommendations of this workgroup provide a good place to start!

What is the Civilian Workforce Needs Assessment (CIVNA)?

The Civilian Needs Assessment is one of several Coast Guard workforce assessments (e.g. Junior Officer Needs Assessment, Senior Enlisted Needs Assessment, etc.) that the Coast Guard has undertaken since the Workforce Cultural Audit was completed in 1995. The structure and purpose is similar to other workforce assessments conducted elsewhere in the governmental and private sectors, in which the focus is on the competencies necessary to perform work. The Civilian Needs Assessment focused on professional development and leadership competencies (knowledge, skills, attitudes, and abilities (KSAAAs)) necessary for successful civilian career transitions.

The following **terms** are critical for a complete understanding of the CIVNA process:

- **Competency** – an underlying characteristic of an employee that results in effective and/or superior performance (i.e. they are predictive of performance);
- **Knowledge** – **information accumulated in a particular area of expertise** (e.g., accounting, human resources management, engineering, etc.);
- **Skill** – the **demonstration of expertise** (e.g., the ability to make effective presentations, or to negotiate successfully);
- **Attitude** – a self-concept, one must **choose to** use knowledge and skills to perform a task;
- **Ability** – when an employee is knowledgeable and skilled in a particular area of expertise, chooses to exercise that knowledge and skill, and then is **able to perform well**.

The relationships between knowledge, skill, attitude and ability are depicted below. Knowledge is the foundation on which skill, attitude and ability are based. Without practiced skill and the choice to apply it, the ability can't exist.

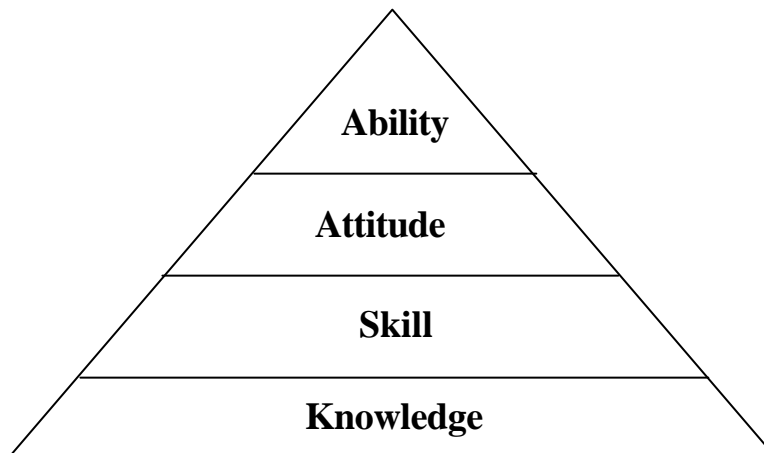


Figure 1. Schematic diagramming the relationships between knowledge, skill, attitude, and ability.

The **Civilian Needs Assessment Charter** (Appendix 1) directed an analysis of General Schedule (GS) employees with a focus on general competencies needed by all civilian employees (separate from job-specific competencies) for optimal performance at each of three key **transition points**:

- When a civilian employee initially begins working for the Coast Guard, irrespective of grade level;
- When an employee becomes a supervisor with responsibility for others;
- When a supervisor transitions to manager.

The Charter specifically directed the Team to accomplish the following **tasks**:

- Conduct a thorough examination of the knowledge, skills, attitudes, and abilities expected of civilians at each transition point;
- Conduct research of other organizations as benchmarks;
- Determine the gaps that exist between the “optimal” civilian profile (KSAs) and actual competencies of Coast Guard civilian employees;
- Make recommendations for interventions to close the identified gaps.

The assessment **results** are recommendations to close gaps between optimal competencies (i.e., KSAs that the organization desires) and actual measured competencies. The goal is to improve GS employee’s professional development and leadership abilities.

Why was the Civilian Needs Assessment Conducted?

This Civilian Needs Assessment, as well as the other Coast Guard workforce assessments, satisfies an Action Item derived from the results of the 1995 **Workforce Cultural Audit (WCA)**. The WCA intended “to identify barriers – both real and perceived – to achieving career success in the Coast Guard and then to break down those barriers. Analysis of the WCA data identified barriers in 4 broad areas: Career Obstacles, Diversity Management, Communications, and Leadership. The second leadership Action Item, L2, Improve Professional Development for All Team Coast Guard Personnel, is to “Use Human Performance Technology (HPT) method to conduct needs assessments for all workforces to ensure professional development avenues are available and valid for all personnel.”

Diversity issues underpin the Coast Guard workforce needs assessments. The demographic nature of the U.S. workforce will shift significantly during the next decade. Demographic changes in the U.S. economy also will likely effect the federal workforce and the Coast Guard workforce. Baby boomers, the relatively large population of workers born between 1946 and 1964, will begin to reach minimum federal retirement age of 55 next year (2001). The retirement of the baby boomers will open a number of positions to a new generation of employees who do not have their individual or collective experience.

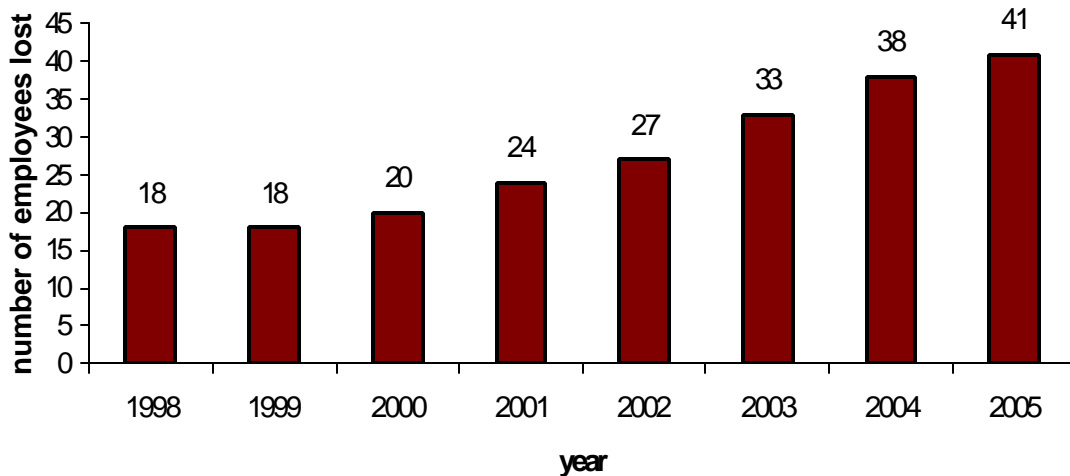


Figure 2. Projected attrition of USCG procurement employees from 1998 to 2005 (DOT Workforce Planning Guide).

Figure 2 (above) shows the upward trend in projected attrition for Coast Guard procurement specialists from 1998 to 2005. The graphic shape is similar to attrition forecasts for other agencies and for other professional specialties. As baby boomers begin to leave government service, the workforce that replaces them will be much less homogeneous than the workforce of the past 30 years. Women and minorities will

increase their number and their representation in managerial and supervisory roles. The December 10, 1999 edition of *The Kiplinger Washington Letter* noted:

“Changing workforce demographics will pose major challenges for employers. An aging workforce. An influx of minorities. More women moving up.”

“Number of workers near retirement will grow by 56% over next 10 years, while the number of workers between ages 25 and 44 will decline by 4.5%.

“Take note of greater religious, cultural diversity on the job. Number of minorities working will grow rapidly in the coming decade, resulting in a workforce that’s 13% Hispanic, 12% black and 6% Asian.”

Not only are older federal employees expected to retire soon in record numbers but fewer young people are seeking a career in Federal Service. It is becoming more difficult to recruit qualified applicants.

Another factor affecting the Coast Guard workforce is a governmental **transition from an industrial-age, rules-based bureaucracy to a knowledge-based, customer- and results-oriented service economy**. An increasing percentage of Coast Guard employees are lifetime “knowledge workers,” people who use their knowledge and their access to knowledge to facilitate decision-making and improve the quality and capabilities of the Coast Guard services. Continuing developments in information technology have created and strengthened the role of the knowledge worker and focused human resource development on competencies to perform work, rather than past experience that may or may not remain relevant. Information Technology enables routine measurement of customer and employee satisfaction and the business results (financial outcomes, cycle time, etc.) of our activities. IT can facilitate decision-making and empower employees at all levels to consistently measure and continually improve performance. Both the public and private sectors are using competencies as a way to refocus organizations on what is really important and what it takes for their workforces to be successful. Competency models serve as vehicles for change. Competencies are used:

- As a strategy to strengthen the links between organizational culture, results, and individual performance by emphasizing competencies that are needed across occupational specialties;
- As a tool to help describe work and what is required from employees in a broader, more comprehensive way;
- To align individual and team performance with organization, vision, strategies, and the external environment.

Other recently conducted workforce needs assessments show competency gaps similar to those identified by the CIVNA Team. In May 1990, the U.S. Secretary of Labor created the Secretary’s Commission on Achieving Necessary Skills (SCANS) to examine the demands of the new American workplace with an eye to identifying developmental and skills gaps between what the future required and the current state of

the working population. The SCANS report, "Learning a Living," was issued in 1992 and identified five (5) basic competencies and a three-part foundation of skills and personal qualities that all employees in the new workplace will need. Figure 3 depicts these competencies. More complete definitions of SCANS competencies and foundation skills can be found in Appendix 4.

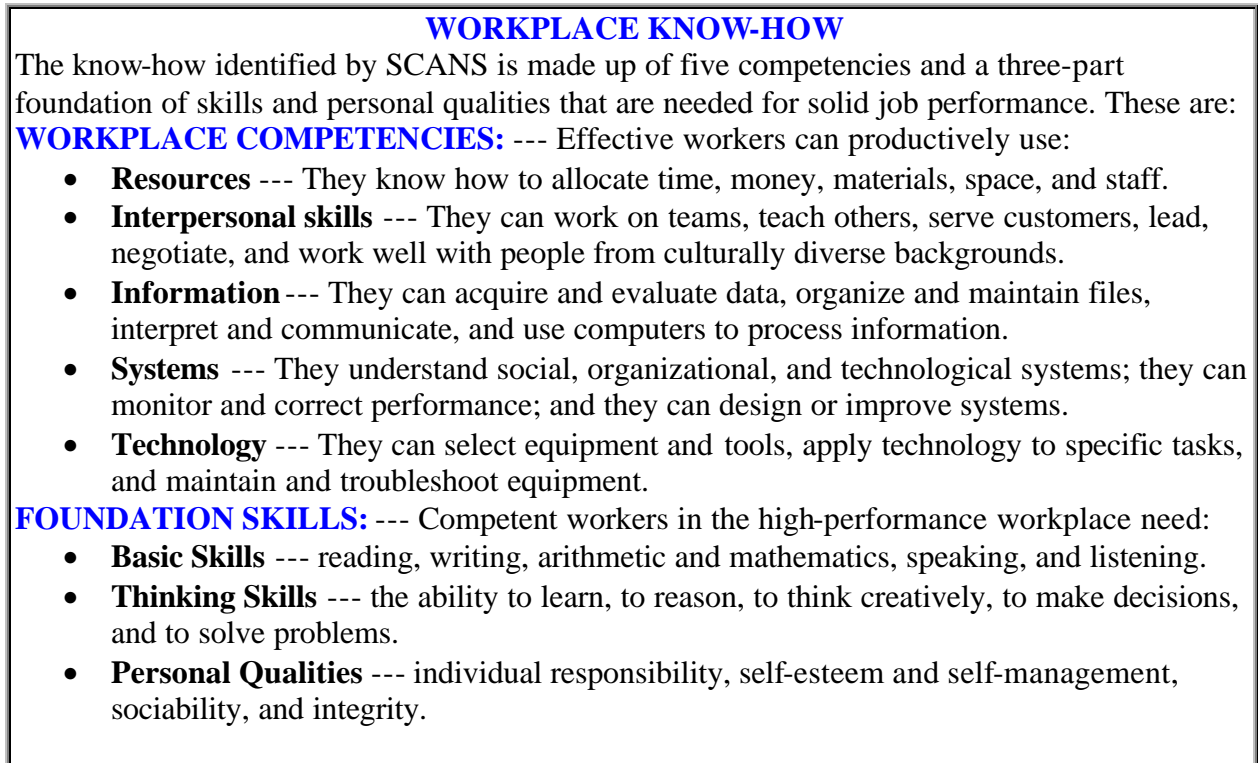


Figure 3. SCANS report competency matrix.

In April 1999, after the Civilian Needs Assessment Team began its work, the Department of Transportation published a report, "Workforce Planning Guide (WPG)." Appendix III to the WPG is the Federal Highway Administrations (FHWA) Professional Skills Competency Framework. The framework was developed to analyze professional skills requirements across FHWA, identify available resources, and devise efficient and innovative approaches for obtaining training services. The Workforce Planning Guide was not published and not known to the Civilian Needs Assessment Team until after competencies had already been identified and the CG civilian workforce surveyed. Many of the required competencies identified by the FHWA are parallel to those identified by the CIVNA Team.

CIVNA Team-identified competencies and those from FHWA, SCANS, and EPA are summarized in Appendix 6 of this report.

The Civilian Needs Assessment Process

Preliminary Steps

The first step in the process was **selection of CIVNA Team members**. More than 100 Coast Guard civilian employees volunteered to serve on the Civilian Needs Assessment Team. They were very qualified and had their supervisors' approval to take on additional responsibilities of unknown duration and complexity. Because the applicant pool was of high quality, selection was made primarily to create a team with broad representation. Factors used included length of service, gender, geography, and general schedule pay grade. Twelve members were selected with the characteristics outlined in Table 1.

Table 1. Demographic information of the twelve member CIVNA Team.

General Schedule Range	GS-7 to GS-15
Gender	7 women, 5 men
National Origin	11 Caucasian, 1 African American
Geography	6 from HQ, 4 East Coast, 1 Gulf Coast, 1 West Coast
Length of Service	Junior member with 1 year service to a long-time employee who was retirement-eligible
Employment Status	10 civilians, 2 military

Two Performance Technology Consultants were assigned to the CIVNA Team: Paul Robbins from Training Center Petaluma acted as lead consultant with support from Cathy Tobias (G-WTT). Additionally, a contract project facilitator was engaged to take and distribute minutes, process data, and provide administrative continuity.

Once the CIVNA Team was selected, a series of **introductory and team building exercises** were undertaken. Each team member took the Keirsey-Bates Temperament Sorter (similar to Meyers-Briggs) to determine his or her personality preferences. Kathleen Wilson of the Leadership and Professional Development Division (COMDT G-WTL) then gave a presentation on the different "types" or "temperaments" of individuals and how they affect one's ability to work with others. The Team was subdivided into smaller "sub-teams" comprised of people with complimentary, rather than identical or opposing, temperaments to facilitate effective teamwork. The CIVNA Team members introduced themselves, including their Keirsey-Bates Temperament Profile, and described their current position, career aspirations, and any other personal information that each felt would be useful to the other team members in building productive working relationships. Finally, each CIVNA team member was asked to identify his/her **expectations for the Civilian Needs Assessment**.

Not everyone on the Team understood the charter's detailed meaning when the Team first met, so the range of expectations fell both within and outside the chartered purpose of the CIVNA. A list of expectations follows:

- Improve work environment
- Make the USCG employer of choice

- Reduce stress
- Incorporate civilians into team Coast Guard. Civilians feel like a “2nd Cousin.”
- Help us better use knowledge skills, attitudes and abilities (KSAA’s)
- Identify civilian needs
- Improve retention/promotion of civilian employees
- Improve promotion/development opportunities for civilians
- Improve up/down (2 way) communications between managers and subordinates
- Develop equality between military and civilians
- Decrease the schism between civilians/military
- Improve civilian development opportunities, including the transition from wage grade to General Schedule. (WGS to GS)
- Improve education opportunities
- Improve performance feedback
- Improve promotion opportunities (The CG seems to acquire from outside, rather than developing from the inside)
- Improve knowledge/sensitivity of supervisors for subordinates
- Improve civilian morale
- Establish human resource development plan for civilian workforce.
- Improve/initiate mentoring process

RADM Tom Barrett (G-WT) addressed the Team at its second meeting to encourage teamwork, answer questions about the charter, and discuss the future of the Coast Guard’s workforce assessments. He acknowledged the validity of the team members’ expectations that fell outside the charter and recommended that the Team:

- meet the chartered objectives,
- provide “stroke-of-the-pen” solutions where possible, and
- provide additional workable solutions when recommending interventions to close measured gaps.

The CIVNA Team also set **ground-rules** that governed the Team’s progress, in large part, throughout the year from the first meeting in January 1999 until the last in December 1999. They included:

- Consensus - Everyone must be able to “live with” the decisions and final recommendations that are made,
- Stay faithful to data,
- Don’t leap to solutions,
- Everyone is equal,
- Keep strong feelings within the Team – don’t vent outside,
- Agree that reasonable people can differ on fundamental questions and that there is to be no attribution,
- Stay focused on vision and the “big picture.”

Identification of Optimal Competencies

Assessment began with the identification of optimal competencies. As with other Coast Guard workforce assessments, optimal competencies were culled from two kinds of information sources: (1) internal – Coast Guard policy, curricula, directives, etc., and (2) external – benchmarks from other agencies and organizations, from both the public and private sectors.

The internal sources of “optimals” identified the characteristics and qualifications the Coast Guard had explicitly stated were important to its success. All of them were found in **Coast Guard documents** published before the Team started its work; in other words, **they reflect previously identified needs and priorities, not necessarily current needs or future priorities.** The internal sources included the following:

- Commandant Directives,
- CG studies and workgroup reports (e.g., Leadership Work Group Phases I and II, Coast Guard 2020, Workforce Cultural Audit),
- Civilian Personnel policy manuals and handbooks (A Supervisor’s Guide to Career Development and Counseling for Civilian Employees, Supervisor’s Desk Guide, etc.), and
- Curricula for existing Coast Guard courses.

The Team could not expeditiously extract means of pulling the necessary competency data out of Coast Guard background documents. Only by a the laborious process of reading each page and noting every knowledge, skill, attitude, or ability (KSAA) mentioned was the information collected. The Federal Highway Administration, Environmental Protection Agency, and Department of Labor SCANS Report reported similar efforts undertaken at their organizations. Final information from the Coast Guard documents was organized into competencies and each KSAA:

- (1) was noted on a “yellow sticky” note as it was identified in the literature,
- (2) the notes were then accumulated into categories (e.g.: core-worker, supervisor, manager), and
- (3) was organized by their affinity to one another (communication, mentoring, wellness, etc.) until a complete list of competencies had been identified.

In some of the documents, a skill competency was listed without the requisite knowledge competency. Because of the nature in which KSAA’s build upon one another, in some cases the Team inferred a competency. When required, a knowledge competency was inferred from a skill, or an attitude was inferred from an ability. But inferences were never extended beyond one level of the pyramid. This reduced any subjective assessment of what might be important traits in a general schedule employee, restricting the identified optimals to those that the Coast Guard has already documented as important. There was a high degree of replication. Knowledge, skills, attitudes, or abilities found in a Coast Guard document were common across many documents.

Through this lengthy process of identifying and categorizing competencies, a set of KSAs were identified for each of the three critical transition phases – newly hired or core workers, supervisors, and managers. Competencies identified as required by the Coast Guard of core workers were termed “general competencies.” Supervisory competencies build upon the general competencies and managerial built upon general and supervisory.

When no other means of differentiation was possible, GS-1 through GS-10 were considered “core worker” positions, GS 11 through 13 were considered supervisor positions, and GS 14 through 15 were considered managerial positions.¹ From the competencies culled from the literature for each transition phase, a list of optimal competencies was created for the entire subject civilian workforce and served as the basis for all further analysis (Appendix 2).

Other federal agencies were the primary sources of **benchmarks**. Benchmarks also came from sources such as the 1999 Pocket Guide to Baldrige Award Criteria and Presidential Quality Award (PQA) criteria. Information was culled from other organizations known to have quality career development programs. Best practices were compiled and later cited in the formulation of solutions and recommendations. Useful benchmarking information came from the following agencies: Federal Highway Administration (FHWA); Environmental Protection Agency (EPA); Office of Personnel Management (OPM); the 1999 Baldrige Award Criteria; and various private sector companies, among them NYNEX, Boeing, Blue Cross/Blue Shield.

Measurement of Actual Competencies

After the optimal competencies were identified, the next step in the Needs Assessment process was to measure the current state of general schedule (GS) workforce competencies. For this purpose, the Team surveyed the GS population.

A **Preliminary (Test) Survey** of the GS population was performed. Based upon the KSAs derived from the literature review, the CIVNA Team created a preliminary survey. The objectives of the preliminary survey were to test the questions for a later, Coast Guard-wide survey and to aid in development of focus group questions for eventual root cause determination. The surveys were e-mailed to “new-hires” (people hired by the Coast Guard in FY98 into core worker, supervisor, or manager positions), supervisors of new-hires, and a subordinate of the new-hire, if applicable. Although each survey targeted a specific employment level (core worker, supervisor, or manager), all questions corresponded to a competency on the Optimals List (Appendix 2). The surveys were designed so that each knowledge, skill, attitude, and ability identified on the Optimals List could be ranked on a frequency continuum (i.e., how often the employee had the opportunity to demonstrate each competency). Results were analyzed to quantify departures from the ideal state as well as differences in how employees and supervisors view employee performance.

¹ Not all GS-11 through 13 or GS-14 through 15 positions have supervisory or managerial responsibilities, in which case the incumbents were considered “core-worker” for assessment purposes.

A large-scale **Coast Guard-Wide Survey** was generated as a result of the test survey. Very few questions were modified from the preliminary survey, but the range of employees surveyed was broadened. One of six types of surveys was mailed to the entire civilian population (except those that had been surveyed in the preliminary phone survey). The types of surveys were as follows:

- Core worker assesses self;
- Core worker assesses supervisor;
- Supervisor assesses self;
- Supervisor assesses core worker;
- Manager (second level supervisor) assesses supervisor;
- Manager assesses self.

Table 2. Matrix describing the reporting regime utilized in the survey.

Employment Level	Reported on by		
	Subordinate	Self	Supervisor
Core Worker		Yes	Yes
Supervisor	Yes	Yes	Yes
Manager		Yes	

A cover letter accompanied each survey, explaining the type of survey to be completed by the recipient. Partially due to the complexity of distributing surveys to 6 different assessment groups, during the sorting process some survey questionnaires were mistakenly sent to the wrong addressee. Initially this led to confusion among survey recipients as to whether they were evaluating themselves, their supervisor, or their subordinate. A very vocal minority expressed their frustration via an e-mail to the entire civilian population. Not only did the “reply to all” responses begin to bog down the Coast Guards e-mail servers, but survey recipients were exposed to negative views aired in the broadly distributed e-mails prior to completion of their own surveys. The Team was unable to measure the effect on the results of the distribution difficulties.

Identifying Root Causes of the Measured Gaps

The discrepancies between the optimal and actual competencies held by civilians in the Coast Guard are termed “Gaps”. The root causes for these gaps were identified through the use of **Focus Groups** in centers with high concentrations of Coast Guard civilian personnel. CIVNA workgroup members were sent to the locations in Table 3.

Table 3. Location of focus groups held in Coast Guard civilian personnel centers.

Location	Number of Focus Groups Held		
	Core worker	Supervisor	Manager
CG Academy	1	1	1
AR&SC	1	1	0
MLCPAC	2	1	1
Tracen Petaluma	1	1	1

Location	Number of Focus Groups Held		
	Core worker	Supervisor	Manager
District 1	1	1	1
Finance Center	2	1	1
Coast Guard HQ	3	1	1
MLCANT	1	1	1
D8 – Miami	3	2	1
NOLA	2	1	1
NPFC/NMC	3	2	1 ¹
ISC Portsmouth	1	1	1
ELC/YARD	3	2	1
NVDC	1	1	1

¹ One set of NPFC data listed supervisor trends and boss of supervisor trends together

The total population of the areas visited accounts for approximately 60% of the Coast Guard civilian workforce. Team members were sent to each location, holding focus groups over the course of several days. Focus groups consisted of core workers, supervisors or managers; none of the groups were “mixed.” Each focus group facilitator lead the discussion with six standard questions developed from the preliminary survey results. The CIVNA Team members recorded all themes, thoughts, and quotes related to possible causes for gaps in civilian competencies. The Focus Group Questions are shown in Table 4. One set of questions was used for core workers, and one set of question was used for both the supervisor and manager focus groups. The third column lists questions asked only to managers in follow-up focus group sessions subsequent to analysis of the Coast Guard-wide survey results.

Table 4. Questions presented to focus groups in centers of Coast Guard civilian personnel.

		Core Workers	Supervisors/Managers	Managers
Question #1	Descriptor:	Career Planning Supervisors and Coreworkers felt that there is a significant need for development in individual career planning including mentoring.	A. Program/Project Management Identify and Manage Resource Requirements Manage Multiple Projects	
	Lead in statement:	In the initial survey of CG civilian employees and their supervisors both agreed in one area there was a need for emphasis to be placed on individual career planning and mentoring.	In identifying and managing resources requirements, the initial survey showed both subordinates and second level supervisors evaluated first level supervisors lower than first level supervisors rated themselves.	Of the 166 competencies listed on the Civilian Needs Assessment Survey for Managers, two of the three lowest responses with respect o proficiency, were “knowledge of union contract” and “knowledge of fair and unfair labor practices.”
	Lead in question:	What do you feel are contributing factors causing a lack of individual career planning and mentoring?	From your perspective, what accounts for the differences in opinion?	To what do you attribute the cause of the lack of proficiency around labor issues?
Question #2	Descriptor:	Communication Skills People need to communicate better <ul style="list-style-type: none"> • Writing • Orally • Electronically 	B. Program/Project Management Used technology capabilities effectively (especially information technology)	

Table 4. Questions presented to focus groups in centers of Coast Guard civilian personnel (continued).

Question #2 (continued from previous page)	Lead in statement:	Communication is crucial to an organization's ability to transfer/share information. The survey shows a gap between desired communications skills and employees' abilities.	Supervisors scored themselves low on using technology capabilities effectively (especially information technology)	The analysis of the responses from managers also revealed a concern for personal issues. According to the survey results, 46.2% of managers rarely or only sometimes choose to maintain a healthy lifestyle. 41% rarely or only sometimes demonstrate knowledge of the elements of a healthy lifestyle. 44.7 % rarely or only sometimes demonstrate knowledge of how to cope with stress.
	Lead in question:	Why do we rate ourselves low on communication skills?	What do you think are causes of not using technology effectively?	What do you think are the causes of such choices and lack of knowledge?
Question #3	Descriptor:	Decision Making <ul style="list-style-type: none"> • Fear of Risk • Managing Risk • Sound Decisions 	Performance Management <ul style="list-style-type: none"> Analyze and correct employee performance problems Manage employee performance 	
	Lead in statement:	The survey showed CG employees are reluctant to take risks and may not know how to manage risk or to make sound decisions.	Subordinates and second level supervisors rated first level supervisors low on analyzing and correcting performance problems, and managing employee performance. First level supervisors rated themselves higher.	Managers are sometimes in a position to recommend changes to legislation or regulation. Yet, "knowledge of the legislative proposal process" scored relatively low on the survey.
	Lead in question:	Why does it appear that we are reluctant to take risks and have difficulty making sound decisions?	What are the possible causes for the difference of opinion?	To what do you attribute the cause of the lack of knowledge around the legislative proposal process?
Question #4	Descriptor:	Group Dynamics <ul style="list-style-type: none"> • Processing Feedback • Team Building Techniques • Followership 	Supervisor-Employee Relationship <ul style="list-style-type: none"> • Adapt leadership approaches in varying situations 	
	Lead in statement:	The survey showed that CG group dynamics fall short of expectations concerning processing feedback, team building techniques, followership (meaning "how people work in groups" and "how people follow leaders").	Subordinates and second level supervisors rated first level supervisors low in adapting leadership approaches in varying situations. First level supervisors rated themselves higher.	
	Lead in question:	Why do people fall short in: 1) processing feedback, 2) team building techniques, and 3) followership?	What are the causes for the differences of opinion?	
Question #5	Descriptor:	Organizational Knowledge <ul style="list-style-type: none"> • Missions • Values • Policies • Procedures 	Career Planning <ul style="list-style-type: none"> Supervisors and coreworkers felt that there is a significant need for development in individual career planning including mentoring. 	

Table 4. Questions presented to focus groups in centers of Coast Guard civilian personnel (continued).

Question #5 (continued from previous page)	Lead in statement:	The survey shows that knowledge of the organization from Federal Ethics to CG core values, including structures, chain of command and missions, are not understood throughout the agency.	In the initial survey of CG civilian employees and their supervisors, both agreed in one area there was a need for emphasis to be placed on individual career planning and mentoring.	
	Lead in question:	From your perspective, why do you feel that people don't know about the organization?	What do you feel are contributing factors causing a lack of individual career planning and mentoring?	
Question #6	Descriptor:	Program/Project Management <ul style="list-style-type: none"> Used technology capabilities effectively (especially information technology) 	Communication Skills People need to communicate better: <ul style="list-style-type: none"> Writing Orally Electronically 	
	Lead in statement:	Employees scored themselves low on using technology capabilities effectively (especially information technology).	Communication is crucial to an organization's ability to transfer/share information. The survey shows a gap between desired communications skills and employees' abilities.	
	Lead in question:	What do you think are causes of not using technology effectively?	Why do we rate ourselves low on communication skills?	
Last Question:	Additional comments or concerns			

What were the Results of the Civilian Needs Assessment?

Preliminary (Test) Survey Results

The response to the preliminary survey was low. Of the 20 surveys e-mailed to core workers, only 10 were mailed back. Only a few of the surveys sent to the newly-hired supervisors were returned. Although surveys were sent to both employees recently hired into manager positions, only one of them was available to fill out and return the survey. The surveys that were sent to the supervisors and subordinates of the new-hire were often not returned. The poor response to the e-mail survey resulted in the CIVNA Team conducting telephone surveys of the people who did not respond. In several cases it was determined that the subject was no longer employed by the Coast Guard, in which case another subject was contacted and surveyed over the phone.

The Team tallied and analyzed the response frequencies to identify trends in performance expectations. The response options presented to the surveyed employees were assigned a number from 1 to 6 (representing a continuum of low opportunity/high developmental need to high opportunity/low developmental need, respectively). The responses obtained for a survey question (i.e., an optimal) from all respondents of that employment level were averaged to generate an overall picture of how the core worker and supervisor populations surveyed responded.

Core worker respondents scored lowest (i.e., the employee had a lower opportunity to demonstrate or showed a greater need to develop) on skill to plan career and acquire a mentor, and knowledge of individual development plan procedures, mentoring programs, and professional development resources. Newly-hired **supervisors** scored lowest on the ability to evaluate project results and manage multiple projects in varying situations, the choice to mentor others, the skill to analyze and correct performance problems, and the knowledge of Coast Guard performance plan requirements.

The scores obtained from the one available newly-hired **manager** were recorded for reference purposes, but conclusive results could not be drawn from one response in a sample population of two. The newly-hired manager recorded a score of “1” (low opportunity/high developmental need) on the following competencies:

- Ability to market a program, develop policy, implement policy/legislative change, and evaluate policy/legislative change;
- Choice to conduct program reviews, identify and apply appropriate trends to USCG, and develop and participate in outreach programs;
- Skill to set and work a vision for program, develop a legislative proposal, manage program finances, and apply statistical analysis;
- Knowledge of global trends, agency/national policy, legislative proposal process, regulatory process, systems theory, and cost-benefit analysis techniques.

Responses for each competency from the core worker and supervisor surveys were also compared to the responses given by the new-hire’s supervisor and/or subordinate. Mean

differences in the average responses were taken as a measure of the **discrepancy between employees' and supervisors' view of meeting performance expectations**. The largest gaps between newly-hired **core workers'** and their corresponding supervisors' responses were seen in knowledge of Coast Guard civilian personnel management, Coast Guard core values, and teambuilding techniques, and the skill to set goals and weigh risk appropriately. The largest total gaps in response for the **supervisor** surveys (combined difference of averages between subordinate and newly-hired supervisor and between newly-hired supervisor and his/her supervisor) were in the ability to adapt leadership approaches in varying situations, manage employee performance, and manage multiple projects in varying situations. Gaps were also evident in the skill to identify and meet resource requirements, as well as analyze and correct performance problems.

Coast Guard-Wide Survey Results

The large-scale, Coast Guard-wide survey also had a low response rate. Of the 5,000 surveys mailed, 1,175 were returned, resulting in an overall response rate of 23.5%. A potential reason for the low response rate, as was mentioned above, was that some individuals received the wrong type of survey, and consequently disregarded it. The HPT process, as the Team was led to understand it, caused the survey to be very long – some in excess of 100 questions. The survey length may have inhibited some respondents. Finally, for those who received the survey, the short turn-around time for completion of the survey may have kept people from participating in the survey effort.

Surveys were scanned and the data analyzed by Anne Sutton of Performance Technology Center (PTC) Yorktown using the SPSS (Statistical Program for the Social Sciences) software package. The PTC report can be found in its entirety in Appendix 6. The results of the analysis are summarized below.

- Consistently high average responses in core worker, supervisor, and manager groups.
- Supervisor survey: slight deficit in Coast Guard organizational knowledge (history, budget, relationship to DOT, etc.), and in knowledge of local union contracts, conflict resolution, mentoring, and coaching techniques.
- Core Worker survey: low scores regarding demonstrated knowledge of military personnel system, knowledge of Coast Guard personal and family support programs available to civilian personnel, and of any professional development resources available to them.
- Manager survey: low scores regarding technology and computers and knowledge of personal issues (such maintenance of a healthy lifestyle and coping with stress).
- All three groups showed a lack of knowledge regarding mentoring and mentoring program, and lacked skills to plan careers.

Mean scores for each survey question were prioritized by lowest score, and the top ten areas of concern (the competencies which received the lowest scores) for each employment level are summarized below.

Table 5. Gaps between optimal Coast Guard and actual competencies identified and ranked for each GS employment level.

Competencies of Concern			
Core Worker	Supervisor	Manager	Combined
Mentoring Programs (formal and informal)	Local Union Contract	Local Union Contract	Mentoring Programs (formal and informal)
Acquire a Mentor	Mentoring Programs (formal and informal)	Acquire a Mentor	Acquire a Mentor
Individual Development Plan Procedures	Acquire a Mentor	Fair and Unfair Labor Practices	Individual Development Plan Procedures
Military Personnel Management System	Mentoring Techniques	Coast Guard Personal and Family-Support Programs	Coast Guard Personal and Family-Support Programs
Coast Guard History	Individual Development Plan Procedures	Individual Development Plan Procedures	Professional Development Resources
Coast Guard Personal and Family Support Programs	Coaching Techniques	Coast Guard History	Military Personnel Management System
Coast Guard Budget Process	Conflict Resolution Techniques	Legislative Proposal Process	Coast Guard History
Professional Development Resources	Coast Guard Personal and Family-Support Programs	Mentoring Programs (formal and informal)	Career Path Opportunities
DOT Structure	Professional Development Resources	Plan Career	Coast Guard Budget Process
Career Path Opportunities	Mentor Others	Professional Development Resources	DOT Structure

Nine of the top ten gaps for the combined workforce are specifically a lack of knowledge (of mentoring programs, IDP procedures, etc.).

Focus Group Results

Root causes fall into one of **three major categories** (see Table 4): **Lack of knowledge, skill or information; environmental** (lack of resources, cultural issues, etc.); or **motivation, incentive or attitude**. Focus group responses were collected and summarized in separate matrices for core workers, supervisors, and managers. They

were then sorted by focus group question number so all responses to each question, and only the responses to that question, could be reviewed by CIVNA Team members for categorization by root cause.

Table 6. Major categories of root causes linked to the gaps in competencies.

I.	Lack of Knowledge, Skill or Information
A.	Skill or Knowledge (an internal deficiency)
B.	Information (an external deficiency)
II.	Environment
A.	Resources (time, money, people, etc.)
B.	Culture (e.g. civilian-military differences in outlook)
C.	Policies, procedures, or practices
D.	Organization (e.g. Civilian Personnel’s hub-and-spoke structure)
III.	Motivation, Incentive, and Attitude
A.	Motivation
B.	Incentive (rewards and punishments)

The CIVNA Team reviewed every focus group comment and assigned a designation corresponding to one of the above categories (e.g.: IA (lack of knowledge or skill), IIB (cultural barrier), etc.). This outline helped link focus group data to survey questions and gap. By assigning root causes to each focus group comment and survey narrative, Team members grouped gaps between optimal and actual competencies with similar root causes. This facilitated generation of recommendations to close the gaps the survey identified.

Nine of the top ten gaps measured for all workforce segments combined are knowledge-related (no knowledge of Coast Guard mentoring programs, etc.). However, analysis of over 3,000 focus-group comments indicates that, for the workforce at large, the root causes of the knowledge gaps are primarily environmental, particularly lack of resources and the constraints of policies, procedures and practices (see Figure 4).

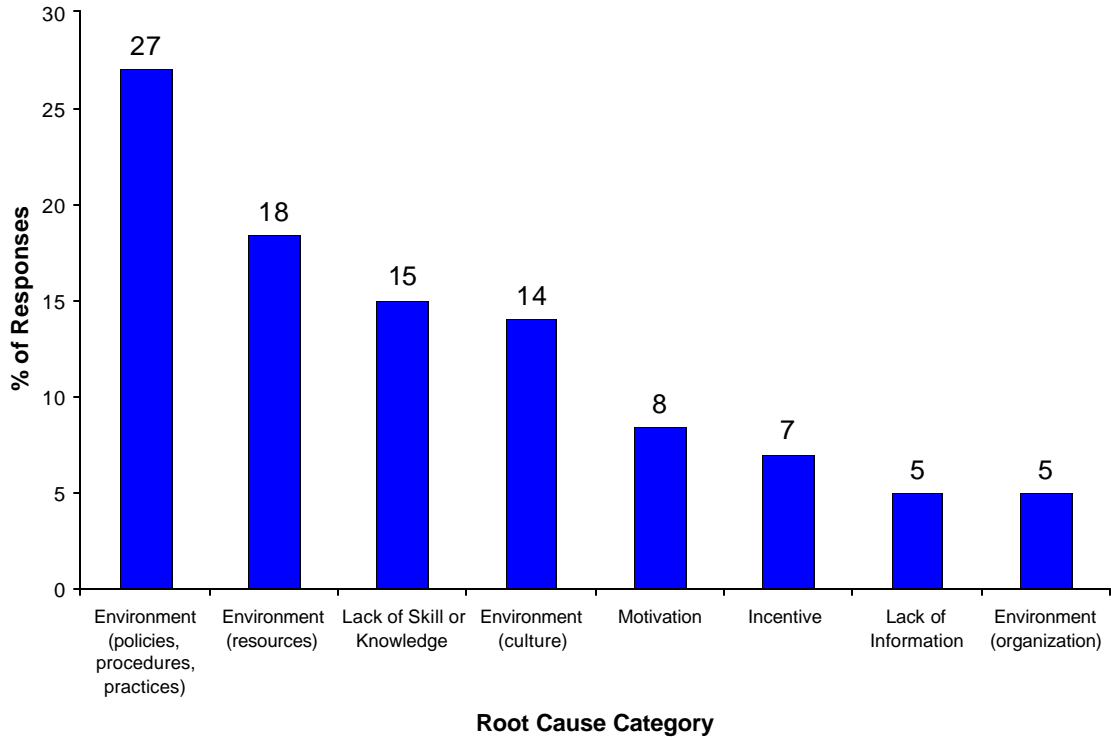


Figure 4. Breakdown of root cause categories identified from all focus group responses.

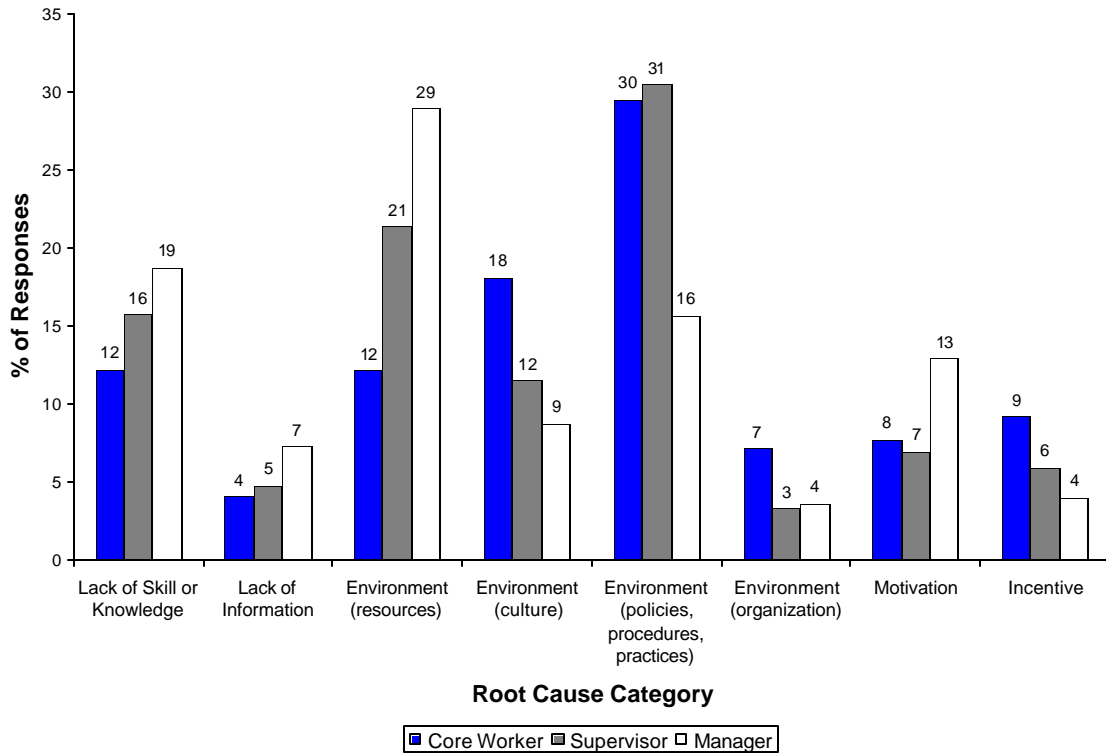


Figure 5. Breakdown of root cause categories identified by each workforce segment's focus group responses.

Looking at the focus group data by workforce segment (core-worker, supervisor, or manager), however, suggests that each group views the root cause of lack of knowledge somewhat differently. This is evident in Figure 5, in which the greatest percentages of comments from each workforce segment were attributed to different root causes. In addition, Figure 4 shows that roughly 60% of the comments indicated that the predominant root causes of gaps were primarily environmental, but core workers and supervisors tended to believe it was driven by policies, practices, or procedures, and the managers felt it was primarily driven by lack of resources.

The differences in root cause attribution indicate not only a difference in perspective but also may indicate a lack of communication between managers, supervisors, and core-workers about issues of common interest.

Recommendations

The CIVNA Team recommends a number of Coast Guard interventions, particularly to the training and developmental processes, to close competency gaps as measured by the survey.

The Team includes combined matrices linking gaps to root causes and recommended solutions in Appendix 5. These matrices stand on their own as the output of months of data collection, analysis, and collaborative decision-making. For clarity and focus, the recommendations pertaining to training and development are addressed first (below) and followed by recommended interventions to improve organizational processes or remove constraints that continue to frustrate members of the Coast Guard civilian workforce in their career development.

Recommendations to Close Training and Development Gaps

(1) Training/Learning: Nine of the top 10 measured gaps from the combined survey results of the civilian workforce (core-worker/general, supervisor and manager) are knowledge-related. More than 80% of the optimal competencies identified by the CIVNA Team, however, are already included in Coast Guard curricula and taught in at least one course. Resources provided for civilian training are fully utilized - there simply are not enough resources to meet the demand.

Nevertheless, the CIVNA Team **strongly recommends that the Coast Guard increase both the number and quality of learning opportunities available to members of the Coast Guard civilian workforce. Much can be accomplished by taking advantage of existing computer-based training (CBT) technology.** We recognize that the Coast Guard can not significantly increase funding for non-resident training and travel within current budget constraints, nor can it improve our training infrastructure overnight. But existing state-of-the-art capabilities for training and learning technology will help close developmental gaps in every workforce, civilian and military. The Coast Guard should invest in CBT, and share with other organizations (particularly DOT) that have developed distance learning opportunities. These provide just-in-time learning for everything from basic indoctrination to solving personnel and technical problems.

As was stated in the 1999 Coast Guard Strategic Plan, the following is one of eight organizational initiatives:

Intellectual Capital Development

The Coast Guard will invest in developing the critical and creative thinking capabilities, knowledge and analytical skills of its people. We will improve our ability to manage information and knowledge, design effective business, planning and decision-making processes and tools, optimize resources, support innovation, and manage risk. We will benchmark with other organizations to learn intellectual capital development i.e. best practices. We will ensure our people have the

proper training and intellectual tools to effectively manage the service, and we will support the concept of life long learning as essential ingredients of organizational success and employee satisfaction.

Investment costs are unknown. Long-term costs per student, however, are significantly lower than for resident training. Industry anecdotes suggest that return on investment could be as high as several hundred percent. Last year (January 12, 1999) President Clinton signed Executive Order 13111 entitled "Using Technology to Improve Training Opportunities for Federal Government Employees." In addition to establishing a Presidents Task Force on Federal Training Technology (<http://www.technology-taskforce.gov/default.asp>) and requiring the Task Force to develop federal policy for effective use of training technology, he directed each Federal Agency to:

- (1) Include as part of its annual budget process a set of goals to provide the highest quality and most efficient training opportunities possible to its employees, and a set of performance measures of the quality and availability of training opportunities possible to its employees. Such measures should be, where appropriate, based upon outcomes related to performance rather than time allocation.
- (2) Identify the resources necessary to achieve the aforementioned goals and performance measures articulated in its annual performance plan;
- (3) And, where practicable, use the standards recommended by the Task Force and published by the Office of Personnel Management for purchasing training software and associated services.

As a result of its work over the past year the Federal Training Technology Task Force recommended that the Office of Personnel Management (OPM) establish Individual Learning Accounts (ILAs) for federal employees. ILA programs will put money into individual employee accounts for the employee to use for job-related training and education, as he or she wishes, within the parameters of the program. The Office of Personnel Management (OPM) announced recently that it has established pilot project ILAs for evaluation. [OPM POC: Ms. Judith Lombard at (202) 606-2721 or e-mail at jmlombar@opm.gov]. Additional information is available from OPM's web-site at <http://www.opm.gov/hrd/lead/memofi.htm>.

Within DOT, the Federal Highways Administration (FHWA) is currently engaged in three OPM-organized pilot projects to evaluate the ILA program. **We recommend that the G-WT become familiar with the ILA pilot projects and consider future adoption if/when they prove successful.** Self-directed, just-in-time learning as provided for by Individual Learning Accounts, "supports the concept of life long learning as essential ingredients of organizational success and employee satisfaction, as stated in our Strategic Plan.

Other specific recommendations of the CIVNA Team are to:

- (a) Investigate and promote access to CBT opportunities already available on the web, such as -

- ⇒ DOT's developing **Transportation Virtual University (TVU)** (<http://www.tvu.dot.gov/>) and a list of educational institutions offering on-line and correspondence courses;
 - ⇒ **Federal Learning Exchange** (<http://www.flx.gov/>). FLX is one of four, complimentary, Web-based services offered free to the public by the Dep't of Labor. It is an "electronic marketplace" for classroom courses, distance learning opportunities, web- and computer-based training, educational programs, conference workshops and seminars, and the providers that offer them;
 - ⇒ **America's Learning Exchange** (<http://www.alx.org/>). ALX also is another of the services offered free to the public by the U.S. Department of Labor through America's Career Kit. ALX is supported by many professional training and educational organizations dedicated to providing the knowledge, expertise, and constituent networks to ensure users find the resources they need;
 - ⇒ **McGraw-Hill Lifetime Learning** (<http://www.mhlifetimelearning.com/home.html>);
 - ⇒ **DPEC** (<http://training.websolve.net/>). DPEC provides information systems training with a library of top-quality, ready-to-use (CBT) and self-study products;
 - ⇒ **OPMs Resource Center for Addressing and Resolving Poor Performance** (just-in-time training) (<http://www.opm.gov/perform/poor/index.html-ssi>);
 - ⇒ One DOT Training Page (<http://interweb.dot.gov/training.htm>) which covers on-line course work, and
 - ⇒ Take advantage of existing, Coast Guard-provided on-line training to develop **Work Station III** skills (<http://rtcs10net.rtc.uscg.mil/register/>)
- (b) Share development and use of Computer-Based Training technology with other agencies, particularly DOT, to leverage existing funds. **"Don't reinvent the wheel!"**
 - (c) As directed in **Executive Order 13111** include as part of our annual Coast Guard budget process a set of goals to provide the highest quality and most efficient training opportunities possible to Coast Guard employees. Measure the improvements in quality and availability of training opportunities to Coast Guard employees.
 - (d) Set up FAQ (frequently asked questions) database to help employees identify and "walk through" solutions to common workstation problems.
 - (e) Consider making the Leadership Development Center (LDC) at the Coast Guard Academy in New London a Center of Excellence for high-tech learning opportunities for supervisory, managerial and leadership skills for the entire Coast Guard workforce, including the civilian workforce.
 - (f) Provide Continuing Professional Education (CPE) credits for job-related training, and recognize/reward those who earn them.
 - (g) Teach organizational units how to create an environment for continuous learning and use the principles found in "Getting Results Through Learning" video courses.
 - (h) Issue all training announcements in a variety of media (ALCOASTs, e-mail, web-page, etc.) and indicate civilian availability;
 - (i) Consider flexible work-schedules that allow employees to train during work hours at their workstations or study from home on home workstations.

- (j) Restore Civilian Tuition Assistance Program (CTAP) funding to parity with CG military. Desired end result is full parity with DOD.
- (k) Establish a standard (15%) for employee time to spend in training or developmental activities while at work.

Leadership” Competencies:

(2) **Mentoring.** There is a systematic lack of knowledge about mentoring at all levels in the CG Civilian workforce. The mentoring process initiates a relationship between an experienced person (mentor) with a less experienced person (mentee). The purpose of their relationship is to help facilitate personal and professional growth in a mentee by sharing the knowledge and insights that have been learned through the years. Mentoring is a strategy for comprehensive growth and development.

In the top 10 gaps for all three civilian workforces (core-worker/general, supervisor, and manager) are knowledge of mentoring programs and the skill to acquire a mentor. Supervisors also lacked knowledge of mentoring techniques and the ability to mentor others. Additionally core-workers, supervisors and managers lack knowledge of a key developmental tool, the Individual Development Plan (and procedures) and its applicability to a mentoring relationship.

The lack of knowledge is at least partly a direct result of the limited training opportunities. Fewer than 25 civilian employees each year are able to take advantage of the training billets to attend mentoring training. Without the basic knowledge of mentoring, employees cannot develop the skills, attitudes, and abilities to mentor.

The CIVNA Team recommends that the Coast Guard:

- (a) Ensure that mentoring training is refocused from diversity issue to leadership issue.
- (b) Establish a base-level of funding to provide mentoring training/learning opportunities to 15% of the civilian workforce annually,
- (c) Encourage the practice of mentoring by **adding a mentoring/career development section to performance appraisals**, and require comments discussing supervisors mentoring and development of subordinates,
- (d) **Senior leadership** (Flags and SESs) set example by establishing formal mentoring relationship with mentee (some have done so for years),
- (e) Evaluate marketing of mentoring program – restructure to meet needs of civilian workforce.
- (f) **Create mentoring newsletter** – include mentoring articles in CG Magazine,
- (g) Include mentoring skills in **Leadership and Management School (LAMS)**,
- (h) Encourage **USCG Flag/SES** corps to commit to and publicly emphasize mentoring as a leadership issue.

(3) **Coaching and Conflict Resolution**

Supervisors showed a relative weakness in the knowledge of coaching and conflict resolution. The CIVNA Team recommends that the Coast Guard:

- (a) Require all supervisors of civilians to successfully complete the course, “Civilian Personnel Procedures for Supervisors”. It contains instruction on legal issues such as grievances, disciplining employees, and doing performance evaluations. It also discusses counseling employees and employee development.
- (b) Provide all new supervisors (military and civilian) with a “Supervisors Welcome Aboard” package that includes the following publications:
 - A Supervisors Guide to Career Development and Counseling for Civilian Employees
 - Managing the Civilian Work Force A Guide for the Military Manager
- (c) Strengthen the sections on counseling and development in the “Civilian Personnel Procedures for Supervisors” course to train and encourage a coaching environment.
- (d) Develop the “Civilian Personnel Procedures for Supervisors” course for on-line training applications.
- (e) Advertise and use more widely existing coaching and counseling documents such as “A Supervisor’s Guide to Career Development & Counseling for Civilian Employees.”
- (f) Create a course similar to the Unit Leadership Program (ULP) (<http://www.uscg.mil/hq/g-w/g-wt/g-wtl/unit/index.htm>) to teach conflict resolution techniques or consider using an existing curriculum such as “Increase in Human Effectiveness.”
- (g) **Reprioritize Coast Guard training to recognize critical training and developmental needs** for the civilian workforce. A lack of leadership skills, conflict resolution techniques, or good supervisory practices can “casrep” a command just as effectively, if more insidiously, than a broken generator, a shortage of spare parts, or the lack of necessary operational qualifications for critical personnel.

(4) Performance Management

As the federal government continues down the path of outcome-based performance, managing to achieve outcomes requires that we know how our resources are linked to activities, outputs and outcomes. To manage individual performance and achieve outcomes requires known linkage between individual effort and needed outcomes. It also requires personal interaction and collaboration between supervisors and their direct reports.

The CIVNA Team repeatedly heard about the poor flow of communication and cohesiveness between supervisors and employees due to frequent turnover, especially that of military supervisors. Employees do not feel comfortable enough to approach supervisor to discuss problems with evaluation because feedback is not encouraged. Employees hold very strong feelings about the quality of supervision and the “one-way” nature of communication. There is no alternative system for employee feedback on supervisor performance. It is as important to hold supervisors accountable for discharging their supervisory responsibilities effectively, based upon measurable results, as it is to hold their direct-reports/employees accountable.

The CIVNA Team recommends that the Coast Guard continue to improve the EARS process, measure improvements and amend the process as necessary to ensure that:

- (a) Supervisors **get to know each employee** from “day one.”
- (b) Formal and informal discussion sessions between supervisors and employees begin early and firmly **set expectations** and standards for individual performance.
- (c) Supervisors provide feedback on how well employees are meeting/exceeding standards and offer the opportunity to change unrealistic or problematic standards in both formal, informal, and scheduled interim evaluations.

The CIVNA Team also recommends:

- (d) Establishment of a **reward system**, not linked to performance appraisals, but to successful performance outcomes, whenever they occur.
- (e) **Awards and performance appraisals be linked to established performance milestones** and goal achievement – use them to encourage individual growth, action orientation and acceptance of reasonable risk;
- (f) Performance/developmental needs be identified and made part of developmental/performance plan for next performance period;
- (g) Enterprise-wide development of **position descriptions to reflect necessary competencies** to meet mission/performance requirements. New PDs should be “dynamic” and reflect changing requirements, standards and best practices as work environment changes;
- (h) Provide opportunities for employees to evaluate their supervisor – i.e. 360 degree performance review, or other anonymous means, to provide feedback on supervisory performance that provides management with performance information for rewarding or developing good supervisory skills and behaviors.

Personal Development

(5) Individual Development Plans (IDP)

An IDP is a guide to help individuals reach career goals within the context of organizational objectives. It is a developmental “action” plan to move employees from where they are to where they want to be. It provides the systematic steps to improve weaknesses and build on strengths as individuals improve job performance and pursue career goals. Ideally, an IDP is based upon measured competencies and addresses both short-term, job-related goals and longer-term career objectives. IDPs are often designed for employee and supervisor collaboration, but for longer-term career development the IDP can be an effective tool for a mentoring relationship, whether the mentor is the employees supervisor or a third party.

IDPs are seldom used and often misunderstood. Their infrequent use has often been associated with correcting or managing less productive employees. Consequently, they are commonly seen as punitive. IDPs are not required in the Coast Guard and no one is held accountable for them.

The CIVNA Team recommends that Coast Guard leadership:

- (a) **Direct immediate development of an IDP policy statement.**
- (b) **Create IDP guidance** with clear directions, accountabilities and responsibilities for employees, supervisors, mentors, and career counselors, (refer to National Institute of Health (<http://wflc.od.nih.gov/wflc/careers/idp/goals.html>) and Department of Agriculture (<http://www.usda.gov/ocfo/devpvm/rdcpepdf.pdf>).
- (c) Use Computer Based Training (CBT) to train/explain use of IDPs.
- (d) **Require all employees to receive training** in the effective use of IDPs.
- (e) Use IDPs to plan training and learning opportunities – this will encourage people to seek out training and therefore be more aware of training that is available.
- (f) **Require IDP's as part of every application package** for Coast Guard-sponsored training. (OPM and Department of State already require this to ensure training requests are linked to required skills and developmental needs).
- (g) **“Lead the charge” (G-W)** by (1) sending an ALCOAST explaining the IDP, (2) doing an IDP Flag Voice, and (3) measuring compliance with, and effectiveness of, IDPs.
- (h) Address IDPs in the EARS instruction.
- (i) Present IDPs to every new employee and a sample (with explanation) be included in a unit welcome aboard package.
- (j) Include a segment on IDPs in the Civilian Orientation Course.
- (k) Design a follow-up survey in the Career Enrichment Seminar to determine if employees use the IDP skills they learned in the class.
- (l) Review IDP discussion in the Civilian Personnel Procedures for Supervisors course and emphasize the role of the supervisor.

(6) **Personal and Family Support Programs**

Every Coast Guard employee has unique requirements and capabilities. As our workforce becomes more diverse, Coast Guard personal and family-support programs must address a wider diversity of needs. They must not only be user-friendly but employees must know about them, about their provisions and understand how to use them. Among the top ten gaps for all three workforces (core-worker, supervisor, and manager) is a lack of knowledge of Coast Guard personal and family support programs.

The CIVNA Team recommends that the Coast Guard:

- Ensure that all civilians are aware of existing personal and family support program components and have the knowledge to access them if desired.
- Identify knowledge of existing programs and changing workforce needs with a simple, periodically administered, but cost-effective survey tool.
- Regularly measure the Coast Guards satisfaction of workforce needs.
- Add/delete/amend/promote CG-provided services to meet identified/changing needs.

(7) **Career Management**

Core-workers indicated a lack of knowledge of career path opportunities and managers indicated that they had no ability to plan a career.

The CIVNA Team recommends that the Coast Guard take the following actions:

- (a) Provide on-demand access to existing professional development resources available to the civilian workforce. Examples include:
 - DOT - TASC Career Development and Career Transition Services (http://www.tasc.dot.gov/Connection_docs/c0.html),
 - Department of Interiors Career Manager (<http://www.doi.gov/octc/>) – an excellent guide that includes self-assessment tools, lists of jobs/opportunities, career strategy development models, and basic, on-line training to use them all,
 - The National Institute of Health Work and Family Life Center web page on Career Counseling and Development (<http://nccam.nih.gov/wflc/careers/>),
- (b) Describe and publish career development strategies for all civilian personnel, broken down to the series level.
- (c) Identify and publicize, in multiple formats (ALCGCIV, Web, & e-mail subscriptions) known career path opportunities.
- (d) Use “push” technology, in which notices of new information are automatically forwarded to pre-designated/pre-selected interested parties via e-mail, when jobs or career opportunities become available.
- (e) Add professional/career development competencies to the evaluation system.
- (f) Widely publish professional development opportunities in various media.
- (g) Publish professional development goals in performance appraisals and require comments in those sections.
- (h) Encourage/require career ladder positions be filled at lowest level, providing opportunities for development within position.
- (i) Provide incentive for supervisors to hire employees into developmental/career ladder positions by making new policy to **charge pay account for career ladder employees actual salary, rather than full cost of highest grade within position.**
- (j) Monitor DODs “broad-banding” demonstration project for civilian personnel management. Broad-banding is intended to link pay to mission contribution/performance outcome and consolidates several pay grades into a broad band to:
 - Reduce the number of distinctions between levels of work at different grade levels;
 - Allow for more competitive recruitment of quality candidates at differing rates within the appropriate “broad-band” levels;
 - Allow employees to move within the band to higher levels of pay, based upon performance, without going through a competitive promotion process.

(8) **Organizational Knowledge**

Approximately 62% of our workforce, mostly from the core worker group, reported in focus group sessions that they were not fully knowledgeable of the Coast Guard history or DOT mission. When asked why, most reported that they did not receive good orientation when they joined the Coast Guard workforce. A review of the orientation curriculum indicates a lack of attention to Coast Guard or DOT missions, organizational structure and chain of command, civilian and military personnel management systems, job requirements, process improvement principles and budget processes. Current

policies, though available electronically, are not easily located. Civilian employees often do not know how to stay current with current policies and procedures – changes in policy and procedures are often not brought to the attention of the employee, or made available to him/her, in time to appropriately influence actions.

The Coast Guard strategic plan calls for an agile, educated, creative, and innovative workforce with the knowledge and analytical skills to manage information and knowledge, design effective business planning and decision-making processes, optimize resources and manage risks. Those are complex abilities that may not be performed well by a workforce that doesn't fully understand its history, its relationship to the Department of Transportation, the budgeting process, or how 83% of the CG workforce (military personnel) is managed.

The CIVNA survey also found that some supervisors and managers lacked knowledge of local labor union issues and local union contracts. Some managers lacked knowledge of fair and unfair labor practices. Managers indicated that they did not need to stay current on union issues if they did not have a local union contract. Managers were comfortable with what they knew, since at some point during their career it may have been covered in previous supervisor training. This is an interim finding in light of the fact that 42 different bargaining units represent 48% of civilian employees.

Managers also indicated that they didn't need to know much about legislative proposals in their job and felt that that was primarily the job of the resource staffs. The legislative proposal process is the formal means whereby program managers initiate statutory changes to enable more cost-effective program management and the accomplishment of program outcomes.

The CIVNA Team recommends that the Coast Guard:

- (a) Present basic organizational information to each new Coast Guard employee as part of the **civilian orientation** process, including:
 - an **equivalency table** for military/civilian rank comparison,
 - Coast Guard strategic plan and current-year goals and business plan,
 - Coast Guard organizational structure and relationship to ONE DOT,
- (b) Develop one Coast Guard-wide video summarizing CG history to be shown at all civilian orientations and all military indoctrination.
- (c) **Develop a year-long, self-directed, orientation program** using CBT technologies, video, and interactive experience for each new civilian to complete successfully during his/her “probationary” first year. Let this replace the current, week-long, non-resident training class currently available to a small percentage of GS-9s and above.
- (d) Make basic orientation information available on demand to reinforce employee’s initial learning.
- (e) Develop **on-line learning** opportunities for supervisors and managers that include **union representation, fair and unfair labor practices, the legislative and budget processes**, etc..

- (f) Provide training/learning for all civilians (and military) that includes each **individuals relationship to the organization, its strategic goals, and each individuals contribution** to those goals;
- (g) Develop computer-based model or a reference handbook with information on Coast Guard and DOT organization **that links individual jobs with the organization and strategic goals**;
- (h) Assign civilian employees to mentor/educate new employees on effective use of the intranet to locate current policies and procedures and familiarize them with current manuals and publications.
- (i) Develop plain language (8th grade level) **Employee Desk Reference Guide web site** with an index to for easy location of up-to-date policies and procedures.
- (j) Establish policy to facilitate rotational assignments for employees within and between Coast Guard units and organizations, and between Coast Guard and external organizations (i.e. between suppliers, customers and stakeholders). This will not only improve Coast Guard organizational knowledge but will facilitate communication, trust, and the understanding and development of good customer service habits among and between people of interdependent organizations.

Other Conclusions and Recommendations

Many recommendations, however, are also directed at Coast Guard organizational or cultural issues that persistently arose when probing the focus groups for the root causes of developmental gaps.

(9) Program and Project Management

As a result of the preliminary survey that was used to test the survey questions and develop focus group questions (to determine “root cause,” it appeared that there was a gap between actual and optimal knowledge of program and project management. Although this same gap did not appear in the general survey as a “top ten” issue, the CIVNA Team noted across-the-board dissatisfaction with the risk-averse nature of our organizational decision-making processes in focus group sessions. Specifically noted were the following:

- “extreme” downside repercussions and near absence of upside benefits to taking risks, even reasonable risks;
- Managers **fear impact of failure** on their evaluation (particularly military re: OER”up or out consequences”). This fear **results in failure** to take risks;
- Fear of change and of the unknown results in proposals not being acted upon, discouraging present and future innovation;
- No CG guidance on using the principles of risk-based decision making to manage CG programs, or rewarding managers for taking risks;
- Training on risk assessment, communication, management is not encouraged or promoted, particularly among the civilian communities;

The CIVNA Team recommends that the Coast Guard:

- (a) Develop policy on using risk-based decision-making to manage programs and projects;
- (b) Include provision for rewarding and recognizing innovation, including calculated risks that resulted in failure;
- (c) **Empower employees and tolerate mistakes!!** Teach and encourage empowerment – “empowerment” has become a cliché - people don’t believe it and are tired of hearing it. An organization cannot be risk-averse and empower others to make decisions without micro-managing and discouraging innovation.

(10) **“Shelfware”**

From the first CIVNA Team meeting to the last, and in most of the focus groups, Team members and Coast Guard employees have expressed a reasonable, healthy skepticism that the Civilian Needs Assessment report will become **just another addition to a long shelf in the library of indecision**. The CIVNA Team recommends that:

- (a) **The result of this and other assessments be posted on the web for all to read;**
- (b) The Coast Guard act on the results of all of the needs assessments as quickly as possible. As requested by RADM Barrett, we have included a list of “stroke of the pen” recommendations that can be enacted without great delay;
- (c) All of the recommendations from this and the other completed needs assessments should be considered, together, in total;
- (d) an implementation plan be developed for Coast Guard-wide distribution and tracking on the web, so the cynics, realists, and optimists can all measure progress together.
- (e) Leadership communicate proactively and frequently on this and other surveys – the workforce is becoming weary of surveys and studies that repeat themselves, take productive time, delay change, and make more cynics.
- (f) **This needs a real push from the top!!!** During the CIVNA Guidance Team final brief the SES members of the Guidance Team suggested that the Coast Guard SES community lead implementation of these recommendations. The CIVNA Team recommends that a formal implementation team be established by G-WT, lead by the nine SES Corps members, to implement these recommendations.

(11) **Military/Civilian cultural interface**

As a final, open-ended question to wrap up the focus group sessions, the CIVNA Team asked for any further thoughts or areas of concern not addressed elsewhere in the session. A recurring theme presented itself in virtually all of the focus group sessions – the cultural tension between military and civilian workforces and personnel management systems.

Also found in the Workforce Cultural Audit, many civilians reported feeling they’re not treated equally with the military, that they’re not respected by the military, and that their contributions to the organization are not valued. Many expressed frustration at being “excluded” and believe there is small investment in them and little acknowledgement of their contributions.

The Coast Guard must maintain “cutting edge” abilities in our entire workforce if we are to live up to our motto “Semper Paratus.” Lesson #3 from the Commandants 1999 State of the Coast Guard address (<http://www.uscg.mil/Commandant/Speeches/SOCG.html>) applies - “A dull knife is a dangerous tool—dangerous both to Coast Guard people and to the American people that depend on us.” To diminish the divisive effect of cultural issues, continuously improve the overall performance of the entire workforce, become the “employer of choice,” and provide the best possible public service, the CIVNA Team recommends:

- (a) Fill all civilian billets quickly. Every Coast Guard member shares in the total workload – so long as any billet is vacant others must pick up the slack. A vacant civilian billet means that all others, both military and civilians, must work a little harder just to meet organizational goals. Every vacant billet taxes every filled billet.
- (b) Ensure parity between civilian and military workforces for training, professional development, and leadership and supervisory opportunities.
- (c) Develop web page for military/civilian crossover issues (frequently asked questions);
- (d) Match military and civilians together into mentoring programs so each can learn the other's structure, values, and perspectives;
- (e) Introduce civilian workforce awareness (value, policy, differences) earlier in military career (i.e. USCG Academy, OCS). Add a segment to curriculum of all indoctrination classes and orientation.
- (f) Include civilians on military promotion boards, particularly SESs on flag selection boards.

(12) **Attrition and Workforce Management**

To keep our existing workforce and maintain and develop our organizational and professional capabilities we must have a strong workforce. We cannot afford to train and develop qualified people, military or civilian, only to see them leave unexpectedly. To learn why people leave our organization we must ask them. If people leave the Coast Guard for preventable reasons, we should fix the problems. If we don't know what they are, we're helpless to do much about them.

The CIVNA Team recommends:

- (a) Make exit interviews a mandatory piece of the checkout/discharge process!
- (b) Create developmental positions for interns, new hires – akin to developing a USCG “farm club” for accession to the “major leagues” thereby replenishing the ranks of retiring workers.
- (c) Routinely measure performance of civilian personnel management system.
- (d) Engage users in fixing systemic problems.

Literature Cited

The Pocket Guide to the Baldrige Award Criteria. Mark Graham Brown. March 1998.

Intellectual Capital Development. Coast Guard Strategic Plan. U.S. Coast Guard, Washington, D.C. 1999.

Learning a Living: A Blueprint for High Performance. A SCANS Report for America 2000. The Secretary's Commission on Achieving Necessary Skills. U.S. Department of Labor. Washington, D.C. April 1992. (<http://www.ttrc.doleta.gov/scans/lal/lal.pdf>)

President's Quality Award Program Criteria. U.S. Office of Personnel Management, Washington, D.C. 1998.

The Kiplinger Letter: Forecasts for Management Decisionmaking. Kiplinger Washington Letters, Inc. Washington, D.C. December 10, 1999.

Workforce Assessment Project (WAP). U.S. Environmental Protection Agency, Office of Administration and Resource Management. Washington, D.C. May 1999.

Workforce Cultural Audit (WCA). Office of Leadership and Diversity, United States Coast Guard, Washington, D.C. 1995.

Workforce Planning Guide (WPG). Department of Transportation, Washington, D.C. April 1999.

Appendix 1

Civilian Needs Assessment Charter

Appendix 1: Civilian Needs Assessment (General Schedule) Charter.

Purpose

This charter provides a plan of action for the Civilian Needs Assessment (CIV NA). The CIV NA will provide an analysis of General Schedule (GS) employees with a focus on the knowledge, skills, attitudes and abilities (KSAs) needed for optimal performance at each of three key transition points. The end result of this assessment will be interventions that close gaps between KSAs that the organization desires (Optimals) and the current KSAs (Actuals). The assessment will provide data regarding GS employee's professional development, leadership, and training.

Background

In November 1996, the Office of Leadership and Career Development (G-WTL) and the Leadership Development Center (LDC) presented the Commandant and Chief of Staff with a servicewide Leadership Development Program. This program focuses on a continuum of leadership development throughout one's career. The intent of the Leadership Development Program is to close the gaps in expectations of performance with appropriate interventions from the organization, the unit, and the individual. Leadership Workgroup I identified critical transitions for civilian workers. The Civilian Needs Assessment will look at three of these transitions. The first transition is when a civilian employee first begins working for the Coast Guard. This can occur at any grade level. The second transition that the Team will look at is the transition to a supervisor position. The final transition is the move to manager, which is when a civilian employee begins to supervise other supervisors. Although Non-appropriated fund (NAF) and Wage Grade employees needs will not be specifically addressed in this study, findings from this assessment may be applicable to their key transition points. This may be an impetus for further study.

Assumption

This Team will not try to identify the technical needs of each specialty or series but rather focus on the professional development and leadership competencies necessary for successful transitions in a civilian career.

Chartered by:

G-WT

Guidance Team Representation:

G-WTL (Guidance Team Leader), G-O, G-M, G-S, G-CI, G-WPC, G-CFP, and, G-A.

Team Leader:

Mr. Frank Wood (G-MRP)

Ad Hoc Team Members:

Two performance consultants (Mr. Paul Robbins and LT Cathy Tobias), facilitator (Mr. Brian Jones), and administrative support. In addition, G-WPC will provide expertise in current civilian programs.

Team Member Selection Process

G-WTL to coordinate with Guidance Team members.

1. *Timeline:* CIV NA Team members to be identified by August 1998. First CIV NA Team meeting September 1998.

2. *Membership:* One GS-14 to 15 team leader; two GS-13 to GS-14 members; four GS-9 to GS-12 members; two GS-1 to GS-7 members, and two military members.

Team Member Selection Criteria

1. Diversity of programs
2. Diversity of specialties
3. Diversity of gender and ethnicity
4. Diversity of ranks
5. Members should have a proven performance record with excellent team skills

Tasks

1. Conduct a thorough examination of the knowledge, skills, attitudes, and abilities expected of civilians at each transition point.
2. Conduct research of other organizations as benchmarks.
3. Determine the gaps that exist between the "optimal" civilian profile (KSAs) and actual performance of Coast Guard civilian employees.
4. Make recommendations for interventions to close the identified gaps.

General Procedures

1. The CIV NA Team shall meet as scheduled in the Plan of Action below to accomplish the assigned tasks. All travel and meeting costs associated with this study will be funded by G-WTL.
2. Meetings will be chaired by the team leader and facilitated by the designated facilitator. Performance consultants will assist the team leader as process guides. Team members may be selected to serve other roles as appropriate;
3. Team members may be replaced or relieved or resign with the approval of the Team Leader.
4. The team leader shall serve as the Team's representative and voice to the guidance team and shall act as liaison for members, as needed, with parent commands.
5. The facilitator or performance consultants shall conduct training, as appropriate, to enable the Team to fulfill its assigned duties.
6. The guidance team leader will ensure the team leader has the resources to accomplish the purpose of this charter.
7. The team leader will be responsible for maintaining appropriate documentation of the team's activities.
8. The team leader will request ad hoc members' assistance and/or attendance as needed.

Deliverables

1. Meeting minutes will be provided to the guidance team within one week of completion of each meeting.
2. A final report of recommendations will be provided to the guidance team.

Plan of Action

1. Charter signed and funded: July 1998

2. Meeting One: September 1998

Purpose: Create the data collection plan for extant data and learn about the study and processes to be used.

3. Members collect extant data (in between meetings one and two).

4. Meeting Two: November 1998

Purposes:

Extant data analysis

Craft questionnaire on the optimal civilian for unit level interviews

Develop data collection plan

5. Members collect data from units (in between meetings two and three).

6. Meeting Three: January 1999

Purposes:

Analyze interview data

Create profile of optimal KSAAs

7. Submit profile of optimal KSAAs for G-WT approval.

8. Meeting Four: February 1999

Purposes:

Develop survey

Pilot-test survey

Revise survey

9. Perform survey, collect and report data (USCG Institute).

10. Meeting Five: March 1999

Purpose: Root cause analysis

11. Develop *instructional* intervention solution set: March 1999.

12. Develop *non-instructional* intervention solution sets: April 1999.

13. Report out to Guidance Team: April 1999.

Funding

Based on historical data, approximately \$80K will be required to conduct the assessment.

Authority to Act

This team is hereby authorized to gather all necessary data from all available sources regarding its assigned project including, but not limited to, conducting interviews and surveys.

Submitted: B. ABILES, CAPT, USCG

COMDT (G-WTL)

Approved: T. J. BARRETT, RADM, USCG

COMDT (G-WT)

Appendix 2

CIVNA-Derived Optimal Competencies

Appendix 2: List of optimal traits to be held by a Coast Guard civilian employee.

GENERAL COMPETENCIES

ABILITY TO ---

MISSION ACCOMPLISHMENT

- 1 Meet job expectations
- 2 Balance work and life

LEADERSHIP

- 3 Demonstrate followership
- 4 Act as a team player

PROFESSIONAL DEVELOPMENT

- 5 Progress towards potential
-

CHOOSES TO ---

PROFESSIONAL

- 6 Act honestly and ethically
- 7 Act responsibly
- 8 Follow rules and regulations
- 9 Demonstrate respect for all others
- 10 Demonstrate loyalty to the Coast Guard and command
- 11 Value the customer
- 12 Communicate effectively (oral and writing)
- 13 Establish professional development goals
- 14 Develop job-required knowledge and skills
- 15 Seek and accept feedback from others
- 16 Seek and accept challenging tasks
- 17 Develop networks
- 18 Suggest improvements to work processes

PERSONAL QUALITIES

- 19 Act in goal and results-oriented ways
- 20 Act responsively
- 21 Persevere in challenging situations
- 22 Demonstrate adaptability
- 23 Demonstrate initiative
- 24 Pursue lifelong learning
- 25 Maintain a healthy lifestyle
- 26 Look out for others' welfare

SKILL TO ---

COMMUNICATIONS

- 27 Speak effectively
- 28 Listen actively
- 29 Demonstrate effective interpersonal techniques
- 30 Write effectively
- 31 Use computer applications

WORK ACCOMPLISHMENT

- 32 Organize work environment
- 33 Prioritize tasks
- 34 Perform administrative duties
- 35 Manage time effectively
- 36 Weigh risk appropriately
- 37 Think innovatively
- 38 Make sound decisions
- 39 Solve problems effectively
- LEADERSHIP
- 40 Practice followership
- 41 Practice teambuilding techniques
- PROFESSIONAL DEVELOPMENT
- 42 Set goals
- 43 Plan career
- 44 Document own performance
- 45 Self-assess
- 46 Acquire a mentor
- 47 Process feedback
- WELLNESS
- 48 Manage stress

KNOWLEDGE OF ---

- Coast Guard -SPECIFIC
- 49 Coast Guard core values
- 50 Coast Guard missions and DOT missions
- 51 Coast Guard organizational structure and chain of command and DOT structure
- 52 Coast Guard civilian and military personnel management system
- 53 Coast Guard ethical standards of conduct
- 54 Coast Guard human relations policies and programs (e.g., diversity, sexual harassment...)
- GENERAL FEDERAL
- 55 Federal civilian personnel management system and military system
- 56 Coast Guard history
- 57 Coast Guard budget process
- 58 Federal ethics policies
- COMMUNICATIONS
- 59 Relationship and rights with labor union
- 60 Coast Guard basic procurement processes and procedures
- 61 Speaking techniques
- 62 Active listening techniques
- 63 Interpersonal techniques (example: Myers-Briggs)
- 64 Writing techniques
- 65 Presentation techniques
- 66 Computer applications
- WORK ACCOMPLISHMENT
- 67 Job requirements
- 68 Customer needs
- 69 Time management techniques
- 70 Risk management techniques

- 71 Innovation principles
- 72 Process improvement principles
- LEADERSHIP
- 73 Followership principles
- 74 Teambuilding techniques
- 75 Leadership theories and principles
- PROFESSIONAL DEVELOPMENT
- 76 How personal values relate to Coast Guard values
- 77 Career path opportunities
- 78 Individual Development Plan procedures
- 79 Mentoring programs (formal & informal)
- 80 Professional development resources
- WELLNESS
- 81 Elements of a healthy lifestyle
- 82 How to cope with stress
- 83 Coast Guard personal & family-support programs available to civilian personnel

SUPERVISOR COMPETENCIES

ABILITY TO ---

MISSION ACCOMPLISHMENT

- 1 Evaluate and measure projects results

RESOURCE MANAGEMENT

- 2 Manage multiple projects in varying situations
- 3 Manage employee performance

LEADERSHIP

- 4 Adapt leadership approaches in varying situations
 - 5 Develop subordinates
-

CHOOSES TO ---

LEADERSHIP

- 6 Support organizational change
 - 7 Mentor others
 - 8 Empower others
 - 9 Manage subordinates' performance
 - 10 Provide recognition and rewards
 - 11 Enforce rules and regulations
 - 12 Ensure a safe working environment
 - 13 Promote work-life balance
 - 14 Be proactive in hiring process
-

SKILL TO ---

RESOURCE MANAGEMENT

- 15 Manage projects and resources (funds, equipment, personnel, etc.) effectively
- 16 Identify and meet resource requirements
- 17 Use technology, especially information technology, capabilities effectively
- 18 Give effective presentations

- 19 Interview candidates for hire
- LEADERSHIP
- 20 Define expectations for subordinates
- 21 Develop business strategy for area of responsibility and align with Coast Guard strategy
- 22 Promote teamwork
- 23 Coach subordinates
- 24 Analyze and correct performance problems
- 25 Maximize subordinates' diverse strengths and overcome their weaknesses
- 26 Resolve conflict
- 27 Remain impartial/objective during conflict

KNOWLEDGE OF ---

COAST GUARD-SPECIFIC

- 28 Employee health and safety
- 29 Incentives and awards system (civilian and military)
- 30 Coast Guard specific military evaluation systems
- 31 Local union contract

RESOURCE MANAGEMENT

- 32 Project management techniques
- 33 Technological capabilities, especially information technology
- 34 Performance management techniques
- 35 Coast Guard performance plan requirements
- 36 TQM practices

LEADERSHIP

- 37 Technical, political, and socioeconomic trends likely to affect the workplace
- 38 Financial management and budget process
- 39 Importance of articulating organizational vision
- 40 Importance of strategy
- 41 Importance of evaluation and feedback to subordinates
- 42 Importance of defining expectations
- 43 Mentoring techniques
- 44 Coaching techniques
- 45 Negotiating techniques
- 46 Conflict resolution techniques
- 47 Empowerment concepts
- 48 Interview candidates for hire
- 49 Fair and unfair labor practices

MANAGER COMPETENCIES

ABILITY TO ---

MISSION ACCOMPLISHMENT

- 1 Manage programs effectively (including use of management information and decision support systems)
- 2 Market a program and communicate requirements
- 3 Develop policies and procedures
- 4 Implement policy/legislative change
- 5 Evaluate policy/legislative change

CHOOSES TO ---

- 6 Demonstrate visionary initiative
- 7 Think strategically
- 8 Conduct program reviews
- 9 Identify and apply appropriate trends to Coast Guard
- 10 Assess, define and communicate risks within own area of responsibility
- 11 Develop and/or participate in professional and community organizations
- 12 Tolerate ambiguity

SKILL TO ---

ORGANIZATIONAL DEVELOPMENT

- 13 Set a vision for program
 - 14 Develop strategy
 - 15 Develop a legislative proposal
- PROBLEM-SOLVING
- 16 Systematically approach problems and opportunities
 - 17 Employ systems thinking tools and techniques
 - 18 Develop and implement workable solutions

RESOURCE MANAGEMENT

- 19 Manage program finances
- 20 Apply statistical analysis

LEADERSHIP

- 21 Manage group dynamics
- 22 Manage organizational change

KNOWLEDGE OF ---

ORGANIZATIONAL DEVELOPMENT

- 23 Global trends
- 24 Workforce trends
- 25 Agency/national policy
- 26 Fiscal and political reality
- 27 Legislative proposal process
- 28 Regulatory process
- 29 Work processes and systems thinking
- 30 Process improvement
- 31 Measurement criteria
- 32 Cost/benefit analysis techniques

LEADERSHIP

- 33 Various team structures
- 34 Group dynamics

Appendix 3

Survey Results

Appendix 3: SPSS results of large-scale survey of Coast Guard civilian population (analyzed by the Performance Technology Center).

Civilian Needs Assessment Survey Analysis Summary of Findings

One facet of the Civilian Needs Assessment was the use of surveys to accumulate data on areas related to attitude, ability, knowledge, and skill. Three separate surveys were created. Each survey targeted a different audience. The three surveys consisted of a core worker survey, supervisor survey, and a manager survey. Supervisors were identified as individuals who actually supervise other workers. 5000 surveys total were mailed to civilian and military individuals employed by the Coast Guard. Below is a summary of the response rate.

Survey Response Rate Chart

Survey Type	Number of Surveys Sent	Number of Surveys Received	Response Rate
Core Worker	2385	446	18.7%
Supervisor	2520	690	27.4%
Manager	95	39	41.0%
Overall	5000	1175	23.5%

There are some potential reasons to explain the low overall response rate of 23.5%. The potential reasons include mailing and distribution inaccuracies and the short time span, 7 days, allotted for survey completion. Some individuals received the wrong survey and failed to request the correct survey. Some individuals did not receive a survey at all.

The beginning of each of the three surveys included a demographic section that was used to capture background information related to survey participants. Questions were asked related to gender, age, number of years as Coast Guard employee, pay grade etc. The data from the survey was analyzed using a statistical package known as SPSS. For each question, the following statistics were performed: mean, mode, standard deviation and frequency. Significant findings from the demographic analysis for all three groups included the finding that the vast majority of respondents were White males. In all three groups, respondents had worked for the Coast Guard for a period of time longer than 10 years. Other significant findings from the demographic portion were elicited from each survey type. In the supervisor surveys, 14.1% indicated that they supervised no civilian employees. In the core worker surveys, 27.4% were a supervisor filling out a survey on a core worker. In the manager surveys, 82.1% respondents were male compared to 17.9% female. Also, in the manager surveys, 94.4% respondents were White compared to 5.6% African American.

A 5-point Likert scale was used to rank statements related to the areas studied by the Civilian Needs Assessment Committee. On this 5-point Likert scale, responses receiving a 1 were low/very poor and responses receiving a 5 were high/very good. Overall, among the three survey groups, the responses related to the areas of attitude, ability, knowledge, and skill, were consistently very high. Generally, the lowest mean score was

in the 3 – 4 range, which is neutral/satisfactory. Therefore, when perusing the output from the survey analysis, a low score for a particular statement was interpreted as low compared to the very high scores given to other statements.

Initially, the three groups were analyzed separately to isolate trends within each group. The next portion of this report contains a narrative summary of the findings for each group. There is also a list of the top ten items receiving the lowest/poorest score for each group and the mean score for that item. Mean is a numeric average of all scores for a particular item.

Core workers comprise the largest group of personnel among the three categories; however, the lowest response rate came from the core worker group. The core worker analysis showed that 23.0% never or rarely demonstrate knowledge of the military personnel management system. 24.1% never or rarely demonstrate knowledge of Coast Guard personal and family-support programs available to civilian personnel.

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Mentoring programs (formal and informal)	2.96
2. Acquire a mentor	3.11
3. Individual Development Plan procedures	3.11
4. Military personnel management system	3.11
5. Coast Guard history	3.22
6. Coast Guard personal and family-support programs available to civilian personnel	3.23
7. Coast Guard budget process	3.28
8. Professional development resources	3.28
9. DOT structure	3.31
10. Career path opportunities	3.35

Nine out of ten of the top ten items of concern for core workers were knowledge related issues. The only skill listed was acquisition of a mentor.

The analysis of the supervisor surveys found that questions on skills related to interpersonal skills, including speaking and listening, were consistently rated slightly lower than other skills, such as writing. The data showed a deficit in knowledge of Coast Guard history compared to knowledge of other areas. 47.6% never, rarely, or sometimes demonstrate knowledge of Coast Guard history. Knowledge of local union contract produced low scores among respondents. 19.5% never demonstrate knowledge of local union contract. 14.2% rarely demonstrate knowledge of local union contract. Knowledge of conflict resolution techniques, also known as ADR (Alternate Dispute Resolution) was also low. 178 out of 690 respondents replied “not applicable” to them. It was never or rarely demonstrated for 23% of respondents. The narrative portion of the survey provided some insight into the low score related to conflict resolution. The comments generated included a lack of comprehension of the terms used, such as conflict resolution, mentoring, and followership. This indicates a lack of awareness of terms that should be part of the supervisor vocabulary.

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Local union contract	3.05
2. Mentoring programs (formal and informal)	3.09
3. Acquire a mentor	3.13
4. Mentoring techniques	3.22
5. Individual Development Plan procedures	3.35
6. Coaching techniques	3.35
7. Conflict resolution techniques	3.43
8. Coast Guard personal and family-support programs available to civilian personnel	3.43
9. Professional development resources	3.44
10. Mentor others	3.46

Similar to the core workers, nine out of ten of the major concerns related to deficiencies of knowledge. Once again, acquisition of a mentor was the only skill area making the list.

The analysis of the manager surveys showed that technology and computers were an area of deficit of knowledge and skills. 21.1% had only satisfactory skill to use technology, especially information technology, capabilities effectively. 33.3% had only satisfactory skill to utilize computer applications. With regards to the demographic analysis, 51.3% of the managers fell into the 51-60 year old age range. These older managers frequently did not have computers and software applications built into their education as young adults. This may be one reason to explain this gap in knowledge and skills. Personal issues also appeared to be a concern among managers. 46.2% rarely or sometimes choose to maintain a healthy lifestyle. Concomitantly, 41.0% rarely or sometimes demonstrate knowledge of elements of a healthy lifestyle. 44.7% rarely or sometimes demonstrate knowledge of how to cope with stress.

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Local union contract	2.04
2. Acquire a mentor	3.03
3. Fair and unfair labor practices	3.12
4. Coast Guard personal and family-support available to civilian personnel	3.21
5. Individual Development Plan procedures	3.29
6. Coast Guard history	3.31
7. Legislative proposal process	3.39
8. Mentoring programs (formal and informal)	3.39
9. Plan career	3.41
10. Professional development resources	3.49

The analysis of the manager data showed the same trends as the other two areas. With the exception of skill to acquire a mentor, all other statements were skills-related.

In light of the confusion of mailing and distribution inaccuracies, an analysis of different combined groups was performed. Below are the findings from the three data sets that were analyzed.

When supervisors and core workers were analyzed together, the following emerged:

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Elements of a healthy lifestyle	3.02
2. Mentoring programs (formal and informal)	3.04
3. Acquire a mentor	3.12
4. Individual Development Plan procedures	3.25
5. Coast Guard personal and family-support programs available to civilian personnel	3.35
6. Professional development resources	3.38
7. Military personnel management system	3.39
8. Career path opportunities	3.44
9. Coast Guard history	3.45
10. Coast Guard budget process	3.55

When supervisors and managers were collectively analyzed, the following list of scores was generated:

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Local union contract	2.96
2. Mentoring programs (formal and informal)	3.11
3. Acquire a mentor	3.12
4. Mentoring techniques	3.26
5. Individual Development Plan procedures	3.34
6. Coaching techniques	3.38
7. Coast Guard personal and family-support programs available to civilian personnel	3.42
8. Professional development resources	3.44
9. Conflict resolution techniques	3.44
10. Fair and unfair labor practices	3.46

There were several overall observations for the three groups studied collectively. As a whole, knowledge and skills related to mentoring was lacking. Skill to acquire a mentor was very poor or poor for 34.3% managers, 29.4% supervisors, and 29.0% core workers. Respondents indicated never, rarely, or sometimes for demonstration of knowledge of mentoring programs for 63.9% managers, 60.9% supervisors, and 69.7% core workers. These findings are relevant to the background information of the Coast Guard Mentor Program that was created in conjunction with the Department of Transportation (DOT). The Coast Guard Mentor Program was started in 1991 as one way to address the diversity issue. In the beginning of the program, minority individuals were preferentially selected to attend the one-week mentor course. Currently, there is a two-year waiting list to take the mentoring course. The analysis of the demographic portion of the surveys showed

that the majority of respondents were White males. These individuals, most likely, have not been selected or had the opportunity to participate in the mentor program. This could explain the low scores for items related to mentoring. These individuals could benefit from the mentor training so that they will possess the knowledge and skills to become a successful mentor.

The primary emphasis of the mentor program is to enhance career planning and development. Questions related to career enhancement were low. Respondents indicated never or rarely demonstrated knowledge of career path opportunities for 7.9% managers, 18.4% supervisors, and 22% core workers. All three groups collectively gave low/poor scores on skills related to planning career path and demonstration of knowledge of individual development plan procedures. Knowledge and skills in the area of career development could be enhanced through working with a mentor in a structured program that emphasizes career planning.

Finally, when all three groups were analyzed together, the compiled list mirrored the separate lists generated for each group.

<u>Top ten items of concern</u>	<u>Mean score</u>
1. Mentoring programs (formal and informal)	3.05
2. Acquire a mentor	3.12
3. Individual Development Plan procedures	3.25
4. Coast Guard personal and family-support available to civilian personnel	3.34
5. Professional development resources	3.38
6. Military personnel management system	3.40
7. Coast Guard history	3.44
8. Career path opportunities	3.45
9. Coast Guard budget process	3.57
10. DOT structure	3.57

The combined list of all three groups showed that knowledge areas were the ones with the lowest scores.

The narrative portion of the survey simply asked for additional comments. This was done purposefully by the survey writers because they did not want to stifle comments on any issues that were of concern to civilian personnel. The one drawback is that this type of broad survey question opens the door to a variety of comments that are not entirely relevant to the immediate goals of the study. The narrative section, in this study, essentially became a means for civilians to ‘air ‘ all of their problems in a confidential fashion. The majority of the qualitative narrative comments reflected the quantitative data collected from the surveys.

An analysis of variance (one-way ANOVA) comparing the civilian and military participants for each of the groups of core worker, supervisor, and manager was performed to look for significant differences between the groups. The major finding was

that scores for military participants tended to be slightly higher compared to civilian participants for the survey questions.

Recommendations include performing a subsequent qualitative analysis of the data collected from the narrative portion of the surveys. Using qualitative analysis techniques would be useful in coding for emergent themes within the transcribed narrative responses.

Concurrently, a Human Needs Assessment study is being conducted. Another recommendation is to work with this study group to address issues that have been identified as important to civilian personnel in the Coast Guard. The Human Needs Assessment Committee is examining concerns among both civilian and military personnel. This committee has identified significant gaps between optimal and actuals in a draft. The committee has used Allison Rossett's outline as a rubric for study completion. The committee has suggested several interventions to close the gaps that are pertinent to the Civilian Needs Assessment study.

The Human Needs Assessment Committee findings related to the CIVNA survey findings were that training for anyone supervising civilians is only one week long. It is basically an "awareness" course. The course is not offered on a regular basis. Coast Guard members are not aware of the power of Alternate Dispute Resolution for resolving problems. Supervisors do not have knowledge of ADR skills. These skills are not part of leadership training courses. New technologies (CBT, EPSS, Internet, Web page) and equipment are creating need for workforce to learn new skills and knowledge. No career ladders are established for various civilian specialties. Interventions recommended by the Human Needs Assessment Committee could be considered when solutions are offered for the Civilian Needs Assessment Committee.

Appendix 4

Definition of Secretary's Commission on Achieving Necessary Skills (SCANS) Competencies and Foundation Skills

Appendix 4: Definitions of SCANS Competencies and Foundation Skills.
(<http://www.ttrc.doleta.gov/scans/lal/lal.pdf>)

Competencies

- Resources
- Information
- Interpersonal
- Systems
- Technology

Foundation Skills

- Basic Skills
- Thinking Skills
- Personal Qualities

Competencies

RESOURCES

C1 Allocates Time

Selects relevant, goal-related activities, ranks them in order of importance, allocates time to activities, and understands, prepares, and follows schedules. Competent performance in managing time includes properly identifying tasks to be completed; ranking tasks in order of importance; developing and following an effective, workable schedule based on accurate estimates of such things as importance of tasks, time to complete tasks, time available for completion, and tasks deadlines; avoiding wasting time; and accurately evaluating and adjusting a schedule.

C2 Allocates Money

Uses or prepares budgets, including making cost and revenue forecasts, keeps detailed records to track budget performance, and makes appropriate adjustments. Competent performance in managing money includes accurately preparing and using a budget according to a consistent and orderly accounting method; accurately calculating future budgetary needs based on projected costs and revenues; accurately tracking the extent to which actual costs and revenues differ from the estimated budget, and taking appropriate and effective actions.

C3 Allocates Material and Facility Resources

Acquires, stores, and distributes materials, supplies, parts, equipment, space, or final products in order to make the best use of them. Competent performance in managing material and facility resources includes carefully planning the steps involved in the acquisition, storage, and distribution of resources; safely and efficiently acquiring, transporting or storing them; maintaining them in good condition; and distributing them to the end user.

C4 Allocates Human Resources

Assesses knowledge and skills and distributes work accordingly, evaluates performance and provides feedback. Competent performance in managing human resources includes accurately assessing peoples' knowledge, skills, abilities, and potential; identifying present and future workload; making effective matches between individual talents and workload; and actively monitoring performance and providing feedback.

INFORMATION

C5 Acquires and Evaluates Information

Identifies need for data, obtains them from existing sources or creates them, and evaluates their relevance and accuracy. Competently performing the tasks of acquiring data and evaluating information includes analytic questions to determine specific information needs; selecting possible information and evaluating its appropriateness; and determining when new information must be created.

C6 Organizes and Maintains Information

Organizes, processes, and maintains written or computerized records and other forms of information in a systematic fashion. Competently performing the tasks of organizing and maintaining information includes understanding and organizing information from computer, visual, oral and physical sources in readily accessible formats, such as computerized data bases, spreadsheets, microfiche, video disks, paper files, etc.; when necessary, transforming data into different formats in order to organize them by the application of various methods such as sorting, classifying, or more formal methods.

C7 Interprets and Communicates Information

Selects and analyzes information and communicates the results to others using oral, written, graphic, pictorial, or multi-media methods. Competently performing the tasks of communicating and interpreting information to others includes determining information to be communicated; identifying the best methods to present information (e.g., overheads, handouts); if necessary, converting to desired format and conveying information to other through a variety of means including oral presentation, written communication, etc.

C8 Uses Computers to Process Information

Employs computers to acquire, organize, analyze, and communicate information. Competently using computers to process information includes entering, modifying, retrieving, storing, and verifying data and other information; choosing format for display (e.g., line graphs, bar graphs, tables, pie charts, narrative); and ensuring the accurate conversion of information into the chosen format.

INTERPERSONAL

C9 Participates as a Member of a Team

Works cooperatively with others and contributes to group with ideas, suggestions, and effort. Demonstrating competence in participating as a member of a team includes doing own share of tasks necessary to complete a project; encouraging team members by listening and responding appropriately to their contributions; building on individual team members' strengths; resolving differences for the benefit of the team; taking personal responsibility for accomplishing goals; and responsibly challenging existing procedures, policies, or authorities.

C10 Teaches Others - Helps others learn

Demonstrating competence in teaching others includes helping others to apply related concepts and theories to task through coaching or other means; identifying training needs; conveying job information to allow others to see its applicability and relevance to tasks; and assessing performance and providing constructive feedback/reinforcement.

C11 Serves Clients/Customers

Works and communicates with clients and customers to satisfy their expectations. Demonstrating competence in serving clients and customers includes actively listening to customers to avoid misunderstandings and identifying needs; communicating in a positive manner especially when handling complaints or conflict; efficiently obtaining additional resources to satisfy client needs

C12 Exercises Leadership

Communicates thoughts, feelings, and ideas to justify a position, encourages, persuades, convinces, or otherwise motivates an individual or groups, including responsibly challenging existing procedures,

policies, or authority. Demonstrating competence in exercising leadership includes making positive use of the rules/value followed by others; justifying a position logically and appropriately; establishing credibility through competence and integrity; taking minority viewpoints into consideration.

C13 Negotiates to Arrive at a Decision

Works toward an agreement that may involve exchanging specific resources or resolving divergent interests. Demonstrating competence in negotiating to arrive at a decision involves researching opposition and the history of the conflict; setting realistic and attainable goals; presenting facts and arguments; listening to and reflecting on what has been said; clarifying problems and resolving conflicts; adjusting quickly to new facts/ideas; proposing and examining possible options; and making reasonable compromises.

C14 Works with Cultural Diversity

Works well with men and women and with a variety of ethnic, social, or educational backgrounds. Demonstrating competence in working with cultural diversity involves understanding one's own culture and those of others and how they differ; respecting the rights of others while helping them make cultural adjustments where necessary; basing impressions on individual performance, not on stereotypes; understanding concerns of members of other ethnic and gender groups.

SYSTEMS

C15 Understands Systems

Knows how social, organizational, and technological systems work and operates effectively within them. Demonstrating competence in understanding systems involves knowing how a system's structures relate to goals; responding to the demands of the system/organization; knowing the right people to ask for information and where to get resources; and functioning within the formal and informal codes of the social/organizational system.

C16 Monitors and Corrects Performance

Distinguishes trends, predicts impact of actions on system operations, diagnoses deviations in the function of a system/organization, and takes necessary action to correct performance. Demonstrating competence in monitoring and correcting performance includes identifying trends and gathering needed information about how the system is intended to function; detecting deviations from system's intended purpose; troubleshooting the system: making changes to the system to rectify system functioning and to ensure quality of product.

C17 Improves and Designs Systems

Makes suggestions to modify existing systems to improve products or services, and develops new or alternative systems. Demonstrating competence in improving or designing systems involves making suggestions for improving the functioning of the system/organization; recommending alternative system designs based on relevant feedback; and responsibly challenging the status quo to benefit the larger system.

TECHNOLOGY

C18 Selects Technology

Judges which set of procedures, tools, or machines, including computers and their programs, will produce the desired results. Demonstrating competence in selecting technology includes determining desired outcomes and applicable constraints; visualizing the necessary methods and applicable technology; evaluating specifications; and judging which machine or tool will produce the results.

C19 Applies Technology to Task

Understands the overall intent and the proper procedures for setting up and operating machines, including computers and their programming systems. Demonstrating competence in how to apply technology to task includes understanding how different parts of machines interact and how machines interact with broader production systems; on occasion installing machines including computers; setting up machines or systems

of machines efficiently to get desired results; accurately interpreting machine output; and detecting errors from program output.

C20 Maintains and Troubleshoots Technology

Prevents, identifies, or solves problems in machines, computers, and other technologies. Demonstrating competence in maintaining and troubleshooting technology includes identifying, understanding, and performing routine preventative maintenance and service on technology; detecting more serious programs; generating workable solutions to correct deviations; and recognizing when to get additional help.

Foundation Skills

BASIC SKILLS

F1 Reading

Locates, understands, and interprets written information in prose and documents -- including manuals, graphs, and schedules -- to perform tasks; learns from text by determining the main idea or essential message; identifies relevant details, facts, and specifications; infers or locates the meaning of unknown or technical vocabulary; judges the accuracy, appropriateness, style, and plausibility of reports, proposals, or theories of other writers.

F2 Writing

Communicates thoughts, ideas, information, and messages in writing; records information completely and accurately; composes and creates documents such as letters, directions, manuals, reports, proposals, graphs, flow charts; uses language, style, organization, and format appropriate to the subject matter, purpose, and audience. Includes supporting documentation and attends to level of detail; checks, edits, and revises for correct information, appropriate emphasis, form, grammar, spelling, and punctuation.

F3 Arithmetic

Performs basic computations; uses basic numerical concepts such as whole numbers and percentages in practical situations; makes reasonable estimates of arithmetic results without a calculator; and uses tables, graphs, diagrams, and charts to obtain or convey quantitative information.

F5 Listening

Receives, attends to, interprets, and responds to verbal messages and other cues such as body language in ways that are appropriate to the purpose; for example, to comprehend, to learn, to critically evaluate, to appreciate, or to support the speaker.

THINKING SKILLS

F6 Speaking

Organizes ideas and communicates oral messages appropriate to listeners and situations; participates in conversation, discussion, and group presentations; selects an appropriate medium for conveying a message; uses verbal language and other cues such as body language appropriate in style, tone, and level of complexity to the audience and the occasion; speaks clearly and communicates a message; understands and responds to listener feedback; and asks questions when needed.

F7 Creative Thinking

Uses imagination freely, combines ideas or information in new ways, makes connections between seemingly unrelated ideas, and reshapes goals in ways that reveal new possibilities.

F8 Decision Making

Specifies goals and constraints, generates alternatives, considers risks, and evaluates and chooses best alternative.

F9 Problem Solving

Recognizes that a problem exists (i.e., there is a discrepancy between what is and what should or could be); identifies possible reasons for the discrepancy, and devises and implements a plan of action to resolve it. Evaluates and monitors progress and revises plan as indicated by findings.

F10 Seeing Things in the Mind's Eye

Organizes and processes symbols, pictures, graphs, objects or other information; for example, sees a building from a blueprint; a system's operation from schematics; the flow of work activities from narrative descriptions; or the taste of food from reading a recipe.

PERSONAL QUALITIES

F13 Responsibility

Exerts a high level of effort and perseverance toward goal attainment. Works hard to become excellent at doing tasks by setting high standards, paying attention to details, working well and displaying a high level of concentration even when assigned an unpleasant task. Displays high standards of attendance, punctuality, enthusiasm, vitality, and optimism in approaching and completing tasks.

F15 Social

Demonstrates understanding, friendliness, adaptability, empathy and politeness in new and on-going group settings. Asserts self in familiar and unfamiliar social situations; relates well to others; responds appropriately as the situation requires; takes an interest in what others say and do.

F16 Self-Management

Assesses own knowledge, skills, and abilities accurately; sets well- defined and realistic personal goals; monitors progress toward goal attainment and motivates self through goal achievement; exhibits self-control and responds to feedback unemotionally and non-defensively; is a "self-starter."

Appendix 5

Root Causes/Recommended Solutions

Matrices

Appendix 5: Matrix linking optimal competencies, root causes, and recommended solutions.

CAREER MANAGEMENT
Includes consideration of career/professional development, coaching, career planning and counseling, career path, and IDP's.

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G77	100% of Core Workers, Supervisors, and Managers have knowledge of career path opportunities	78%	82%	92%	22%	18%	7%
G43	100% of Core Workers, Supervisors, and Managers have skill to plan careers	85%	92%	82%	15%	8%	18%
Root Causes				Recommended Solutions			
Lack of an established and publicized career ladder for civilian personnel (G77).				Establish/publish career development strategy for all civilian personnel broken down to series level.			
Lack of information on career management (G77).				Use "push technology" to notify interested parties when jobs open.			
Career ladder positions (i.e. GS-7/9/11) filled at highest level (G43).				Encourage/require career ladder positions be filled at lowest level. Charge pay account for actual salary of grade of person in position (in lieu of highest grade for position).			
Lack of focus on civilian career ladder/opportunities by system and organization (G43).				Monitor DODs "broad-banding" demonstration project for civilian personnel management, broad-banding consolidates several pay grades into a broad band to: <ul style="list-style-type: none"> • Reduce the number of distinctions between levels of work at different grade levels; • Allow for more competitive recruitment of quality candidates at differing rates within the appropriate "broad-band" levels; • Allow employees to move within the band to higher levels of pay, based on PERFORMANCE, without going through a competitive promotion process. Broad-banding provides a strong link between pay and contribution to the organizations mission. Adapt to USCG use if successful.			
Civilian hiring system and practices focus on task/job not on employee development (G43).				Add professional/career development competencies to evaluation system.			

CAREER MANAGEMENT (cont'd)

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G79	100% of Core Workers, Supervisors, and Managers have knowledge of mentoring programs	64%	78%	83%	36%	22%	17%
G46	100% of Core Workers, Supervisors, and Managers have skill to acquire mentor	71%	71%	66%	29%	29%	34%
S43	100% of Supervisors and Managers have knowledge of mentoring techniques	...	71%	87%	...	29%	13%
S7	100% of Supervisors, and Managers choose to mentor others	...	77%	89%	...	23%	11%
Root Causes				Recommended Solutions			
Senior employees lack time for mentoring and find it difficult to attend mentoring training due to limited availability of courses or because they are not a target audience (diversity focus) (S43, S7).				Establish base level of funding for mentoring training to cover 15% of CG civilian workforce annually. Consider use of Computer Based Training as delivery method. Create mentoring newsletter; include mentoring articles in CG Magazine. Refocus mentoring training from diversity issue to leadership issue. Include mentoring skills in LAMS training.			
There is no organizational incentive for superiors to mentor subordinates (S7).				Encourage practice of mentoring by adding mentoring/career development section to performance appraisals. Require comments in new mentoring/career development section of performance appraisal form discussing supervisor's accomplishments with regard to mentoring and subordinate career development. Publish Flag Voice emphasizing importance of taking time to mentor and recognizing those who mentor. Require all Flags/SES to sign up as mentors.			
There is a fear of accusation of favoritism if a supervisor chooses to mentor some but not all subordinates (S7).				Evaluate marketing of mentoring program; re-structure to meet needs of civilian workforce.			

CAREER MANAGEMENT (cont'd)

Optimal		Actuals			Gap		
		G	S	M	G	S	M
G76	100% of Core Workers, Supervisors, and Managers have knowledge of how personal values relate to Coast Guard values	87%	89%	95%	13%	11%	5%
G78	100% of Core Workers, Supervisors, and Managers have knowledge of IDP procedures	72%	87%	79%	28%	13%	21%
G80	100% of Core Workers, Supervisors, and Managers have knowledge of Professional Development resources	78%	78%	87%	22%	22%	13%
G42	100% of Core Workers, Supervisors, and Managers have skill to set goals	90%	92%	97%	10%	8%	3%
G44	100% of Core Workers, Supervisors, and Managers have skill to document their own performance	84%	91%	95%	16%	9%	5%
G45	100% of Core Workers, Supervisors, and Managers have skill to conduct self-assessment	87%	90%	92%	13%	10%	8%
G47	100% of Core Workers, Supervisors, and Managers have skill to process feedback	91%	89%	95%	9%	11%	5%
G13	100% of Core Workers, Supervisors, and Managers choose to establish Professional Development Goals	90%	90%	92%	10%	10%	8%
G14	100% of Core Workers, Supervisors, and Managers choose to develop job required knowledge and skills	97%	94%	95%	3%	6%	5%
G17	100% of Core Workers, Supervisors, and Managers choose to develop networks	92%	90%	90%	8%	10%	10%
G5	100% of Core Workers, Supervisors, and Managers have ability to progress toward potential	97%	88%	95%	3%	12%	5%
Root Causes				Recommended Solutions			
<p>Employees have insufficient knowledge of professional development opportunities because information is difficult to obtain (you must know what to look for and where) and there is a perceived lack of adequate funding for professional development training (G80, G13).</p> <p>Basic professional development tools, such as the IDP, are not used, nor is their use encouraged (G78).</p>				<p>Publish professional development opportunities in multiple formats (ALCGCIV, Web, and e-mail subscriptions). Publish professional development opportunity statistics.</p> <p>Write professional development goals into all performance appraisals. Require comments in professional development section of performance appraisal.</p>			

CAREER MANAGEMENT (cont'd)

Optimal		Actuals			Gap		
		G	S	M	G	S	M
S44	100% of Supervisors and Managers have knowledge of coaching techniques	...	76%	87%	...	24%	13%
S23	100% of Supervisors and Managers have skill to coach subordinates	...	81%	97%	...	19%	3%
S47	100% of Supervisors and Managers have ability to develop subordinates	...	82%	95%	...	18%	5%
Root Causes				Recommended Solutions			
<p>Employees have insufficient knowledge of professional development tools and there is a perceived lack of adequate funding for professional development training (S44).</p> <p>Basic professional development tools, such as the IDP, are not used, nor is their use encouraged (G78).</p>				<p>Publish professional development opportunities in multiple formats (ALCGCIV, Web, and e-mail subscriptions). Publish professional development opportunity statistics.</p> <p>Write professional development goals into all performance appraisals. Require comments in professional development section of performance appraisal.</p>			

CONFLICT RESOLUTION AND COMMUNICATION SKILLS
Includes supervisor-employee relationship and conflict resolution.

Optimal		Actual			Gaps		
		G	S	M	G	S	M
G78	100% of Core Workers, Supervisors and Managers have knowledge of individual development plan procedures.	64%	76%	79%	36%	24%	21%
S41	100% of Supervisors have knowledge of the importance of evaluation and feedback to subordinates.	...	84%	16%	...
S20	100% of Supervisors have skill to define expectations for subordinates.	...	82%	18%	...
Root Causes				Recommended Solutions			
<p>IDPs are not required so why do them. (G78) Supervisors do not see opportunities for their employees so they in turn do not seek out ways to encourage them to development themselves (S24). Available IDP materials are not well-publicized (G78).</p> <p>Many people see IDPs as training plans and training is so difficult to get that it is not worth their time to put it onto an IDP. Use of the IDP is not strongly encouraged (G78).</p> <p>Limited guidance on individual development plan tools (G78). Employees have limited face to face time with supervisors (S20, S41).</p> <p>Few IDP guidelines on the role of supervisor and employees. People do not know who is responsible for IDPs at their unit (employee, supervisor, CSA ??) (G78).</p>				<p>Require that IDPs be submitted as part of the application package when employees apply for centrally sponsored training. This is required by both OPM and DoS to ensure training requests a linked to required skills and developmental needs. Include information about IDPs in the EARS instruction. Include IDP explanation in the unit welcome aboard package.</p> <p>Review the IDPs in the Civilian Personnel Procedures for Supervisors course and emphasize the role of the supervisor. CGPC will follow up with a survey 6 months after the course.</p> <p>Advertise existing coaching and counseling documents such as “A Supervisor’s Guide to Career Development & Counseling for Civilian Employees”. This booklet already covers IDPs and coaching techniques. Include a segment on the purpose of IDPs in the Civilian Orientation course Include a follow up survey in the Career Enrichment Seminar to determine if employees use the IDP skills they learned in the class. Create an IDP instruction that has a clear step by step how to description.</p> <p>Use a variety of media (ALCOAST, e-mail, web-pages, CG Magazine, pay-check notes, etc.) to explain the IDP. Do an IDP Flag Voice. Define who has the lead on the IDP.</p>			

CONFLICT RESOLUTION AND COMMUNICATION SKILLS (cont'd)
--

Optimal		Actual			Gaps		
		G	S	M	G	S	M
S44	100% of supervisors have knowledge of coaching techniques.	...	76%	24%	...
S25	100% of supervisors have skill to maximize subordinates' diverse strengths and overcome their weaknesses.	...	80%	20%	...
S23	100% of supervisors have skill to coach subordinates.	...	84%	16%	...
Root Causes				Recommended Solutions			
Supervisors fear retribution if they coach employees since it may be interpreted as favoritism (S44, S25, S23).				Require all supervisors of civilians to take the course Civilian Personnel Procedures for Supervisors. It addresses how to deal with legal issues such as grievances, how to reprimand employees, and how to do progress reviews. It also discusses counseling employees and employee development.			
Employees have limited face to face time with supervisors (S44, S25, S23).				Expand the sections on counseling and development to encourage a coaching environment. Notify the contractor of supervisors' concerns and have them incorporate discussion into the course.			
Training on mentoring principles is limited and difficult to obtain (S44, S25, S23).				Currently, the CG provides 13 sessions or 325 quotas annually. Have CGPC determine if this is a sufficient number to cover the recommended requirement. Make it a distance learning course so that more people can be taught for less. Make this course a continuing professional education course. Provide a distance learning mentoring course. Advertise existing coaching and counseling documents such as "A Supervisor's Guide to Career Development & Counseling for Civilian Employees". CGPC will provide all new supervisors (military and civilian) with a welcome aboard package of supervisor's materials. This would include CG publications (A Supervisor's Guide to Career Development and Counseling for Civilian Employees) and government wide publications (Managing the Civilian Work Force, A Guide for the Military Manager).			

CONFLICT RESOLUTION AND COMMUNICATION SKILLS (cont'd)

Optimal		Actual			Gaps		
		G	S	M	G	S	M
G80	100% of Core Workers, Supervisors and Managers have knowledge of professional development resources	77%	78%	87%	13%	22%	23%
Root Causes				Recommended Solutions			
<p>Employees say that training funds are not available (80).</p> <p>Education/training is not available to civilians. (80)</p>				<p>Use IDPs to plan training and learning opportunities. This will encourage people to seek out training and therefore be more aware of training that is available.</p> <p>Update civilian leadership training listings on the CGPC web site.</p> <p>Issue all training announcements as an ALCOAST to give maximum exposure.</p> <p>All announcements indicate if it is open to civilians.</p> <p>Teach units how to create learning environment for continuous learning. Use the principles found in "Getting Results Through Learning." Include AFC 56 dollars to cover the expense of purchasing video-tape and booklets for units.</p>			

CONFLICT RESOLUTION AND COMMUNICATION SKILLS (cont'd)

Optimal		Actual			Gaps		
		G	S	M	G	S	M
S46	100% of Supervisors have knowledge of conflict resolution techniques.	...	77%	23%	...
S27	100% of Supervisors have skill to remain impartial/objective during conflict.	...	82%	18%	...
S24	100% of Supervisors have skill to analyze and correct performance problems.	...	79%	21%	...
S26	100% of Supervisors have skill to resolve conflict.	...	80%	20%	...
Root Causes				Recommended Solutions			
<p>Supervisors are hired or promoted based on technical knowledge of the function they support not on management or personnel skills (S46, S27, S24, S26)</p> <p>Limited training, whether formal or informal, is available to supervisors. There is NO mandatory training for new supervisors and training that is available is not timely. They must rely on their existing skills or learning from peers. Some supervisors receive the Civilian Personnel Procedures for Supervisors course (S46, S27, S24, S26).</p>				<p>Require all supervisors of civilians to take the course Civilian Personnel Procedures for Supervisors. It addresses how to deal with legal issues such as grievances, how to reprimand employees, and how to do progress reviews. It also discusses counseling employees and employee development. Expand the sections on counseling and development to encourage a coaching environment. Notify the contractor of supervisors' concerns and have them incorporate discussion into the course. Currently, the CG provides 13 sessions or 325 quotas annually. Have CGPC determine if this is a sufficient number to cover the recommended requirement. Encourage supervisors to retake the course every 5 years.</p> <p>CGPC will provide all new supervisors (military and civilian) with a welcome aboard package of supervisor's materials. This would include CG publications (A Supervisor's Guide to Career Development and Counseling for Civilian Employees) and government wide publications (Managing the Civilian Work Force, A Guide for the Military Manager).</p> <p>Create a course similar the Unit Leadership Program that teaches employees how to deal with conflict in the workforce. Consider using an existing course curriculum such as "Increase in Human Effectiveness."</p> <p>CGPC will provide a matrix to all supervisors (military and civilian) showing the role and services of the CSA. This matrix should be posted on the web and should be discussed in the Civilian Personnel Procedures for Supervisors course. Supervisors should then be encouraged to share this information with employees.</p> <p>Redefine the criteria for C school funding so that training for communication, conflict resolution, leadership compete more evenly with operational training.</p>			

PERFORMANCE MANAGEMENT
Includes group dynamics, personnel management, work-related feedback, and evaluation.

Optimal		Actuals			A. Gaps		
		G	S	M	G	S	M
G5	100% of Core Workers, Supervisors and Managers have ability to progress towards potential	87%	88%	69%	13%	12%	31%
G43	100% of Core Workers, Supervisors and Managers have skill to plan career	85%	91%	82%	15%	9%	18%
G24	100% of Core Workers, Supervisors and Managers choose to pursue life long learning	92%	93%	92%	8%	7%	8%
G15	100% of Core Workers, Supervisors and Managers choose to seek and accept feedback from others	93%	93%	95%	7%	7%	5%
G14	100% of Core Workers, Supervisors and Managers choose to develop job-required knowledge and skills	97%	94%	95%	3%	6%	5%
Root Causes				Recommended Solutions			
<p>Lack of quotas for orientation courses to familiarize civilians with available programs (G5, G43).</p> <p>Operational needs hinder the time given to attend training (G5, G43).</p> <p>Lack of communication, lack of concern regarding training and learning opportunities. Lack of incentive to attend training and learning opportunities (G15, G5, G43, G24, G14).</p> <p>Lack of knowledge about training and learning opportunities. (G14)</p> <p>Not enough resources to effectively support civilian workforce. (G5)</p> <p>Training courses focus on desired basic skills (i.e., speaking, writing, listening, etc.) rather than developmental skills. (G5, G14, G16, 24, G43)</p>				<p>Increase quotas available for training. Provide training, education and developmental opportunities that encourage learning experiences, strengthen job skills and competency levels. Offer orientation program for new employees about the CG history, values and goals (Prospect Associates). Create automated Power Point or video presentation available to all civilians as introduction to CG.</p> <p>Designate a set amount of time (i.e., 15%) of employee time to spend in training or developmental activities (Motorola).</p> <p>Innovate new ways to enhance and foster continual learning. For example, CPE credits, rewards and recognition for continual education. Increase tuition assistance to 100% reimbursement up to current maximum allowed. Incorporate training into IDP. Provide handbook with information on training opportunities available. Require all new employees attend orientation to familiarize with the Coast Guard. Make better use of CG Academy and Leadership Development School. Create automated Power Point or video presentation available to all civilians as introduction to CG.</p> <p>Provide more training (technical and education) employees. Integrate civilian/military leadership course.</p> <p>Create a CBT orientation program for civilians that focus on civilian role, integrated with the CG strategic plan. Create training that provides a comprehensive employee development program and meets/exceeds specific job requirements.</p>			

PERFORMANCE MANAGEMENT (cont'd)
--

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
S10	100% of Supervisors and Managers choose to provide recognition and rewards	...	82%	74%	...	18%	26%
G72	100% of Core Workers, Supervisors and Managers have knowledge of process improvement principles	86%	92%	80%	14%	8%	20%
S35	100% of Supervisors and Managers have knowledge of CG performance plan requirement	...	87%	95%	...	13%	5%
S29	100% of Supervisors and Managers have knowledge of incentive and awards system (civilian and military)	...	87%	97%	...	13%	3%
S1	100% of Supervisors and Managers have ability to evaluate and measure projects results	...	92%	92%	...	8%	8%
G15	100% of Core Workers, Supervisors and Managers choose to seek and accept feedback	93%	93%	95%	7%	7%	5%
Root Causes				Recommended Solutions			
<p>Not all supervisors are aware of award programs available to civilians, or are not familiar with how to grant award. Some supervisors feel that additional accomplishments fall in the category of "just doing your job", when in fact, may be outside the realm of the job description and should be recognized as such (S10, S35).</p> <p>Lack of knowledge about Special Act and On the Spot awards are available to civilians (S29).</p> <p>Lack of understanding the connection between employee, their performance and their contributions (S10, S29).</p> <p>Lack of understanding of the cultural differences between military and civilian award system. Lack of knowledge of civilian evaluations and appraisal systems (S29, S35).</p> <p>Rewards are subjective to performance without establishing thresholds, rather than the value placed on contributions to organization (S1, S10, S29, S35).</p>				<p>Establish reward system put into place to encourage responsible individual growth, action orientation and acceptance of reasonable risk. Develop policy guidelines that cover a variety of contributions that can be rewarded including value placed on risk taking (lessons learned). Encourage employees to add input on their evaluation.</p> <p>Promote awareness of these programs, require that supervisors recognize accomplishments noted by employee, if it warrants a Special Act or On the Spot. Award should be mandatory as per the evaluation. Section on evaluation should state: "Award recommended as per..."</p> <p>Link awards and performance appraisals to performance - best practices are based upon work performance and accomplishment of established annual goals. For example IDP along with EARS and Mission for the Office (Motorola, Aqualon, AT&T, Weyerhauser and Prospect Assoc.).</p> <p>Provide training to supervisors on evaluation system and procedures. Change the traditional time in grade pay to a skilled-based and merit based pay system linked to performance and certification of measurable skill competencies (Motorola).</p> <p>Provide supervisors with a forum (live and then CBT) that is interactive and allows for role playing in the areas of coaching, motivation and rewarding employees.</p> <p>Determine career threshold and make sure rewards are given automatically. Provide recognition that is both formal and informal - ongoing and a natural part of day to day life. Provide awards to recognize employees who take risks, regardless of the outcomes.</p>			

PERFORMANCE MANAGEMENT (cont'd)	

Optimal		Actuals			Gap		
		G	S	M	G	S	M
G13	100% of Core Workers, Supervisors and Managers choose to establish professional development goals	90%	90%	53%	10%	10%	47%
G45	100% of Core Workers, Supervisors and Managers have skill to self-assess	87%	90%	92%	13%	10%	8%
G47	100% of Core Workers, Supervisors and Managers have skill to process feedback	91%	89%	77%	9%	11%	23%
G63	100% of Core Workers, Supervisors and Managers have knowledge of interpersonal techniques	92%	92%	80%	8%	8%	20%
S19	100% of Supervisors and Managers have skill to interview candidates for hire	...	91%	89%	...	9%	11%
S24 and S25	100% of Supervisors and Managers have skill to analyze and correct performance problems and maximize subordinate's diverse strengths and overcome their weaknesses	...	79%	68%	...	21%	32%
S34	100% of Supervisors and Managers have knowledge of performance management techniques	...	87%	92%	...	13%	8%
S41	100% of Supervisors and Managers have knowledge of the importance of evaluation and feedback to subordinates	...	84%	92%	...	16%	8%
S42	100% of Supervisors and Managers have knowledge of the importance of defining expectations	...	84%	87%	...	16%	13%

Root Causes	Recommended Solutions
<p>Poor flow of communication and cohesiveness of supervisory/employee relations due to frequent turnover, especially military supervisors. Employees do not feel comfortable enough to approach supervisor to discuss problems with evaluation because feedback is not encouraged (G63, S91).</p> <p>Inability to identify correct skills required for employee to do job (S24).</p> <p>Lack of understanding and knowledge of civilian evaluations and appraisal systems. No effective tools to deal with problem employees/outstanding employees. (S34)</p> <p>No system in place for employee feedback on supervisor performance. Supervisor/ managers often ignore employee performance problems because they feel they are wasting their time (S42).</p>	<p>Provide feedback on how well employees are meeting/exceeding pre-determined standards and offer the ability to make changes to unrealistic or problematic standards. Supervisor must familiarize themselves with employees from day one. Formal/informal sessions to discuss what is expected of the employee should be determined from initial meeting with employee. Design a form that provides hardcopy of orientation discussion signed by employee and supervisor.</p> <p>Job descriptions need to be evaluated, changed to better match our changing culture and meet new expectations. Job descriptions should be evaluated by core duty standards and best practices. Focus on hiring people with practical skills and then provide mentors and development to help them excel within culture.</p> <p>Develop policy guidelines that focus on civilian evaluation and appraisal systems that incorporate a variety of tools that deal with problem employees/outstanding employees.</p> <p>Provide section on evaluation that requires feedback on supervisor. Provide anonymous feedback for supervisor feedback. Remove organizational barriers and create culture fostering continuous learning. Create an Employee Builder Series handbook that addresses the pertinent issues like managing conflict, coaching advisor, improving listening skills, etc. (Austin Haynes provides computer series that addresses performance issues and makes suggestions to supervisors and managers. They also have a 360 degree feedback form). Hold supervisors accountable for their actions. Provide "hotline" in HR to get assistance with questions/problems on HR issues.</p>

PROGRAM/PROJECT MANAGEMENT
Includes risk management and decision-making.

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G1	100% of Core Workers, Supervisors and Managers have ability to meet job expectations	96%	94%	97%	4%	6%	3%
G16	100% of Core Workers, Supervisors and Managers choose to seek and accept challenging tasks	95%	94%	92%	5%	6%	8%
G36	100% of Core Workers, Supervisors and Managers have skill to weight risk appropriately	95%	94%	100%	5%	6%	0%
G37	100% of Core Workers, Supervisors and Managers have skill to think innovatively	94%	95%	97%	6%	5%	3%
G70	100% of Core Workers, Supervisors and Managers have knowledge of risk management techniques	85%	90%	95%	15%	10%	5%
G71	100% of Core Workers, Supervisors and Managers have knowledge of innovation principles	86%	89%	97%	14%	11%	3%
Root Causes				Recommended Solutions			
<p>Extreme downside repercussions and near absence of upside benefits of taking risks (27% or FG responses) (G37, G71). Civilian reluctance to take risk, military leaders will not emphasize risk taking due to fear of career reprisal (G16, G37, G70, G71). Civilian & military leaders get no reward to encourage risk taking thereby no incentive or motivation (G16, G37, G71)</p> <p>Military fear impact on OER, causing risk aversion, even when unwarranted. Inappropriate supervision leads to lack of trust (G70).</p> <p>Projects put toward are not acted on, so create a sense of futility in trying innovation. Fear of change and the unknown (11% or responses). Fear of failure. No CG instruction, training, or process detailing how to take risk, or an expectation that attempting an innovation that doesn't work out is in the very least, a successful taking of risk (G37, G71).</p> <p>Lack of resources (time, money, people, but mostly people due to pace of operations) (20% or responses) (G1).</p> <p>Civilians don't know how to take appropriate risk. Lack of training that makes people unknowledgeable (10% or responses) (G70). Low level of trust between core workers and supervisors a significant obstacle to risk taking in pursuit of innovation (G16).</p>				<p>Create a workplace without fear. There are many books and resources that address this problem, and how to solve it. Although it requires senior management support, most of the solutions are changing the local work environment and culture. (i.e., Driving Fear Out of the Workplace: How to Overcome the Invisible Barriers to Quality, Productivity, and Innovation. Jossey-Bass Inc., Publishers: San Francisco, CA. 1991.</p> <p>Adjust performance evaluation criteria to include reward for failure or success in risk taking.</p> <p>Monthly risk-taking award for success and one for not-successful (i.e., effort)</p> <p>Match the workload with the workforce; many are overworked and do not have the time to consider taking risks. Either add more people, or remove some of the workload. Train senior or mid-level supervisors (civilian and military) in the techniques of managing people and time in a resource scarce environment.</p> <p>Market and encourage staff to use CTAP to take courses in entrepreneurship and other risk non-averse methods. Fund CTAP for civilians at the 100% level allowed by law.</p>			

PROGRAM/PROJECT MANAGEMENT (cont'd)

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G1	100% of Core Workers, Supervisors and Managers have ability to meet job expectations	96%	94%	97%	4%	6%	3%
G38	100% of Core Workers, Supervisors and Managers have skill to make sound decisions	98%	95%	97%	2%	5%	3%
M1	100% of Managers have ability to manage programs effectively	97%	3%
Root Causes				Recommended Solutions			
<p>Existing policies, procedures and practices related to program and project management are viewed as obstacles to development and success (52% of FG responses) (G1).</p> <p>No incentive for employee to make decision or supervisor to encourage making decisions. Employees believe that making any error in a decision will ruin a career. Fear of making decisions (G38). Micro-management of employees (M1).</p> <p>Arcane, inconsistent and highly changeable CG policies, procedures, and practices (16% of responses) (M1).</p> <p>Resource limitations and resource/task mismatch (19% of responses) (G1). (G38).</p> <p>New civilian employees do not know expectations and how to manage them. Supervisors and managers do not encourage decision-making – an environment of blame, lack of accountability (G38).</p>				<p>When creating policies, procedures and practices, adopt a minimalist approach that does not hinder local exercise of decision making.</p> <p>Allow senior personnel to genuinely empower people to make decisions; Assure that these senior personnel have the authority to remove barriers to success with regard to program and project management.</p> <p>When changing policy, procedures and practices, consider the impact on personnel and their ability to make decisions.</p> <p>Expand training budget, mandatory training linked to performance appraisal.</p> <p>Match the workload with the workforce; many are overworked and do not have the time to consider taking risks. Either add more people, or remove some of the workload. Train senior or mid-level supervisors (civilian and military) in the techniques of managing people and time in a resource scarce environment.</p>			

PROGRAM/PROJECT MANAGEMENT (cont'd)
--

Optimal		Actuals			Gap		
		G	S	M	G	S	M
G1	100% of Core Workers, Supervisors and Managers have the ability to meet job expectations	96%	94%	97%	4%	6%	3%
G31	100% of Core Workers, Supervisors and Managers have skill to use computer applications	96%	96%	100%	4%	4%	0
S1	100% of Supervisors and Managers have ability to evaluate and measure project results	...	92%	92%	...	8%	8%
S2	100% of Core Workers, Supervisors and Managers have ability to manage multiple projects in varying situations	...	91%	95%	...	9%	5%
S17	100% of Supervisors and Managers have skill to use technology, especially information technology, capabilities effectively	...	93%	100%	...	7%	0
S33	100% of Managers have knowledge of technological capabilities, especially information technology	97%	3%
M1	100% of Managers have ability to manage programs effectively	97%	3%
M19	100% of Managers have skill to manage program finances	97%	3%
Root Causes				Recommended Solutions			
Lack of knowledge in program/project management (12% of responses) (S1, S2, M1, M19).				Encourage supervisors to take courses (using fully funded CTAP) that relate to program/project management. The CG can increase the amount of reimbursement for areas in which the CG want to place emphasis. There is precedence for this in reenlistment bonuses.			
Civilian employees do not know how to manage programs and projects as effectively as they need) (S1, S2, M1, M19).				Expand EARS/OER to place emphasis on mentoring for those in a position to mentor juniors in program/project management.			

ORGANIZATIONAL KNOWLEDGE
Includes knowledge of Coast Guard and DoT history and structure.

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G51	100% of Core Workers, Supervisors and Managers have knowledge of Coast Guard and DOT organizational structure.	76%	96%	97%	24%	4%	3%
G56	100% of Core Workers, Supervisors and Managers have knowledge of Coast Guard history	74%	87%	95%	26%	13%	5%
Root Causes				Recommended Solutions			
Lack of knowledge of Coast Guard and DOT structure (G51).				Develop a standard for the orientation process of all first time employees regardless of entry level. Develop a standardized introductory information package (Welcome Aboard) for all new employees and have them mailed from Career Development Advisor (CDA). Provide each new employee with an equivalency chart (civ/mil) to be included as part of check in procedure. Develop web site or reference handbook with information on Coast Guard and DOT organization that links individual jobs with the organization.			
Lack of knowledge of CG history (G56).				Task first line supervisors the responsibility of ensuring employee understands how their role within the organization contributes to the good of the organization. Develop one video of CG history to be shown at all civilian orientations and all military indoctrination. Provide reference handbook with information on Coast Guard history.			

ORGANIZATIONAL KNOWLEDGE (cont'd)

Optimal		Actuals			Gap		
		G	S	M	G	S	M
G80	100% of Core Workers, Supervisors, and Managers have knowledge of professional development resources	77%	78%	97%	23%	22%	3%
Root Causes				Recommended Solutions			
<p>Current policies, though available via intranet, are not easily located and civilian employees do not know how to keep abreast of current policies and procedures. Changes in both policy and procedure are not brought to the attention of the employee by management (G80).</p> <p>Civilians also expressed a lack of knowledge on how to interpret a number of Coast Guard publications. Manuals and publications are written at a level too advanced for common interpretation. The end result is interpretation is left to the individual (G80).</p> <p>Downsizing has resulted in a lack of time to research, read and interpret current resources (G80).</p>				<p>Assign civilian employees to mentor/educate new employees on how to use the intranet effectively to locate current policies and procedures as well as familiarize them as to the use of current manuals and publications. This will ensure the mentor/educator obtains this knowledge as well.</p> <p>Develop plain language (8th grade level) Employee Desk Reference Guide web site on how to locate resources with an index to for easy location of up-to-date policies and procedures.</p>			

TECHNOLOGY
Includes knowledge of and skill to use computer applications.

Optimal		Actuals			Gaps		
		G	S	M	G	S	M
G31	100% of Core Workers, Supervisors and Managers have skill to use computer applications	96%	96%	100%	4%	4%	0%
G66	100% of Core Workers, Supervisors and Managers have knowledge of computer applications	94%	95%	97%	6%	5%	3%
Root Causes				Recommended Solutions			
Training mismatched with needs (G31).				Use Computer-Based Training (CBT) to match pace with learner's needs. Add computer training, i.e. how technology can be used in business situations, into managerial and supervisory training.			
Training is untimely (G31).				Assure that training is provides in close proximity to the arrival or implementation of the technology. Set up database user-friendly, web-based database to help employees "walk through" common problems.			
Lack of resources (time, money) to provide/receive training (G66).				Invest in development of Computer-Based Training to leverage existing funds. Make technology investment part of the CG Budget.			
CG priorities on standardization hinders office-specific solutions (G66).				Consider building flexibility into the architecture for CG workstation systems.			
The waiver process impedes use of solutions (G66).				Streamline and delegate authority to local commands with the view towards minimizing impediments to innovation and local solutions.			
Centrally managed technology budget reduces local flexibility (G31).				Remove unnecessary steps and "approvals" to speed up delivery of systems to local commands.			
The systems are in need of upgrade to maintain industry currency (G66).				Establish standard capabilities and allow procurement "at-market".			
CG specific applications are unwieldy and difficult to use (G31).				Use new customer-involved methods in software development when developing CG-specific application systems.			

Appendix 6

Competency Gaps Comparison

Appendix 6: Comparison of competency gaps in SCANS, Federal Highway Administration, CIVNA, and EPA studies.

“SCANS”-DEFINE D COMPETENCIES	FED’L HIGHWAY ADMINISTRATION COMPETENCIES	CIVILIAN NEEDS ASSESSMENT-DEFINED COMPETENCIES	EPA WORKFORCE ASSESSMENT PROJECT
<p>Basic Skills -</p> <ul style="list-style-type: none"> • Reading, • Writing, • Arithmetic and mathematics, • Listening 	<p>Communications –</p> <ul style="list-style-type: none"> • Written communication • Oral communication • Listening 	<p>Basic Skills Core-Worker Ability</p> <ul style="list-style-type: none"> • Meet job expectations <p>Attitudes (choose to..)</p> <ul style="list-style-type: none"> • Communicate effectively (oral and writing) <p>Skill to...</p> <ul style="list-style-type: none"> • Speak effectively • Listen actively • Write effectively <p>Knowledge of...</p> <ul style="list-style-type: none"> • Active listening techniques • Writing techniques 	<p>Basic Skills (e.g. reading, arithmetic)</p>
<p>Thinking Skills –</p> <ul style="list-style-type: none"> • Speaking • Creative Thinking • Decision Making • Problem Solving • Seeing Things in the Minds Eye 	<p>Communication (cont.)</p> <ul style="list-style-type: none"> • Facilitation • Media interaction • Formal presentation <p>Management (cont.)</p> <ul style="list-style-type: none"> • Analytical thinking, • Creative thinking, • Problem Solving <p>Leadership (cont.)</p> <ul style="list-style-type: none"> • Decisiveness 	<p>Thinking Skills Managerial Attitude (Choose to...)</p> <ul style="list-style-type: none"> • Think strategically • Tolerate ambiguity <p>Skill to...</p> <ul style="list-style-type: none"> • Systematically approach problems and opportunities <p>Supervisory Skill to...</p> <ul style="list-style-type: none"> • Give effective presentations <p>Core-Worker Skill to...</p> <ul style="list-style-type: none"> • Think innovatively • Make sound decisions • Solve problems effectively • Weigh risk appropriately <p>Knowledge of...</p> <ul style="list-style-type: none"> • Innovation principles • Presentation techniques 	<p>Communication</p> <ul style="list-style-type: none"> • Writes, speaks clearly in multiple formats • Informs a variety of audiences on relevant topics • Uses relevant media effectively <p>Cognitive</p> <ul style="list-style-type: none"> • Analysis, critical thinking, problem solving, reasoning • Creative, innovative thinking <p>Strategic Thinking</p> <ul style="list-style-type: none"> • Possesses sense of vision • Thinks expansively and is inquisitive • Searches for unconventional options
<p>Personal Qualities –</p> <ul style="list-style-type: none"> • Responsibility • Social • Self-management 	<p>Self/Life Management-</p> <ul style="list-style-type: none"> • Ethics • Assertiveness • Stress Management • Time Management • Personal Presentation 	<p>Self/Life Management – Core-Worker Ability to...</p> <ul style="list-style-type: none"> • Meet job expectations • Balance work and personal life • Progress toward potential <p>Attitude (choose to..)</p> <ul style="list-style-type: none"> • Act honestly, ethically & responsibly • Follow rules and regulations • Establish professional development goals • Develop job-required knowledge & skills • Demonstrate adaptability and initiative • Pursue lifelong learning • Maintain a healthy lifestyle <p>Skills to...</p> <ul style="list-style-type: none"> • Set goals & plan career • Document own performance • Self-assess & process feedback • Acquire a mentor • Manage stress <p>Knowledge of...</p> <ul style="list-style-type: none"> • Career path opportunities • Individual development plan (IDP) procedures • Mentoring programs • Professional development resources • USCG personal & family support programs available to civilians 	<p>Personal Qualities –</p> <ul style="list-style-type: none"> • Action-results orientation • Adaptability, dealing w/ change, flexibility • Continual learning, information seeking • Quality orientation • Work orientation, attitude, professionalism

Appendices

<p><u>Resources –</u></p> <ul style="list-style-type: none"> • Allocates time • Allocates money • Allocates material and facility resources • Allocates Human Resources 	<p><u>Management</u></p> <ul style="list-style-type: none"> • Financial management • Human resource management • Technology management 	<p><u>Management</u></p> <p><u>Managerial</u></p> <p>Ability</p> <ul style="list-style-type: none"> • Manage programs effectively (including using management information and decision support systems). <p>Skills to...</p> <ul style="list-style-type: none"> • Manage program finances <p>Knowledge of...</p> <ul style="list-style-type: none"> • Cost/benefit analysis techniques <p><u>Supervisory</u></p> <p>Ability</p> <ul style="list-style-type: none"> • Manage multiple projects in varying situations <p>Skill to...</p> <ul style="list-style-type: none"> • Manage projects and resources (funds, equipment, personnel, etc.) effectively • Identify and meet resource requirements • Interview candidates for hire <p>Knowledge of...</p> <ul style="list-style-type: none"> • Project management techniques • Technical, political and socioeconomic trends likely to affect the workplace • Financial management and budget process <p><u>Core worker</u></p> <p>Skill to...</p> <ul style="list-style-type: none"> • Organize work environment • Prioritize tasks • Manage time effectively <p>Knowledge</p> <ul style="list-style-type: none"> • Time management techniques • Risk management techniques 	<p><u>Planning, organizing</u></p> <ul style="list-style-type: none"> • Sets priorities, allocates time and resources effectively
<p><u>Information –</u></p> <ul style="list-style-type: none"> • Acquires and evaluates information; • Organizes and maintain information; • Interprets and communicates information • Uses computers to process information. 	<p><u>Management (cont.)</u></p> <ul style="list-style-type: none"> • Information Analysis & Management • Program/Process Management 	<p><u>Information</u></p> <p><u>Managerial</u></p> <ul style="list-style-type: none"> • Attitude (choose to...) • Identify and apply appropriate trends to Coast Guard • Skills to... • Apply statistical analysis 	<p><u>Knowledge management</u></p> <ul style="list-style-type: none"> • Assimilates wide variety of information • understands and uses a range of information sources effectively

Appendices

<p><u>Interpersonal skills</u></p> <ul style="list-style-type: none"> • Participates as a member of a team; • Teaches others, helps others learn • Serves clients/ customers • Negotiates to arrive at a solution • Works with cultural diversity 	<p><u>Interpersonal Skills –</u></p> <ul style="list-style-type: none"> • Teamwork • Conflict management • Diplomacy • Diversity • Partnering • Networking • Negotiating/influencing 	<p><u>Interpersonal competencies –</u></p> <p><u>Managerial</u> Attitudes (chooses to...)</p> <ul style="list-style-type: none"> • Develop/participate in professional and community organizations <p>Skill to...</p> <ul style="list-style-type: none"> • Manage group dynamics <p>Knowledge of...</p> <ul style="list-style-type: none"> • Various team structures • Group dynamics <p><u>Supervisory</u> Attitudes (chooses to...)</p> <ul style="list-style-type: none"> • Provide recognition and rewards • Promote work-life balance <p>Skills to...</p> <ul style="list-style-type: none"> • Promote teamwork • Resolve conflict <p>Knowledge of...</p> <ul style="list-style-type: none"> • Conflict resolution techniques • Empowerment concepts • Fair & unfair labor practices <p><u>Core Worker</u> Abilities</p> <ul style="list-style-type: none"> • Act as a team player • Attitudes (choose to...) • Demonstrate respect for all others • Value the customer • Seek and accept feedback from others • Develop networks <p>Knowledge of...</p> <ul style="list-style-type: none"> • Customer needs 	<p><u>Interpersonal (team orientation)</u></p> <ul style="list-style-type: none"> • Builds and mends relationships • Manages conflict • Develops consensus • Determines when team approach is most relevant to the work • Encourages trust and openness among team members <p><u>Cultural sensitivity, understanding</u></p> <ul style="list-style-type: none"> • Functions effectively in non-native cultures • Capitalizes on workgroup diversity
<p><u>Interpersonal skills (cont.)</u></p> <ul style="list-style-type: none"> • Exercises leadership 	<p><u>Leadership-</u></p> <ul style="list-style-type: none"> • Teambuilding • Decisiveness • Change management • Political savvy • Coaching 	<p><u>Leadership-</u></p> <p><u>Managerial</u> Attitudes (chooses to...)</p> <ul style="list-style-type: none"> • Demonstrate visionary initiative <p>Skill to...</p> <ul style="list-style-type: none"> • Manage organizational change <p><u>Supervisory</u> Abilities</p> <ul style="list-style-type: none"> • Develop subordinates • Adapt leadership approaches in varying situations <p>Attitude (chooses to...)</p> <ul style="list-style-type: none"> • Support organizational change • Mentor others • Empower others • Manage subordinates performance • Enforce rules and regulations • Ensure a safe working environment <p>Skills to...</p> <ul style="list-style-type: none"> • Define expectations for direct reports • Coach subordinates • Analyze & correct performance deficiencies <p>Knowledge of...</p> <ul style="list-style-type: none"> • Employee health & safety • Incentives & awards system (civilian & military) • Organizational vision, strategy • Mentoring and coaching techniques <p><u>Core Worker</u> Abilities</p> <ul style="list-style-type: none"> • Demonstrate followership • Attitude (choose to...) • Look out for others welfare <p>Skill to...</p> <ul style="list-style-type: none"> • Practice teambuilding techniques 	<p><u>Leadership</u></p> <ul style="list-style-type: none"> • Instills vision and sense of mission • Plans, analyzes, makes decisions effectively • Establishes developmental climate • Sets goals jointly • Creates understanding • Notices patterns, subtle cues <p><u>Political savvy</u></p> <ul style="list-style-type: none"> • Accomplishes objectives in political environment • Uses ingenuity in dealing with bureaucracy • Pragmatic in planning and executing work

Appendices

<p><u>Systems –</u></p> <ul style="list-style-type: none"> • Understand how social, organizational, and technological systems work • Monitors and corrects performance • Improves and Designs Systems 	<p><u>Organizational –</u></p> <ul style="list-style-type: none"> • Vision • Strategic Planning • Organizational awareness • External awareness • Performance Measurement & Improvement • Customer focus (orientation) 	<p><u>Organizational</u></p> <p><u>Managerial</u></p> <p><u>Ability -</u></p> <ul style="list-style-type: none"> • Develop policies and procedures • Implement policy/legislative changes • Evaluate policy/legislative changes <p><u>Attitude (chooses to...)</u></p> <ul style="list-style-type: none"> • Assess, define and communicate risks within own area of responsibility • Conduct program reviews <p><u>Skills to...</u></p> <ul style="list-style-type: none"> • Set a vision for program • Develop strategy • Develop legislative proposal • Employ systems thinking tools and techniques • Develop and implement workable solutions <p><u>Knowledge of...</u></p> <ul style="list-style-type: none"> • Global trends • Workforce trends • Agency/national policy • Fiscal and political reality • Legislative proposal process • Regulatory process • Work processes and systems thinking • Process improvement techniques • Measurement criteria <p><u>Supervisory</u></p> <p><u>Ability</u></p> <ul style="list-style-type: none"> • Evaluate and measure project results • Manage employee performance <p><u>Skills to...</u></p> <ul style="list-style-type: none"> • Develop business strategy for area of responsibility and align w/ USCG strategy <p><u>Knowledge of...</u></p> <ul style="list-style-type: none"> • Local union contract • Coast Guard performance plan requirements • TQM practices and processes <p><u>Core worker</u></p> <p><u>Knowledge of...</u></p> <ul style="list-style-type: none"> • USCG history & core values • USCG & DOT structure and missions • USCG civilian and military personnel management system • USCG Budget process • Relationship & rights w/ labor union • Coast Guard basic procurement processes and procedures 	<p><u>Cognitive</u></p> <ul style="list-style-type: none"> • Broad environmental sciences understanding <p><u>Customer orientation</u></p> <ul style="list-style-type: none"> • Responds well to internal and external customers • Understands impact of customer orientation on agency mission <p><u>Organizational knowledge</u></p> <ul style="list-style-type: none"> • Understands agency organization/structure • Understands how government agencies function • Understands how social, technological, economic change affects business and government • Understands impacts of business and the world on EPA
<p><u>Technology</u></p> <ul style="list-style-type: none"> • Selects technology • Applies technology to task • Maintains and troubleshoots technology 	<p><u>Management-</u></p> <ul style="list-style-type: none"> • Technology Mgmt., 	<p><u>Managerial</u></p> <p><u>Supervisory</u></p> <p><u>Skill to...</u></p> <ul style="list-style-type: none"> • Use technology, especially information technology, and capabilities effectively <p><u>Knowledge of...</u></p> <ul style="list-style-type: none"> • Technological capabilities, especially information technology <p><u>Core-Worker</u></p> <p><u>Skill to...</u></p> <ul style="list-style-type: none"> • Use computer applications 	<p><u>Cognitive</u></p> <ul style="list-style-type: none"> • Information technology • Technical, functional expertise • Maintains records so that information is accessible to self & others • Learns and uses equipment relevant to the unit • Teaches others to use data and technology
	<p><u>Marketing</u> - market analysis, distribution, message development, advertising, product knowledge, message packaging</p>	<p><u>Marketing</u> ---Market a program and communicate requirements</p>	

Appendix 7

List of Recommendations

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Requires Policy Change(s)	Difficulty: 1 – Easy, quick 2 – Redirect staff & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
TRAINING/LEARNING					
✓		1		G-WT	Monitor progress of President’s Task Force on Federal Training Technology that was established by Executive Order 13111 dated January 12, 1999.
	✓	2		G-W	<ul style="list-style-type: none"> Include as part of Coast Guard’s annual budget process a set of goals to provide the highest quality and most efficient training opportunities possible to its employees, and a set of performance measures of the highest quality and availability of training opportunities possible to its employees. Such measures should be, where appropriate, based upon outcomes related to performance rather than time allocation.
	✓	2		G-W	<ul style="list-style-type: none"> Identify the resources necessary to achieve the aforementioned goals and performance measures articulated in its annual performance plan.
	✓	2		G-WTT	<ul style="list-style-type: none"> Use the standards recommended by the Task Force and published by the Office of Personnel Management for purchasing training software and associated services.
	✓	3		G-WTT	<ul style="list-style-type: none"> G-WT gain familiarity with the ILA pilot projects and consider future adoption if/when they prove successful.
✓		1	1	G-WT, CIO	Investigate and promote access to CBT opportunities already available on the web, such as:
✓		1	1	G-WT, CIO G-WTT	<ul style="list-style-type: none"> DOT’s developing Transportation Virtual University (TVU) (http://www.tasc.dot.gov/TVU/) and a list of educational institutions offering on-line and correspondence courses.
✓		1	2 Complete, see G-WTL website	G-WT, CIO G-WTT	<ul style="list-style-type: none"> Federal Learning Exchange (http://www.flx.gov/). FLX is one of four, complimentary, Web-based services offered free to the public by the Department of Labor. It is an “electronic marketplace” for classroom courses, distance learning opportunities, web- and computer-based training, educational programs, conference workshops and seminars, and the providers that offer them.
✓		1	1	G-WT, CIO	<ul style="list-style-type: none"> America’s Learning Exchange (http://www.alx.org/). ALX also is another of the services offered free to the public by the U.S. Department of Labor through America's Career Kit. ALX is supported by many professional training and educational organizations dedicated to providing the knowledge, expertise, and constituent networks to ensure users find the resources they need.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
✓		1	1	G-WT, CIO	<ul style="list-style-type: none"> DPEC (http://training.websolve.net/). DPEC provides information systems training with a library of top-quality, ready-to-use (CBT) and self-study products.
✓		1	1	G-WT, CIO	<ul style="list-style-type: none"> OPMs Resource Center for Addressing and Resolving Poor Performance (just-in-time training) (http://www.opm.gov/perform/poor/index.html-ssi).
✓		1	1	G-WT, CIO	<ul style="list-style-type: none"> One DOT Training Page (http://interweb.dot.gov/training.htm) which covers on-line course work.
✓		1	1	G-WT, CIO	Communicate/take advantage of existing, Coast Guard-provided on-line training to develop Work Station III skills (http://rtcs10net.rtc.uscg.mil/register/).
	✓	2	1	G-WT, CIO	Share development and use of Computer-Based Training technology with other agencies, particularly DOT, to leverage existing funds. "Don't reinvent the wheel!"
		2	3	G-WT, CIO	Set up FAQ (frequently asked questions) database to help employees identify and "walk through" solutions to common workstation problems.
	✓	3	1	G-WT	Make the Leadership Development Center (LDC) at the Coast Guard Academy a Center of Excellence for high-tech learning opportunities for supervisory, managerial and leadership skills for the entire Coast Guard workforce, including the civilian workforce.
		2	1 (under discussion w/ DOT)	G-WTT	Provide Continuing Professional Education (CPE) credits for job-related training, and recognize/reward those who earn them.
		2	3	G-WT	Purchase and distribute videotape and booklet, "Getting Results Through Learning," to help teach unit personnel how to create an environment for continuous learning.
		3	1	G-WT	Develop "push" technology to inform prospective trainees of training/learning opportunities coming available (link to IDP). Issue all training announcements in a variety of media (ALCOASTs, e-mail, web-page, etc.) and indicate civilian availability.
	✓	3	3	G-W	Consider flexible work-schedules/develop work/study policies to allow employees to study during work hours at work or on home workstations during workhours.
	✓	2	1	G-WT	Establish policy and target funding to provide mentoring training/learning opportunities to significant portion of the civilian workforce annually (e.g. minimum 15%).
		3	1	G-WT	Establish tuition assistance program funding for both military and civilians equal to full parity with DOD (\$3,500/student/year).
	✓	3	3	G-WT	Establish a standard (e.g. 10%, 15%) for employee time to spend in training or developmental activities while at work.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
					MENTORING
	✓	2	3	G-WT	Reassess “marketing” (e.g. what do people know, what’s the best way to communicate with each of them, how to create interest) of mentoring program – why do CG civilians and military still remain ignorant of it? Restructure program, provide more/different learning/training opportunities, improve “advertising,” etc. to meet needs of civilian and military workforce.
	✓	2	3	G-WP	Encourage the practice of mentoring by adding a mentoring/career development section to performance appraisals, and require comments discussing supervisors mentoring and development of subordinates.
✓		1	1	G-W	Senior leadership (Flags and SESs) set example by establishing formal mentoring relationship with mentee (some have done so for years). Publish periodic Flag Voice emphasizing importance of taking time to mentor and recognizing those who mentor.
	✓	2	3	G-WT, LDC	Include mentoring skills in Leadership and Management School (LAMS).
					COACHING AND CONFLICT RESOLUTION
✓	✓	1	3	G-W	Establish policy to require all supervisors of civilians to successfully complete the course, “Civilian Personnel Procedures for Supervisors”. It contains instruction on legal issues such as grievances, disciplining employees, and doing performance evaluations. It also discusses counseling employees and employee development.
	✓	2	1	G-WT	Develop “Civilian Personnel Procedures for Supervisors” course for on-line training applications.
	✓	2	3	G-WT	Include sections in “Civilian Personnel Procedures for Supervisors” on counseling and development to encourage a coaching environment.
✓		1	3	G-WP/G-WP	Advertise and use more widely existing coaching and counseling documents such as “A Supervisor’s Guide to Career Development & Counseling for Civilian Employees.”
	✓	2	3	G-WT	Create or adapt an existing course, similar to the Unit Leadership Program, to teach conflict resolution techniques or consider using an existing curriculum such as “Increase in Human Effectiveness.”

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
✓	✓	1	3	G-WT	Reprioritize Coast Guard training and funding to recognize critical training and developmental needs. "Leadership" is viewed as "soft" training, and ranks next to last (8 of 9) in training category prioritization. A lack of leadership, conflict resolution, or good supervisory abilities can "casrep" a command just as effectively as a lack of operational qualifications for critical personnel.
✓	✓	1	3	G-WP	Provide all new supervisors (military and civilian) with a Supervisors' "Welcome Aboard" package that includes "A Supervisors Guide..." and "Managing the Civilian Workforce, a Guide for the Military Manager."
	✓	2	3		Develop IRM capability to identify supervisors, particularly civilian supervisors, to measure overall supervisory performance, ensure training/learning opportunities are provided, etc. No such capability currently exists!
					PERFORMANCE MANAGEMENT (continue to improve the EARS process)
✓		1	1	G-WPC	Encourage early discussion sessions between supervisors and employees to firmly set expectations and standards for individual performance.
✓		1	1	G-W	Require supervisors to provide feedback on how well employees are meeting/exceeding standards and offer the opportunity to change unrealistic or problematic standards in both formal, informal, and scheduled interim evaluations.
	✓	3	3	G-W	Establish reward system to encourage responsible individual growth, action orientation and acceptance of reasonable risk. Develop policy guidelines that cover a variety of rewards for risk taking (lessons learned).
	✓	3	3	G-W	Link awards and performance appraisals to established performance milestones and goal achievement – use them to encourage individual growth, action orientation and acceptance of reasonable risk.
✓		1	1	G-W	Promote awareness of Special Act and On-the-Spot awards available to civilians.
	✓	2	3	G-W	Identify Performance/developmental needs and make them part of developmental/performance plan for next performance period.
	✓	2	3	G-W	Provide opportunities for employees to evaluate their supervisor – i.e. 360° performance review – and provide management information for rewarding or developing good supervisory skills and behaviors.
	✓	3	3	G-W	Review and amend position descriptions to reflect necessary competencies to meet mission/performance requirements. New PDs should be "dynamic" and reflect changing requirements, standards and best practices as the environment changes.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
					PERSONAL DEVELOPMENT - Individual Development Plans (IDPs)
	✓	2	1	G-WTL	Create IDP guidance with clear directions, accountabilities and responsibilities for employees, supervisors, mentors, and career counselors, (refer to National Institute of Health (http://wflc.od.nih.gov/wflc/careers/idp/goals.html) and Department of Agriculture (http://www.usda.gov/ocfo/devpdm/rdcpepdf.pdf).
	✓	2	1	G-WT	Develop an IDP policy statement.
		2	3	G-W, CFP, CIO	Use Computer Based Training (CBT) and a variety of media (ALCOAST, e-mail, web-pages, CG Magazine, pay-check notes, etc.) to train/explain use of IDPs.
	✓	3	3	G-WT	Provide opportunities for all employees to receive training in the effective use of IDPs.
	✓	3	3	G-WT	Encourage/require IDP's as part of every application package for Coast Guard-sponsored training. (OPM and Department of State already require this to ensure training requests are linked to required skills and developmental needs).
	✓	2	3	G-WT	"Lead the charge" (G-W) by (1) sending an ALCOAST explaining the IDP, (2) doing an IDP Flag Voice, and (3) measuring compliance with, and effectiveness of, IDPs.
	✓	2	3	G-WPC	Address IDPs in the EARS instruction.
	✓	2	3	G-WPC	Present IDPs to every new employee and a sample (with explanation) be included in a unit welcome aboard package.
	✓	2	3	G-WPC	Provide orientation training that includes topics on professional development and the use of IDPs.
	✓	2	3	G-WT	Review IDP discussion in the Civilian Personnel Procedures for Supervisors course and emphasize the role of the supervisor.
	✓	2	3	G-WTL	Include a segment on IDPs in the Civilian Orientation Course.
	✓	2	3	G-WTL	Design a follow-up survey in the Career Enrichment Seminar to determine if employees use the IDP skills they learned in the class.

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
PERSONAL AND FAMILY SUPPORT PROGRAM					
✓	✓	1	3	G-W	Identify changing workforce needs with a simple, cost-effective survey tool.
	✓	2	3	G-W	Regularly measure the Coast Guards satisfaction of workforce needs.
✓		1	3	G-WP	Provide a matrix to all supervisors (military and civilian) showing the role and services of the CSA.
	✓	3	3	G-W	Add/delete/amend CG-provided services to meet changing needs.
CAREER MANAGEMENT					
✓		1	1	G-WT	Provide on-demand access to existing professional development resources available to the civilian workforce.
	✓	3	3	G-W	Describe and publish career development strategies for all civilian personnel, broken down to the series level.
		3	3	G-W	Identify and publicize known career path opportunities.
	✓	3	3	G-W, CIO	Use “push” technology, in which notices of new information are automatically forwarded via e-mail, to notify interested parties when jobs come open.
	✓	2	3	G-W, CIO	Add professional/career development competencies to the evaluation system.
		2	3	G-W	Publish professional development opportunities and statistics in various media.
✓	✓	1	3	G-W, G-CCS	Encourage/require career ladder positions be filled at lowest level, providing opportunities for development within position. Provide supervisor incentive to hire employees into developmental/career ladder positions by making new policy to charge pay account for career ladder employees actual salary , rather than full cost of highest grade within position.
✓		1	3	G-W	Monitor DODs “broad-banding” demonstration project for civilian personnel management.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
					ORGANIZATIONAL KNOWLEDGE
	✓	2	1	G-WT	Present basic organizational information to teach new Coast Guard employee as part of the civilian orientation process, including:
		2	3		Provide new employees with Coast Guard organizational structure and relationship to ONE DOT.
		2	3		Provide new employees with Coast Guard strategic plan and current year goals and business plan.
✓		1	3		Provide each new employee with an equivalency table (civilian/military) to be included as part of check-in procedure.
	✓	2	1	G-WT	Develop a year-long, self-directed, orientation program using CBT technologies, video, and interactive experience that each new civilian must complete successfully during his/her "probationary" first year. Let this replace the current, week-long, non-resident training class currently available to a small percentage of GS-9s and above.
		2	3	G-WT	Present knowledge of basic organizational issues (goals, directorate organization, etc.) to each new Coast Guard employee as part of the civilian orientation process. Include a form that provides a hardcopy of orientation discussion signed by employee and supervisor.
		2	1	G-WT/G-I	Develop one, organization-wide, multi-media version of CG history to be shown at all civilian orientations and all military indoctrination.
		3	3	G-WT	Make basic information available on demand to reinforce employee's initial learning.
		3	3	G-WT	Develop on-line learning opportunities for supervisors and managers that include union representation, fair and unfair labor practices, the legislative and budget processes, etc. as a required part of professional development.
		3	3	G-WT	Develop computer-based model or a reference handbook with information on Coast Guard and DOT organization that links individual jobs with the organization and strategic goals.
		3	3	G-WT	Upgrade existing database of COMDTINSTS, policies, etc. for a plain language (8th grade level) Employee Desk Reference Guide web site of up-to-date policies and procedures.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
		2	1	G-WTL	Establish policy to facilitate rotational assignments for employees within and between Coast Guard units and organizations, and between Coast Guard and external organizations (i.e. between suppliers, customers and stakeholders). This will not only improve Coast Guard organizational knowledge but will facilitate communication, trust, and the understanding and development of good customer service habits among and between people of interdependent organizations.
					PROGRAM AND PROJECT MANAGEMENT
	✓	3	3	G-C	Develop policy on using risk-based decision-making to manage programs and projects.
	✓	3	3	G-C	Include provision for rewarding and recognizing innovation, including calculated risks that resulted in failure.
		3	1	G-C	Teach and encourage empowerment – it’s become a trite by-word that people are tired of hearing. It is hard to be risk-averse and empower others to make decisions without micro-managing and discouraging innovation.
					SHELFWARE
✓		1	1	G-WT	Post the result of this and other assessments on the web for all to read.
✓		1	1	G-WT	Act on the results of all of the needs assessments as quickly as possible. We included a list of “stroke of the pen” recommendations that can be enacted without great delay.
		2	1	G-WT	Consider all of the recommendations from this and the other completed needs assessments, together, in total. (FF21 workgroup)
	✓	3	3	G-WT	Develop an implementation plan for Coast Guard-wide distribution and tracking on the web, so the cynics, realists, and optimists can all measure progress together.
✓	✓	1	3	G-WT	Leadership communicate proactively and frequently on this and other surveys – the workforce is becoming weary of surveys and studies that repeat themselves, take productive time, delay change, and make more cynics.
	✓	2	3	G-WT	SES members of the Guidance Team suggested that the USCG SES Corps lead implementation of the recommendations. CIVNA Team recommends that G-W/WT engage SES community.

Appendix 7. List of CIVNA recommendations (continued).

"Stroke of the Pen" Items	Policy Changes	Difficulty: 1 – Easy, quick 2 – Redirect staff, & \$\$\$ 3 – long-term commitment	Progress: 1 – underway 2 – completed 3 – no progress	Responsibility	RECOMMENDATIONS
					MILITARY/CIVILIAN CULTURAL INTERFACE
	✓	2	3	G-WT	Fill all civilian billets quickly. Every Coast Guard member shares in the total workload, so long as any billet is vacant others must pick up the slack. A vacant civilian billet means that all others, both military and civilians, must work a little harder just to meet organizational goals. Every vacant billet taxes every filled billet.
	✓	3	1	G-WT	Ensure parity between civilian and military workforces for training, professional development, and leadership and supervisory opportunities.
		2	3	G-WT, CIO	Develop web page for military/civilian crossover issues (frequently asked questions).
✓		1	3	G-WT	Encourage military and civilians together to work together on mentoring programs so each can learn the other's structure, values, and perspectives.
	✓	2	1	G-WT	Introduce civilian workforce awareness (value, policy, differences) earlier in military career (i.e. USCG Academy, OCS). Add a segment to curriculum of all indoctrination classes and orientation.
✓	✓	1	3	G-C	Include civilians on military promotion boards, particularly SESs on flag selection boards.
					ATTRITION & WORKFORCE MANAGEMENT
✓	✓	1	1	G-W	Make exit interviews a mandatory piece of the checkout/discharge process!!
	✓	2	3	G-W	Create developmental positions for interns, new hires – akin to developing a USCG “farm club” for accession to the “major leagues” thereby replenishing the ranks of retiring workers.
✓	✓	1	3	G-W	Routinely measure performance of civilian personnel management system and post the results.
	✓	2	3	G-W	Engage users in fixing systemic problems.

Appendix 8

Team Members

Civilian Needs Assessment Team:

Mr. Frank S. Wood, Chairman (NPFC)

CDR Keith Cameron (G-MRP)

Mr. Frank Taraborelli (AR&SC)

Ms. Tracy Harvey (GroupAirSta Atlantic City)

Ms. Cynthia (CJ) Johnson (ISC WLS Alameda)

Mr. Barry Levine (USCGA) (resigned 5/2000)

Ms. Paulette Hooe (ISC New Orleans)

Ms. Shirley Rochon (G-SRF)

BMCM Diane Bucci (HSC) (transferred 5/99)

Ms. Lois McBrayer (LantArea Ops) (retired 12/99)

Ms. Cathy McDermott (G-I)(resigned 9/99)

Mr. Brian Jones (G-WTR)

Ms. Cora McVey (G-WTL)

Ms. Jennifer Kraly (contractor facilitator) (USCG employee 4/2000)

Mr. Paul Robbins, Performance Technology Consultant (PTC Petaluma)

LCDR Cathy Tobias, Performance Technology Consultant (G-WTT)

Guidance Team:

CAPT Bienvenido Abiles, Chairman (G-WTL) (retired 1/2000)

Mr. William Campbell (G-CFP)

Mr. Jerry Yoest (G-CI)

Mr. Jeff High (G-MW)

Mr. Robert Horowitz (G-L)

Ms. Brenda Beasley (G-A-2)

Mr. Paul Glahe (G-SR)

Ms. Nancy Raum (G-WPC)