

## Lesson 2

# DoN Unit TQL Implementation Approach

### Introduction

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Every organization is different, with differing missions, work processes, personnel, resources, capabilities, opportunities, and constraints. Due to these and other differences, each will have a slightly different approach to transforming the organization through quality principles and tools. Despite these differences, there are common elements that should be present in every organization's Total Quality Leadership (TQL) implementation strategy. For example, every organization will need to consider what preparation is required to implement TQL -- what roles members of the organization will play, how to structure, what the relationship between the various elements will be, how process improvement efforts will be developed and managed, and how will an enabling environment will be created.

The Department of the Navy (DoN) TQL unit implementation approach is designed to provide organizations with a structured approach to address these and other questions concerning TQL implementation.

### Objectives

Upon completion of this lesson, the student will be able to:

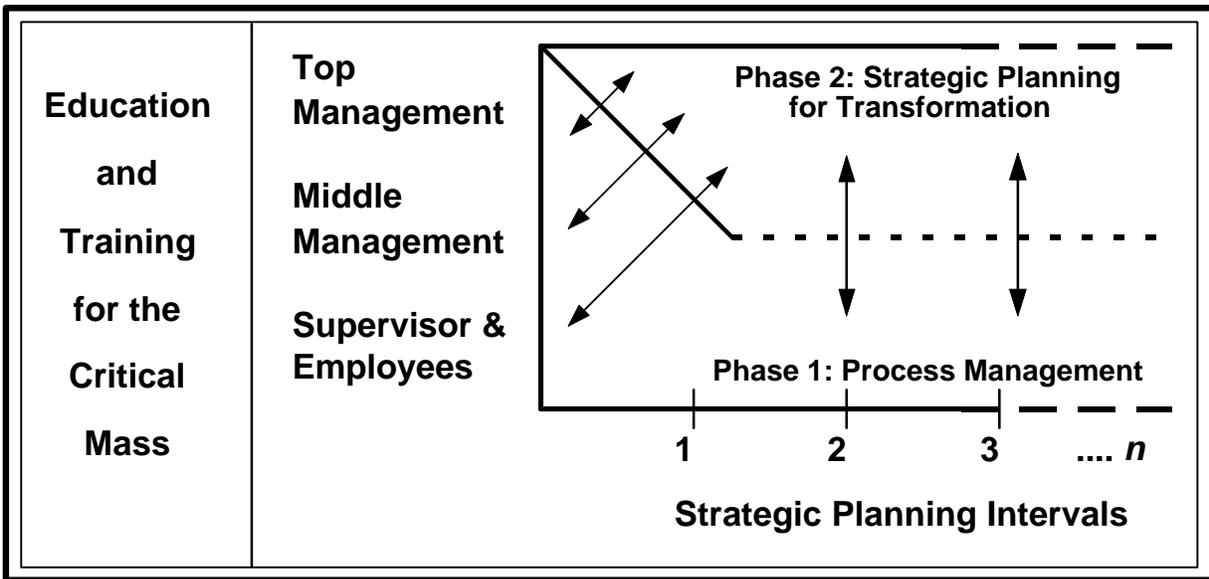
- **Identify the elements in the DoN TQL unit implementation approach.**
- **Describe the relationship among the elements of the model.**
- **Describe the DoN two-phased approach to implementing TQL.**

***“Hope is not a plan”***

anonymous

## DoN TQL Implementation Overview

The TQL implementation approach adopted by the DoN is a two-phase approach. As we learned in Lesson 1, Phase one, which is characterized by start-up activities, is the focus of this course. **Phase one--Process Management** focuses on process improvement activities, and on the initial education and training required for these activities. **Phase two--Strategic Management** is characterized by long-termed transformational activities intended to more dramatically and extensively change the organization.



**Figure 2.1 Two-Phase Approach to TQL Implementation**

In Figure 2.1, the horizontal axis represents time, while the vertical axis represents levels of management. The bi-directional arrows indicate an increasing interaction between process improvement and strategic planning. As illustrated, initial TQL implementation efforts are devoted to process improvement activities, and are conducted almost solely by managers. These activities, which are elements of this course, include preparation of the top leaders, conducting pilot projects, utilizing the quality improvement team structure, developing a quality philosophy, and creating the environment to support continuous process improvement efforts. As top leaders learn more about the quality of their organization's service to the fleet, they begin the transition to planning a strategy for transformation. These activities are management's new job. They include job and organizational redesign, policy changes, and changes to the social, technical, and political subsystems of the organization. In the future, all members of the organization will become involved in process improvement initiatives.

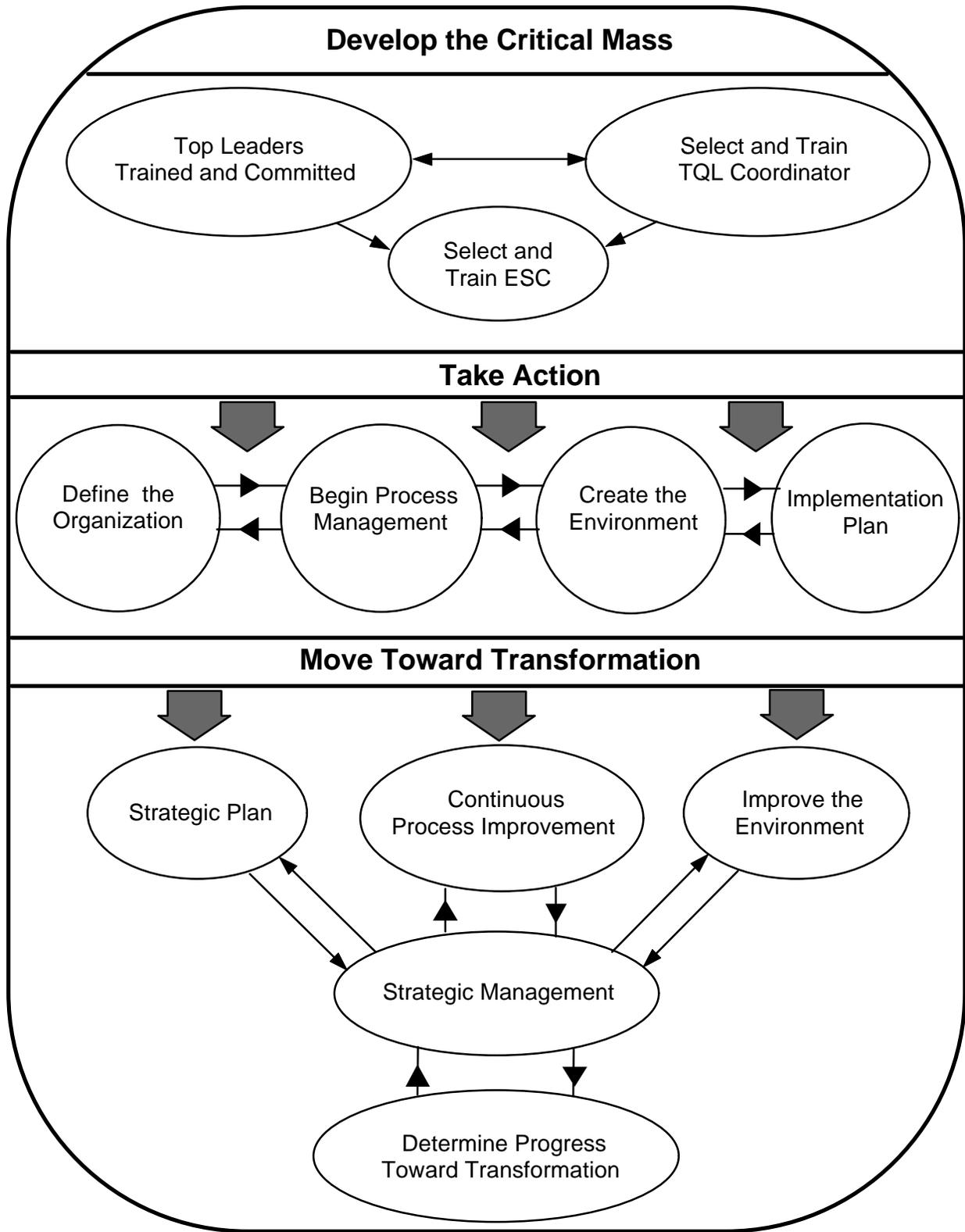


Figure 2.2 The DoN Implementation Approach

## The DoN TQL Unit Implementation Approach

The arrows contained within the DoN TQL Implementation Approach Model, shown in Figure 2.2, represent relationships as much as (if not more than) sequence. The arrows between “Begin Process Management” and “Create the Environment” implies that your efforts in training will be reinforced during actual application. Additionally, you will learn points you may need to emphasize more in future training as a result of what you learn during your process management activities. Each arrow and set of arrows should be analyzed for the same type of relationship. These relationships will be explored as each element is discussed in this model.

- **Provides a blueprint for planned organizational change**

The DoN Total Quality Leadership unit implementation approach provides a blueprint for planned, systematic organizational change and transformation. Its basic elements can be thought of as building blocks which serve to shape or inspire the actions of organizational leaders and members. There is really no “one way” through the model. Flexibility in the model allows leaders to develop their plan based upon what has worked for many DoN organizations and private firms, and what will make the most sense for them.

- **Is not a cookbook or checklist**

Many leaders who begin to implement TQL look for a step-by-step checklist, but TQL implementation is different. It requires the top leaders of the organization to develop their own plan using the DoN TQL unit implementation approach as a guide. There is a certain sequence implied within the model, but it should not be considered restrictive in nature.

- **Has a logical sequence**

Some elements of the model should be followed in sequence, whenever possible. **The top leaders and the TQL coordinator should be the first people who are educated and trained.** Top leader education, preparation, commitment, and support are essential ingredients of successful organizational change. Initial implementation planning activities, process management activities, and efforts to create a quality focused environment can be harmful if the leaders take actions without adequate preparation and knowledge. While continuous process improvement needs a strategic focus to guide improvement efforts, strategic management cannot be DoNe without strategic goals to guide the supporting plans.

- **Should be implemented from top to bottom**

Just as the DoN TQL unit implementation approach is top down and requires top leadership support and commitment, the elements at the top of the model should be established before the elements at the bottom. Thus, the top leader should be trained

and committed before process management has begun. Progress cannot be determined before certain actions have begun, such as pilot projects, implementation planning, and/or creating and improving the environment.

- **Has elements which may be simultaneously executed**

Although there is a general sequence to the model, it is important to realize that many of the elements can be carried out simultaneously. **Leaders should not think that one element has to be completed before moving on in the sequence.** In fact, some of the elements may begin at approximately the same time, and as time goes on, many of the elements will be going on at once. The training of the top leader will continue for quite some time and the leader's commitment will grow as implementation efforts develop. Once the top leaders and the coordinator have some knowledge of quality and have developed an initial quality philosophy, they can start process management. While process management is progressing, the leaders are, by their very actions, creating a quality focused environment.

- **Has elements with a beginning, but no end**

While most of the elements have a beginning, they may have no ending. Each continues and leads to others, eventually shifting the organization toward being strategically managed and led. For instance, while the organization may start off with pilot projects, they will eventually transition to continuous process improvement as an ongoing activity. Once the initial Implementation plan has been developed it will go through iterative cycles of re-examination and development. The education of the top leaders has a beginning, but should never end.

- **Has a different pace in each organization**

Implementation of this model should be allowed to proceed at each organization's own pace. Implementation is not a race to see who can have the most teams up and functioning first. Organizations that have taken this approach may see enthusiasm wane when the task of implementation begins. It is more important that the top leader truly understand the logic and philosophy behind the elements within the model, so they can begin to develop and implement a long-lasting change within their organization.

## **Elements of the Model**

The elements presented in the DoN TQL unit implementation approach will be briefly introduced and discussed. ***Detailed information on each Phase One element can be found throughout this course.***

## Establish a Critical Mass

The critical mass begins to be established as the top leader forms an Executive Steering Committee (ESC) to lead and guide the transformation, they also select a TQL coordinator to advise and assist them in the transformation.

- **Top leader trained and committed**

The process of implementing TQL should begin with a commitment from the top leader of the organization. Commitment of the top leader in an organization can occur in a variety of ways. The top leader may hear of the philosophy from other leaders and decide to try it. Implementation may be directed from a higher-echelon organization. Attendance at the Senior Leader's Seminar may convince the top leader to adopt the philosophy. The top leader may even become committed through the efforts of the TQL coordinator.

Whatever the method, commitment of the top leader is critical to the success of the implementation efforts of the organization. Lesson 4 deals with the roles and responsibilities of the top leaders, commitment, and how the TQL coordinator can help build the commitment of the top leader team (CO & ESC).

Once the top leader becomes committed to at least trying to implement TQL, two separate actions are required; a TQL coordinator will need to be selected and trained, and the leader will need to select and train members of the ESC.

- **Select and train the TQL Coordinator**

The TQL coordinator can be selected by the top leader as the first step in preparing the organization for beginning TQL implementation efforts. The TQL coordinator should also assist the top leader in the selection and training of the ESC. Another alternative is for the top leader to select the ESC first, and they then assist the top leader in selecting the TQL coordinator. **Once selected and trained the TQL coordinator takes responsibility for training the top leader team.** The roles and responsibilities of the TQL coordinator are covered in Lesson 5.

- **Select and train the Executive Steering Committee**

The ESC is comprised of the senior leaders and managers (system owners) of the organization. The members of the ESC will vary from one organization to another. The top leader decides who will be a member of the ESC. If a TQL coordinator has already been appointed, he/she can advise the top leader on the criteria for selection to the ESC.

The primary criterion for selecting ESC members is to choose people who control the resources within the organization and can significantly influence how business is

accomplished. The roles and responsibilities, and selection criteria for the ESC are covered in Lesson 4.

## Take Actions

Once the top leaders and the TQL coordinator are educated, and committed to begin formal TQL efforts, the question then becomes, “What initial actions should we take to begin to accomplish the transformation?” The following are recommended to begin Process Management . . .

- **Define the organization**

Point number one of Dr. Deming’s 14 points is “Create and publish to all employees a statement of the aims and purposes of the organization.” A good starting point in the organization’s beginning phase is to recognize that the aim is to “improve mission performance.” Since they are striving to identify the command’s significant processes that impact mission requirements, they must reach agreement as to what the command’s mission is! Three elements are included in what we often refer to as the *mission triad* they are; Who we are, What we do (products, services, functions), and Who we do it for (customers, stakeholders, end-users).

Secondly, the ESC should discuss and develop a Quality Philosophy. The Quality Philosophy is a system of fundamental or motivating principles that form the basis for action or belief within an organization. Since the Quality Philosophy cannot be passed down from higher authority and serves to guide your organization’s daily actions, it should be developed by each ESC for their specific organization. The Quality Philosophy also sets in motion the study and associated actions to help everybody understand Dr. Deming’s point #2 “Adopt the new philosophy, top leadership and everybody. . .”

- **Begin process management**

The organization’s primary emphasis during phase one is to establish and promote continuous process improvement throughout the organization. Initially, the ESC may need to do a *Pilot Project* to practice and learn how to effectively manage process improvement within the organization. Pilot projects are the “baby steps” an organization takes to get started with process improvement. Pilot Projects are discussed in Lesson 11.

The ESC then begins command-wide process management. That means the identification and improvement of all the processes that have a significant effect on mission performance. These significant processes are identified, stabilized and improved. Managing and systematically improving mission-significant processes is central to TQL. Identification of significant processes is discussed in Lesson 10.

- **Create the environment**

The proper environment is critical to phase one efforts. As discussed in lesson 1, the organization's initial quality efforts will primarily focus on the technical system, the cultural system will undoubtedly be affected as well. The ESC should understand what culture is, its relationship to environment and how to manage the process of change in culture and environment. An environment conducive to quality will allow TQL implementation efforts to flourish. The TQL environment is discussed in Lesson 6.

In order to target areas in the environment that need improvement, organizational assessment is necessary. Organizational assessment methods allow the top leader to clearly see the areas that need improvement. Lesson 7 describes how to measure aspects of the organization's environment, and introduces a number of assessment instruments.

- **Implementation Plan**

Leadership demonstrates its commitment by developing an implementation plan. The implementation plan serves as a road map to the organization's quality efforts. Its purpose is to describe the specific actions and steps required to establish an *environment of quality*. The implementation plan is discussed in Lesson 12.

## **Move Toward Transformation**

**The aim of the second phase of implementation is to establish the practice of strategic management.** As a supporting phase of TQL implementation, strategic management will allow you to pursue process management throughout your command as an everyday way of doing business.

If process management is to be practiced continually throughout the organization by every leader and manager, many changes are required. As was discussed in Lesson 1, changes this extensive are called transformational. "Comprehensive--entire organization--permanent changes" emphasize the scope of the changes required in order to practice "total" quality. Phase two activities should continue and build on the progress made during phase one.

- **Begin initial strategic planning**

The process adopted by the DoN for making changes during phase two is **strategic planning** (Doherty & Howard, 1994). The particular approach described by Goodstein, Nolan, and Pfeiffer (1992) has been adopted and modified for use within the DoN.

Note-TQLO publication no. 94-02, *Strategic Planning : A handbook for practitioners by Wells and Doherty* (1994) should be consulted for additional information.

Armed with the information learned through process management the organizational leaders should consider whether or not to develop the initial strategic plan. Initial strategic planning is a natural vehicle to move the organization into strategic

management activities, and to formulate a plan for more “total” efforts in quality, **but, not all organizations have to do a strategic plan.** Many organizations already have a well-defined mission, and take their direction from higher levels in the DoN.

The initial strategic plan is comprised of a mission statement, a vision statement, guiding principles, and strategic goals. As we discussed earlier the mission statement defines for the organization its purpose for existence by addressing what it does and why it does it. A vision statement defines the desired future state of the organization. Guiding principles are the values and beliefs that the top leaders feel are important to guide daily operations. Goals are created to move the organization toward it’s vision.

- **Promote continuous process improvement**

Continuous Process Improvement (CPI) will naturally evolve from process management efforts and will be enhanced through the initial strategic planning efforts. Long-term CPI activities are tied directly to the strategic goals of the organization. The strategic goals may have been developed by the organization, or handed down from a higher authority.

- **Improve the environment**

During phase one many actions will be undertaken to create change in the organization. That change will undoubtedly interrupt the culture within the organization. A critical element in transformational change efforts is culture. A strategic change model will be utilized by the organization as it attempts to create broader, enduring change to its culture and environment.

- **Promote strategic management**

Strategic management is the organization’s first attempt to integrate strategic planning and process management into a single system of management. The focus of implementation shifts more to continuation and growth. In a sense, effective strategic management is the goal of initial implementation efforts.

In this element, the ideas contained within the initial strategic plan are translated into actions and deployed throughout the organization. Strategic goals are developed that support the accomplishment of the mission, vision, and guiding principles developed during initial strategic planning. As part of strategic management, specific strategies, objectives, and supporting plans are developed that will accomplish these strategic goals. In essence, these steps determine what the organization needs to fulfill its mission and reach its vision in the manner desired.

It is also important to understand that the initial mission, vision, and guiding principles developed during initial strategic planning are not static documents created and then filed away. They are living, dynamic documents that should reflect the goals of the organization. They must be referred to often and updated frequently as conditions change and the top leaders become “smarter” about the philosophy and the organization. Updating the strategic plan is also part of strategic management.

A new handbook on Strategic Management has been developed by the Department of the Navy Total Quality Leadership Office to assist organizations. The handbook is titled "*Strategic Management for Senior Leaders - A Handbook for Implementation*"

- **Determine progress toward transformation**

At some point in time, the top leaders of the organization will come to realize that they need to take stock of the effectiveness of their implementation efforts. Specific actions to check on the progress of the organization, and identify actions to continue the transformation are undertaken here. Leaders use information about the internal environment to target areas that need improvement, and use information from the external environment to determine organizational opportunities and constraints. Top leaders may wish to compare processes in their own organization to other organizations by benchmarking. All of this information and data can be used as input to subsequent strategic planning efforts, to position the organization for change, and to anticipate customer requirements.

The top leaders should also evaluate the effectiveness of education and training on a periodic basis. Measures of training effectiveness will pinpoint areas that need to be updated or stressed due to emerging requirements or increased sophistication of the work-force. The top leaders must understand that these assessments must not be used as inspections or evaluations of subordinates. They allow the leaders to know where the organization is, so they can plan where the organization wants to go.

# Lesson 2

## DoN Unit Implementation Approach

### Summary

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- The TQL Implementation approach adopted by the DoN is a two-phased approach.
- Each organization adopts the approach to meet individual organizational needs.
- Initial efforts will involve developing the critical mass.
- The *action* phase of initial efforts will involve establishing the foundations for transformation.
- The second phase of implementation involves actions designed to expand transformation efforts to the whole organization.

### Readings

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Doherty, L. (1990). *Managing the Transformation: A Two-Phase Approach to Implementing TQL.*, Navy Personnel Research and Development Center, San Diego, CA, pp. 1-6.

Hubiak & O'Donnell *Do Americans Have Their Minds Set Against TQM?*, National Productivity Review , Summer 1996

Kotter, J.P. *Leading Change--Why Transformation Efforts Fail*, Harvard Business Review March-April 1995