

Note: November 2022.

This Directive may no longer be current. Please check with the program office responsible for this Directive to determine if there are any updates or if the Directive is no longer in use.



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COMDTINST 5224.5  
22 AUG 2014

COMMANDANT INSTRUCTION 5224.5

Subj: CHANGE MANAGEMENT: THE PEOPLE SIDE OF CHANGE

Ref: (a) Coast Guard Leadership Development Program, COMDTINST 5351.1 (series)  
(b) U.S. Coast Guard Configuration Management Manual, COMDTINST M4130.6 (series)

1. PURPOSE. This Instruction describes the Coast Guard’s policy regarding the management of change with particular emphasis on, but not limited to, large scale enterprise wide changes. It describes the Coast Guard-wide change management model, the practices and methods associated with that model, and the standard set of web-based tools that are available to change-leaders at every level, and in every location, throughout the Coast Guard. Most importantly, it describes an approach to help leaders determine when the use of a formal, structured approach to managing change will increase the likelihood of success.
2. ACTION. All Coast Guard unit commanders, commanding officers, officers-in-charge, deputy/assistant commandants, and chiefs of headquarters (HQ) staff elements shall comply with the provisions of this Instruction. Internet release is not authorized.
3. DIRECTIVES AFFECTED. None.
4. DISCUSSION.
  - a. Though almost a cliché, the world is changing faster and with broader scope every day. Whether it is the adoption of a new enterprise C4IT system, restructuring business units, or changing policy and processes, a proven, consistent and structured approach to leading change at all levels is essential to achieving success.
  - b. The Coast Guard’s future will likely be just as turbulent as its past. Creating and maintaining the future operating capability will require the **ability to continuously adapt**, reconfigure, and move quickly to meet challenges and solve problems. This ability remains one of our greatest enduring

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values to the nation. Every adaptation, reconfiguration, and opportunity we act upon will require some degree of change. We will be doing something new, or doing something differently. Although the Coast Guard has always demonstrated some ability to adapt, it is often with much distress and often takes much longer than it should. **Change is hard**; harder still when we consider the “people side” of change.

- c. The Coast Guard understands the importance of understanding change. As described in Reference (a), “Leading Performance and Change” is one of the four categories of the Service’s 28 leadership competencies. Coast Guard leaders at every level need to be capable of leading change – not necessarily experts, but competent. In the context of performing the Coast Guard missions which fully occupy our resources, the most efficient way to gain the necessary competence is by using a common, structured approach, complete with common tools and specific practices. Similar to the configuration management principals described in Reference (b), there is a logical series of steps that must be taken to effectively and efficiently manage change. Best practice research describes an unambiguous connection between a structured approach to managing change and the success of the change initiative. Further, this can be linked to results. Invoking a formal method to manage the people side of change at the earliest stages of a project or other change effort can dramatically increase the likelihood of success.
  - d. After considerable review of the many approaches available, the Coast Guard has chosen the method and tool set developed by *Prosci Research Inc.*, and has contracted for the use of *Prosci’s* web-based learning center and all of the practices and tools they have developed. These resources include checklists, assessments, planning templates, white papers, textbooks, and presentation and report templates. They are available to everyone in the Coast Guard – military, civilian, active duty, reserve, and contractors while supporting Coast Guard contracts – for the purpose of leading change *systematically*.
  - e. Definitions. The following is a list of definitions related to Change Management.
    - (1) Organizational Development. A systematic process for increasing individual and organizational effectiveness.
    - (2) Change Management. It is the bridge between solutions and results, and is fundamentally about people and their collective role in creating successful outcomes for the organization.
    - (3) Change Agent. Leaders who develop and/or support the arguments and coalitions to effect change in organizations from all levels of the organization.
    - (4) Stakeholder. A person or group who has a vested interest in the organization and/or group and can affect or be affected by change within the organization.
5. DISCLAIMER. This guidance is not a substitute for applicable legal requirements, nor is it itself a rule. It is intended to provide operational guidance for Coast Guard personnel and is not intended to nor does it impose legally-binding requirements on any party outside the Coast Guard.

6. ENVIRONMENTAL ASPECT AND IMPACT CONSIDERATIONS.

- a. The development of this Instruction and the general policies contained within it have been thoroughly reviewed by the originating office in conjunction with the Office of Environmental Management, and are categorically excluded (CE) under current USCG CE # 1 from further environmental analysis, in accordance with Section 2.B.2. and Figure 2-1 of the National Environmental Policy Act Implementing Procedures and Policy for Considering Environmental Impacts, COMDTINST M16475.1 (series). Because this Instruction contains guidance on, and provisions for, compliance with applicable environmental mandates, Coast Guard categorical exclusion #1 is appropriate.
- b. This Instruction will not have any of the following: significant cumulative impacts on the human environment; substantial controversy or substantial change to existing environmental conditions; or inconsistencies with any Federal, State, or local laws or administrative determination relating to the environment. All future specific actions resulting from the general policies in this Instruction must be individually evaluated for compliance with the National Environmental Policy Act (NEPA), Council on Environmental Policy NEPA regulations at 40 CFR Parts 1500-1508, DHS and Coast Guard NEPA policy, and compliance with all other environmental mandates.

7. DISTRIBUTION. No paper distribution will be made of this Instruction. An electronic version will be located on the following Commandant (CG-612) web site. CGPortal:  
<https://cgportal2.uscg.mil/library/directives> .

8. RECORDS MANAGEMENT CONSIDERATIONS. This Instruction has been evaluated for potential records management impacts. The development of this Instruction has been thoroughly reviewed during the directives clearance process, and it has been determined there are further records scheduling requirements, in accordance with Federal Records Act, 44 U.S.C. 3101 et seq., National Archives and Records Administration (NARA) requirements, and the Information and Life Cycle Management Manual, COMDTINST M5212.12 (series). This policy has significant or substantial changes to existing records management requirements.

9. SUMMARY OF KEY CONCEPTS AND METHODS.

- a. To effectively manage change at the organizational level a process is essential. The basic process for managing change includes some preparation, actually doing something, and then making sure it is accomplished and is sustainable. The *Prosci Research Inc.* process for managing change is depicted in Figure 1.

## Change Management Process

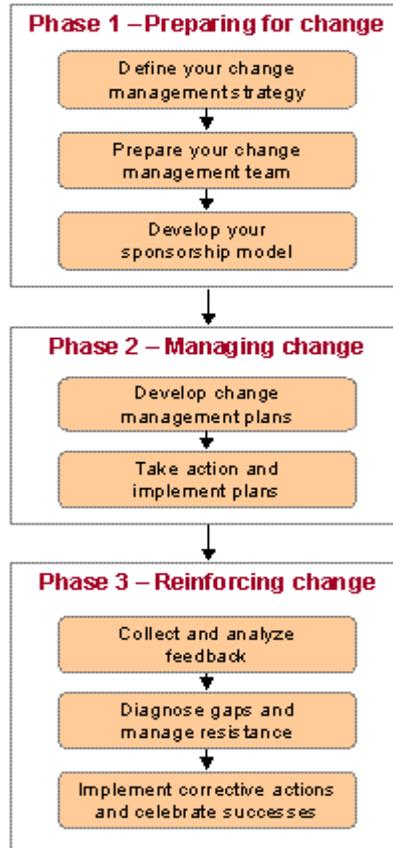


Figure 1

- b. This step-by-step sequence is supported by extensive best practice research. Failing to address each step in the order shown above reduces the likelihood of success. For a change as large and complex as restructuring business units, each step may require considerable effort by a team of people dedicated to the effort. However, not every change effort is of this scope (e.g., changing a long standing watch rotation, creating a new team structure within a staff), as some may only require the change agent to spend a quiet hour thinking through the steps in simple and informal terms. The key is attending to the implications of each step and determining how much formality is required. Additional guidance for assessing the degree of formal structure necessary to manage a given change is provided in section (c) below.
- c. A tool or method has utility only to the degree that it is **used when it should be**, and not used when it shouldn't be. The same is true of the tools and methods described here. If it were mandated that this approach – each small step – “shall be used any time anyone changes anything” it could get a bit tedious and waste a tremendous amount of time and resources. On the other hand, to **not** use a structured approach for something as complex as restructuring business units or implementing a new Coast Guard strategy or system would likely result in failure. Moreover, failed change efforts make it seem as if the organization was not serious about the change from the start, which increases cynicism.
- d. Change can fail in many ways. According to research, a majority of all conventional business-driven change efforts fail to accomplish their intended outcome. This is often due

to the lack of attention to the people side of the change. As shown in Figure 2, at one end of a continuum, no attention to specific change issues is given, while at the other end is a formal, structured, fully resourced approach. Paying no attention to the people aspect of change will decrease the likelihood of success. But a neutral position, or even a slightly positive one, can be created just by reviewing the list of change process steps above and making a decision about what to look for and what actions to take. As the change becomes more complex, and the risk of failure greater, moving to the right on the continuum is appropriate.

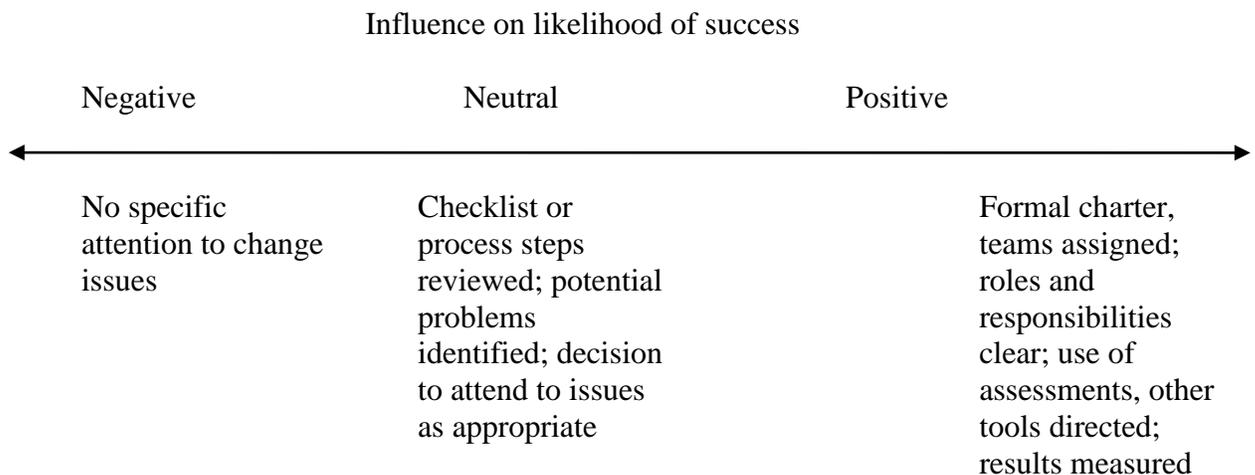


Figure 2

- e. Factors to consider when deciding how formal and structured of an approach is needed would include the below:
- (1) Scope of the change: The number of workgroups, divisions, teams, etc. affected by the change.
  - (2) Size of the change: The number of stakeholders and employees affected by the change.
  - (3) The type of change.
  - (4) Extent to which the change involves process, system and/or job roles.
  - (5) Level of organizational restructuring.
  - (6) The history of past change efforts.
  - (7) Timeline for making the change.
  - (8) Consequence of failure.
  - (9) Resources available.

(10) Need for change.

- f. Research studies conducted by *Prosci* affirm active executive sponsorship as the critical component in determining the success of a change initiative. Often executives will support the change initiative, but this is **much** different than **sponsoring** it. Further research showed almost 60% of executive sponsors had little to no understanding of their role in the change process. Change agents must assist and coach sponsors in understanding their roles and responsibilities throughout this process to ensure they are visible and active participants.
- g. These and other factors particular to the specific organization and the specific change effort will affect the decision to apply a formal, structured process as early as possible in the project. The tools in the *Prosci* Toolkit include the Change Characteristics Assessment, a worksheet to guide the change agent with developing change management strategies, the Organizational Attributes worksheet, describing the relevant attributes of the organization involved, and a Change Triangle Assessment that includes questions about leadership, project management approach, and change management approach. Any or all of these can inform the leader about the benefits and costs of a formal, structured approach, but the checklist below is probably the minimum set of issues to consider and act on to ensure some degree of success in managing the change.
- h. A checklist for the change agent to get started in preparing for the change can be found within enclosure (1).

10. RESPONSIBILITIES. Leaders at all levels shall become familiar with the annotated method and tool set, and encourage consideration of these methods and tools when appropriate. Leaders are encouraged to visit the contracted web site, log in, and view a short tutorial. This takes about 10 minutes to complete, and provides the participant with a quick overview of the process and resources available.

- a. Go to the CG Portal Change Management Community of Practice page. Then scroll down to *Getting Started, How do I get started*, and then click on *Community of Practice*. Once into the Community of Practice log into the change management site and enter the user name and password provided on the bottom of the page to get to the tutorial.
- b. The Link is  
<https://cgportal2.uscg.mil/communities/change-management/SitePages/Home.aspx>

11. RELATED RESOURCES AND REFERENCES:

- a. A link to the general *Prosci* site: <http://www.prosci.com/>  
(Links to the contracted learning center and tools, user ID and password reside within the CGPortal site described above).
- b. Within the e-learning center and CG Portal site, there are numerous articles and short texts available in pdf form. They may be read on-line or downloaded for your personal use. Our

license requires that you not distribute them in any form to anyone not a Coast Guard member, employee, or contractor specifically involved in Coast Guard work.

12. FORMS/REPORTS. None.

13. REQUESTS FOR CHANGES. Recommendations for changes and improvements to this Instruction shall be submitted via the chain of command to the Future Force Division, Commandant (CG-1B1). Requests shall be sent via email to [Changemanagement@uscg.mil](mailto:Changemanagement@uscg.mil).

D. R. CALLAHAN/s/  
Assistant Commandant for Human Resources

Encl: (1) Change Management Planning Checklist



## Change Management Planning Checklist

### **Change Management Planning**

- Are you using a systematic approach (methodology) for managing change on your project?
- Do you have sufficient and dedicated resources for change management?
- Have you developed the necessary change management plans?
- Have you engaged project teams to explain why and how change should be effectively managed?
- Have you integrated your change management activities into your project management steps?
- Have you presented your change management plans to those involved (sponsors, project teams, etc)?

### **Change Management Readiness**

- Do you have assessments in place to evaluate change readiness?
- Do you have assessments in place to evaluate organizational readiness?
- Do you have mechanisms for assessing the sponsor competency and preparedness?
- Do you have mechanisms for assessing the change management team competency and preparedness?

### **Sponsorship**

- Does your primary sponsor understand the roles and responsibilities?
- Have you enabled your sponsor to deliver key communications that are expected from senior leadership?
- Have you drawn the sponsor model (with leaders from all impacted groups) needed?
- Have you enabled your sponsor to build this coalition with the required senior leaders?

### **Communication**

- Have you identified all of the audiences you need to communicate with throughout the organization?
- Have you identified who the ideal sender of communication messages will be?
- Have you identified what are the most effective channels of communication?
- Have you created mechanisms to enable two-way communication to take place?

### **Coaching**

- Have you created the expectation that managers and supervisors will be coaches of their direct reports?
- Have you prepared coaches to communicate the “what’s in it for me” messages to their direct reports?
- Have you provided the knowledge, training and tools to help supervisors be effective coaches?
- Have you taught your change coaches how identify and respond to resistance?

### **Resistance**

- Have you proactively identified what resistance might look like?
- Have you proactively identified where resistance is likely to come from?
- Have you developed measures to prevent or mitigate resistance before it happens?
- Have you developed an approach to deal with resistance when it does occur?

### **Reinforcement**

- Do you have systems in place to track the adoption and compliance of the new solution?
- Do you have a way to gather feedback from those who are being impacted by the change?
- Do you have mechanisms in place for diagnosing gaps and resistance?
- Have you prepared methods for celebrating successes (even small ones) during implementation?