



26 June 18

Command Resilience Team Guide

Although the words "he," "him," and "his" are used sparingly in this guide to enhance communication, they are not intended to be gender driven or to affront or discriminate against anyone.

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From: Director, 21st Century Sailor Office (N17)

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TEAM GUIDE

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Encl: (1) Command Resilience Team Guide

1. Background. The Command Assessment Team Guide (NAVEDTRA 7542) has been replaced by the Command Resilience Team (CRT) Guide. This guide was developed to guide the CRT through the completion of the Command Climate Assessment process and outlines the roles and responsibilities of the required members of the CRT as outlined in reference (a).

2. Future Revisions. Corrections and recommended changes are invited and should be submitted to the Navy Sexual Harassment Prevention and Equal Opportunity Office (N173) at DSN: 882-2487, COMM: 901-874-2487, or email: mill_navy_eo_advice@navy.mil.



P. E. SOBECK

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INTRODUCTION

1. Purpose. Establishment of a command resilience team (CRT) allows commanders to better understand factors impacting command personnel. CRTs are designed to provide the commander with information and insight into concerns of command personnel in order to implement positive measures to promote well-being and resilience. Resilience is defined as:

“The process of adapting well in the face of adversity, trauma, tragedy, threats or significant sources of stress – such as family and relationship problems, serious health problems or workplace and financial stressors. It means “bouncing back” from difficult experiences.”

2. There are three components of an effective CRT: CRT collaboration, the command climate assessment, and engaged deckplate leadership.

a. Command Resilience Team (CRT). Consisting of command leadership and program managers, CRTs improve command support to our personnel. Once issues affecting personnel are identified, leaders act to support and assist them as always, but they will also pass the information to the CRT. Command instructions will specify the reporting path and mechanism. CRTs will allow leaders to connect the dots on personnel wellness. They will track and link programs to deliver all available resources to personnel, develop best practices and training for both leaders and personnel, and assess root causes for areas of concern. CRTs can also identify at-risk groups (e.g., newly reported personnel, geographic bachelors, etc.) or situations in advance and propose options for mitigation. They provide commanders with visibility of resilience trends across the command and a means to improve support programs and enhance overall command readiness. This guide will provide the required members of the CRT and their roles and responsibilities.

b. Command Climate Assessment. The command climate assessment process focuses on the “health” and organizational effectiveness of the command’s climate. The command climate assessment looks at the overall functioning of the command, the effectiveness of the command’s personnel readiness programs, the thoughts and perceptions of command members and the follow-up actions on previous command climate issues. The assessment uses command demographic information (factors such as age, race, sex, rank, and paygrade), the Defense Equal Opportunity Management Institute (DEOMI) Organizational Climate Survey (DEOCS), a review of records and reports, observations, focus groups and interviews. The review of records and reports, observations, focus groups, and interviews are used to validate findings from the demographic and survey data. This guide assists CRT members in this process and provides detailed descriptions of the actions at the various intervals of the climate assessment process.

c. Engaged Deckplate Leadership. Deckplate leaders include Chief Petty Officers, work-center supervisors, leading petty officers and division officers. These leaders engage Sailors on a one-on-one, personal level. As the first line of support, they can identify and assess Sailors with personal and professional concerns early. Deckplate leaders are in a unique position to identify concerns and support Sailors before risk factors impact Sailor well-being and performance. This can be accomplished through: observing and talking with Sailors, being involved, concerned and

proactive; and effectively using available support programs and personnel in cooperation with the CRT. The vast majority of deckplate leaders already do much of this without a program or the CRT, but still too often we find ourselves taking actions only after an adverse event or incident has occurred. To facilitate the flow and to keep leadership abreast of the concerns and challenges impacting Sailors, deckplate leadership should be required to provide regular reports to the CRT including feedback and lessons learned.

3. Outline. This guide is divided into three parts and five appendices. The chapter's outline roles and responsibilities of CRT members, the command climate assessment process and elements of engaged deckplate leadership. The appendices provide supplemental data. The main sections are:

a. Part I: Command Resilience Team. Outlines CRT membership and each member's role and responsibility.

b. Part II: Command Climate Assessment. Outlines requirements for command climate assessments and the assessment process; prepare, administer, interpret, develop, debrief and execute.

c. Part III: Engaged Deckplate Leadership. This section briefly discusses the need for deckplate leadership engagement with the CRT and sharing of information concerning Sailor wellness.

PART I: COMMAND RESILIENCE TEAM (CRT)

1. Purpose. In collaboration with deckplate leaders, CRTs provide commanders with visibility of trends across the command and a means to improve support programs and enhance overall command readiness. Additionally, CRTs are responsible for conducting command climate assessments in line with the Navy Equal Opportunity (EO) Program manual, OPNAVINST 5354.1(series).

2. Membership. The CRT consists of command leadership, program managers and other command members. CRTs improve command support to personnel. Mandatory membership includes the Executive Officer (XO), one department head (DH), one department leading chief petty (LCPO) officer, command career counselor, personnel officer, legal officer, Sexual Assault Prevention and Response (SAPR) point of contact (POC), drug and alcohol program advisor (DAPA), command financial specialist (CFS), suicide prevention coordinator (SPC), chaplain (if assigned), command managed equal opportunity (CMEO) program manager, command diversity officer (if assigned), deployed resiliency counselor (DRC) (if assigned), mental health specialist (if assigned) and equal employment opportunity (EEO) specialist (if assigned). Remaining members will consist of a cross-section of paygrades, sex, race, and departments. The XO serves as the CRT lead and the CMEO program manager serves as the coordinator for the command climate assessment. For commands that do not have an XO, the senior enlisted advisor must be a part of the CRT. Additionally, the commander has the discretion to increase the size or scope of the CRT. Regardless of team composition, final responsibility for CRT effectiveness remains with the commander.

Note: CRT membership should be reflective of command demographics (i.e. rank, rate, age, sex, race, military/civilian, etc.).

3. Roles and Responsibilities. CRTs will track and link programs to deliver all available resources to personnel, develop best practices and training for both deckplate leaders and all personnel, and assess root causes utilizing the feedback from deckplate leaders and the results of the command climate assessment. Roles and responsibilities for mandatory members are outlined in paragraphs 3a through 3p.

a. XO: Serves as the lead and has overall responsibility for oversight of the command climate assessment.

b. CMEO program manager: Serves as the command climate assessment coordinator with the primary responsibility for training of the CRT members and management of the command climate assessment process. The CMEO program manager must maintain the CMEO program manager binder with required documents throughout the command climate assessment process.

c. Department Head (DH): Assists with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the DH will assist conducting focus groups, interviews, and drafting the executive summary and POA&M.

d. Department Leading Chief Petty Officer (DLCPO): Assists with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the DLCPO will assist conducting focus groups, interviews, and drafting the executive summary and POA&M.

e. Command Career Counselor (CCC): Provides retention and advancement records and reports. The CCC will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the CCC will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

f. Personnel Officer (PERSO): Provides the command composition to include paygrade, rank, sex and race. The PERSO will provide command demographics for reports to include awards, retention, command collateral duties and discipline. The PERSO will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the PERSO will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

g. Legal Officer: Provides the discipline records to include discharge, non-judicial punishment (NJP), and court-martial reports. The Legal Officer will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the Legal Officer will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

h. SAPR Point of Contact: Provides command statistics regarding sexual assaults. The SAPR POC will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, they will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

i. Drug and Alcohol Program Advisor (DAPA): Provides command statistics regarding drug and alcohol related incidents. The DAPA will also assist with analyzing the DEOCS data and records, and reports to include training records and inspections. Additionally, the DAPA will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M as needed.

j. Command Financial Specialist (CFS): Provides command statistics regarding financial assistance provided. The CFS will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the CFS will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M as needed.

k. Suicide Prevention Coordinator (SPC): Provides command statistics regarding suicide reports. The suicide prevention coordinator will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the suicide prevention coordinator will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M as needed.

l. Chaplain (if assigned): Provides assistance as needed. The Chaplain will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the Chaplain will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

m. Diversity Officer (if assigned): Provides assistance as needed. The diversity officer will also assist with analyzing the DEOCS data and records and reports to include training records and inspections. Additionally, the diversity officer will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

n. Deployed Resiliency Counselor (DRC) (if assigned): Provides assistance as needed and provides insight into Sailor wellness.

o. Mental Health Specialist (if assigned): Embedded Mental Health provider or Behavioral Health Technician if assigned to the unit. Utilizes mental health expertise to offer mental health perspectives and assistance and help promote resilience/toughness initiatives within the unit. Assists with and conducts unit psychological health surveillance as needed, as well as develop, implement and improve trainings and resources that match specific command needs.

p. Equal Employment Opportunity (EEO) Specialist (if assigned): Provides command EEO records and statistics. The EEO specialist will also assist with analyzing the DEOCS data and records, and reports to include training records and inspections. Additionally, the EEO specialist will assist with conducting focus groups, interviews, and drafting the executive summary and POA&M.

Note: CRT members should not conduct focus groups, interviews or observations within their own department/division.

4. Training. The Command Climate Specialist (CCS) provides training prior to the start of a command climate assessment. The CCS must provide oversight and guidance to the CRT on the facilitation and interpretation of the DEOCS, conducting focus groups and interviews, data analysis throughout the command climate assessment process, and the development of the command climate assessment executive summary and the plan of action and milestones (POA&M). All CRT members must receive formal training and complete a CRT Non-Disclosure Agreement form. At a minimum, this training should include:

- a. Analysis and interpretation of the DEOCS.
- b. How to review and interpret results from the records outlined in paragraphs 4b(1) through 4b(9).
 - (1) Command training records.
 - (2) Records on the Sailor and civilian of the month, quarter, year.

(3) Award file(s).

(4) Meritorious mast records.

(5) Records on discrimination and harassment (to include: sexual harassment, discriminatory harassment, hazing and bullying) reports.

(6) Retention files and advancement statistics.

(7) NJP data (type punishment, dismissals, and discharge data by category etc.).

(8) Personal observations.

c. Training on how to conduct focus groups, interviews, and observations.

d. Members of the CRT are encouraged to complete the Equal Opportunity in the Navy non-resident training course (NAVEDTRA 14082 series) within 3 months of assignment to the CRT.

**PART II: COMMAND CLIMATE ASSESSMENT –
PREPARE**

1. In line with OPNAVINST 5354.1 (series), both active and reserve commanders, commanding officers, and officers in charge will complete a command climate assessment within 90 days after assumption of command and every 9 to 12 months as follow-up assessments during their command tenure.

Note: Notify the CCS prior to initiating a command climate assessment. The CRT must consult with the CCS to receive guidance and oversight throughout the command climate assessment process.

2. Establishing a Plan

a. With support from the CCS, the CMEO program manager is responsible for developing a plan for conducting the command climate assessment.

b. There are four steps in preparing for the command climate assessment:

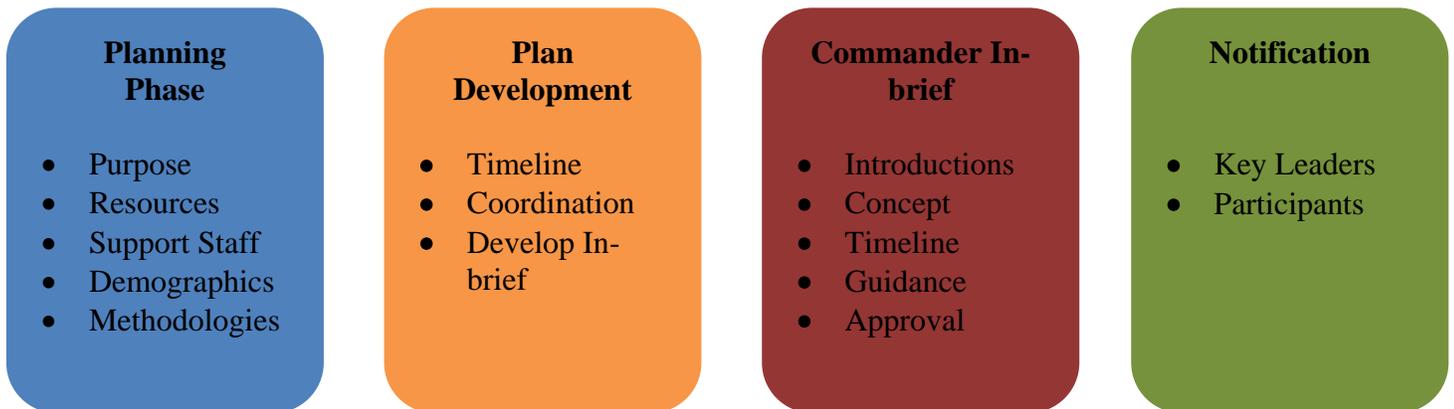
(1) Planning phase

(2) Plan development

(3) Commander in-brief

(4) Notification

c. Each step provides guidance that integrates and synchronizes planning activities and efforts throughout the command. Moreover, preparation leads to development of a common operating picture amongst senior leaders and increases frequent leader interaction to maximize participation in the assessment process.



3. Planning Phase. The planning phase is end-state oriented. It requires collaboration and dialogue amongst leaders. Depending on the size of the command this may include the Commander, XO, Command Master Chief, department heads, CCS, and the CMEO program manager. During the

planning phase, clearly define the purpose of the assessment, list all resources required to administer the assessment, identify needs from the CRT and other support staff required to execute the assessment, and collect organization demographics and unit composition.

Purpose

Resources

Support
Staff

Demographics

Methodologies

a. Purpose. Defining the purpose of the climate assessment provides a clear message to members as to why the unit is conducting an assessment, encourages honest feedback, and increases buy-in.

b. Resources. The CRT should identify any resources required to conduct the assessment. These resources may include: the use of briefing rooms to brief the commander or director and other key leaders, spaces for focus groups, identifying availability of computer rooms for survey administration, budget support, marketing needs, and any other resources necessary to conduct the assessment.

c. Support Staff. Identify the roles of members of the CRT to support the total assessment. Consider developing committees to allow the CRT to share responsibilities for completing tasks associated with the CCA. Examples of committees are:

(1) Demographics. Collects and analyzes the demographic data.

(2) Survey. Orders, distributes, collects, and analyzes results of the DEOCS.

(3) Focus group, interview, and observation. Consolidates and analyzes the data from focus groups, interviews, and observations.

(4) Marketing. Promotes and advertises the DEOCS and the command climate assessment process.

Note: Each committee should provide a one - two page summary report of their efforts for distribution and briefing to the entire CRT.

d. Demographics. Understanding the unit structure and composition (to include identifying any subordinate units being assessed) is essential to the planning process. If identified in advance, the DEOCS can provide smaller element breakout reports to better examine subordinate units or departments. Each command comes with its own operational tempo, cultural differences, unique jargon and language styles, types of work, and work shifts. Understanding these dynamics will ease coordination and execution. Some differences in unit structures that can impact the plan include joint military organizations, civilians (government, host nation, and contractors), detached or geographically distant elements, combat arms, aviation, support, sustainment, or combinations of all the above.

(1) The command's demographics must be collected and available prior to ordering the DEOCS. The following demographics are needed; sex (male, female) broken out by rank and paygrade (E1-E3, E4-E6, E7-E9, Warrant Officer, O1-O3, O4 and above, civilian grades 1-12, civilian grades 13-SES, and if applicable any "other" groups).

(2) Further, the demographic information will be used during the assessment process to compare responses between different groups in efforts to identify negative and positive findings and to determine potential strategies for POA&M development.

Note: Do not include the commander's demographics.

e. Methodologies. The command climate assessment must include the DEOCS (commands with more than 16 personnel), focus groups, interviews, observations, and a review of records and reports.

(1) DEOCS. The DEOCS is the Department of Defense mandated, confidential, command requested organizational assessment survey focusing on issues of organizational effectiveness, EO, EEO, and sexual assault response and prevention. The DEOCS is managed by the DEOMI. To request a DEOCS, survey administrators need to visit <https://www.deocs.net>. Leaders should also review the sample survey and report to become familiarized with them as well as review the sample locally developed questions (LDQs) and short answer questions (SAQs). The commander should begin to identify which LDQs and SAQs they wish to add to their survey (if desired) to explore other specific climate areas.

(2) Focus groups and interviews. Focus groups and individual interviews are conducted to gain key information. Focus groups and interviews are used to clarify opinions or perceptions identified in the DEOCS about a specific area(s). These are excellent methods for clarifying the cause and effect relationship between survey findings and unit practices as you get to ask personnel direct questions to get additional information. They can capture strengths, positive trends, program effectiveness, morale, areas of concern, and other key factors affecting the workplace. For more information about how to conduct a focus group, visit <https://www.deocs.net> (to view the focus groups video and guide) and contact your CCS.

(3) Observations. Observations view unit members performing daily activities in their natural work environment. Some of the difficulties in doing an observation are being focused on the task, being attentive to your surroundings, remaining unbiased, and making note of things for further retrospect and analysis. To gain a better understanding on how to plan and conduct your unit observation visit <https://www.deocs.net> to view the observation video and guide.

(4) Records Review. Records and reports are used by units to document a variety of organizational actions and processes and provide a wealth of information regarding trends and indicators which contribute to the overall health of the organization. Some of the detailed data to review includes EO and EEO reports, awards, disciplinary actions, retention, promotion, etc. For more information on how to correlate this information view the records and reports guide and video at [deocs.net](https://www.deocs.net).

4. Plan Development. The Plan Development stage develops a timeline to guide and forge coordination and synchronization efforts across the organization(s). Once coordination is complete the assessment team develops an in-brief for the commander.

Timeline

Coordination

**Develop
In-brief**

a. **Timeline.** The timeline provides a logical sequence of events and assists in planning the assessment around major organizational events that can negatively affect the participation and outcome. Additionally, the timeline keeps the CRT focused and paves a smooth process for all organizational leaders in the assessment's execution. A sample timeline is located in Appendix B

b. **Coordination.** It is imperative that continuous coordination occurs among key leaders and staff agencies before, during, and after the execution of the organizational assessment. Initial coordination involves meeting with the Officer or Chief who controls the organization's calendar (i.e. ship's schedule). The calendar highlights the best dates to begin and end the assessment based on the organization's operational tempo.

c. **Develop in-brief.** Once the CRT has developed the initial plan and synchronized efforts across the organization, the team develops the initial in-brief for the commander. The briefing focuses on the purpose, concept, timeline, CRT members, execution plan, as well as receiving additional guidance and final approval from the commander on the assessment POA&M.

5. **Briefing the commander.** Once the CRT has developed the in-brief, the team briefs the commander. Begin the brief by introducing the team, brief the key points on the plan concept and who will be involved, and discuss the proposed timeline and expectations for completion.

Introductions

Plan Concept

**Additional
Guidance**

Plan Approval

a. **Introductions.** Begin the briefing by introducing yourself, each team member, and everyone's responsibilities during the assessment.

b. **Concept.** Identify the assessment's purpose (policy required or commander requested) and key events pertaining to the commander (in-brief and out-brief dates and dates for the commander to brief the crew and immediate superior in command (ISIC)).

c. **Timeline.** Discuss the plan for DEOCS administration, focus groups, interviews, and review of records and reports, and layout the timeline from start to finish not exceeding 60 days. Ensure that you are concise and to the point. Anticipate any questions the commander may ask and have ready responses.

d. **Guidance.** Before closing out the brief, ensure you ask the commander for additional guidance and make modifications as the commander directs.

e. **Approval.** Make changes as directed by the commander. Once the final plan has been approved, prepare to notify the organization of the assessment.

6. Notification. Brief key leaders on the plan concept to maximize support and command participation.

Key Leaders

Participants

a. Key leaders. Briefing key leaders is not mandatory. However, a brief for all key command leaders on the plan increases support in the execution of the assessment. Emphasize the importance of the climate assessment in not only identifying practices that are working well, but in identifying areas of concerns. This is key to maximizing command participation.

b. Participants. During this stage reconfirm command members eligible to participate in the climate assessment to ensure the team has accounted for the correct number of computer passwords and paper surveys (if required). Identify participants for the focus groups and interviews and ensure participants know the dates, times, and locations of these events.

Note: Contractors are not authorized to participate in the command climate assessment process. The guidance speaking to contractors is located in DoDM 8910.01-V2, June 30, 2014 Section (4), page 17. Contractors with the federal government are considered to be members of the public for information collection purposes, and Office of Management and Budget approval is required to collect information from them.

c. Now that the CRT has completed the planning stage, developed the plan, briefed the commander and notified all participants about the command assessment, the CRT is ready to request and administer the DEOCS.

PART II: COMMAND CLIMATE ASSESSMENT - ADMINISTER

1. Purpose. Administer the command climate assessment to determine the overall health and effectiveness of the organization. Records and reports are the only hard facts collected during the command climate assessment. The survey, observations, focus groups and interviews are perception based data points.

a. Contractors are not authorized to participate in the command climate assessment process. The guidance speaking to contractors is located in DoDM 8910.01-V2, June 30, 2014 Section (4), page 17. Contractors with the federal government are considered to be members of the public for information collection purposes, and Office of Management and Budget approval is required to collect information from them.

b. The administration of the DEOCS and review of records and reports should be conducted simultaneously. Records and reports must be reviewed by race, sex, paygrade, and rank. Review of these records will assist in gaining valuable information, such as what is actually happening in a command as well as what personnel perceive is happening and how they feel about it. The maintenance and frequent review of statistical data relating to personnel can alert commanders to the development of trends and patterns that may affect the command's climate.

2. DEOCS. Units with fewer than 16 personnel or 16 respondents on the DEOCS must conduct a command climate assessment via focus groups, interviews, observations, and reviewing command records and reports.

a. Maximize Survey Participation. The two factors that influence survey participation are the belief that participation in the survey is genuinely anonymous and that leaders will do something with the results.

b. Anonymity Features. Respondent's anonymity is protected when completing the survey by using a computer-generated, untraceable password that cannot be linked to unit members or their computer systems (work or home). Additionally, no personally identifying information is collected. The survey will not display group data if fewer than five members of that demographic completes the survey. However, input and comments will appear in the unit's overall report. It is important to know that comments are provided verbatim and any self-identifying information could jeopardize anonymity.

3. Records and reports data consists of command composition, advancement data, retention data, disciplinary data, awards data, and additional records and reports.

a. Command composition data is a snapshot of the command's population by race, sex, paygrade, and rank. Where applicable, be sure to capture data of civilian personnel in the command climate assessment. Command demographics form a collective profile of the personnel in the command. The point of contact for military personnel is usually the administrative officer. The Human Resource Office is the point of contact for civilian personnel.

Note: Demographics Data for the command should be reflective of the demographics data of those that completed the DEOCS survey.

b. Advancement data encompasses advancement exam results and meritorious advancement program data. This data is provided by the administrative or personnel officer and the career counselor.

(1) Categorized by race, national origin, sex, paygrade, and rank.

(2) Data collected is outlined in paragraphs 3b(2)(a) through 3b(2)(f).

(a) Number of eligible personnel.

(b) Number of recommended personnel.

(c) Number of personnel advanced or promoted.

(d) Board eligible and selected (E6-E9).

(e) Number of personnel passed, but not advanced (PNA) and a listing of failures.

(f) Eligibility, recommendation, and promotion data should be maintained for officers as well.

c. Retention data encompasses retention and reenlistment statistics. This data is provided by the career counselor.

(1) Categorized by race, national origin, sex, paygrade, and rank.

(2) Data collected is:

(a) Career term; first, second, or third.

(b) Eligibility of candidates.

(c) Whether eligible personnel elected to reenlist or separate.

(d) Data outlined in paragraph 3c(2)(a) through 3c(2)(c) does not apply to officers. Data should be collected on the number of officers that elected to resign their commission.

d. Disciplinary data encompasses NJP, court-martial data, and discharge data. This data is provided by the legal officer.

(1) Categorized by race, national origin, sex, paygrade, and rank.

(2) Data collected is:

(a) List of personnel placed on report.

(b) List of repeat offenders.

(c) List of allegation dismissed and at what level were they dismissed.

(d) List of personnel that received NJP or court-martial.

(e) Disciplinary action administered.

e. Awards data includes a list of awards provided by the commander and the list of award recipients. This data is provided by the administrative or personnel officer.

f. Additional records and reports will be provided by the program managers that are mandatory members of the CRT and will encompass data collected for the program for which they are responsible.

Note: A Program Manager Summary sheet should be used to compile the data from the various programs to identify common trends indicating any areas of concern.

PART II: COMMAND CLIMATE ASSESSMENT - INTERPRET

1. Purpose. This section is designed to assist the CRTs in understanding and interpreting the data.
2. At this point in the process, the organization's personnel have already completed the DEOCS and the CRT has reviewed all of the records and reports data. This section will orient team members on the process and provide recommended steps for validating the perceptions reflected in the report. Interpretation of data begins upon receipt of the organization's DEOCS report. It is important to understand that the DEOCS report provides information about members' perceptions of the organization's climate. DEOMI has created fact sheets to assist with understanding DEOCS climate factors that can be found on the DEOCS.net website. The fact sheets provide a description of each climate factor, identifies the questions used to measure each climate factor, summarize the climate factor's significance, and pinpoints positive and negative indicators and outcomes to look for.
3. The DEOCS report provides a strong starting point for understanding how command personnel feel about how their unit is being led and the sources of command issues. Interpretation of data ends after the perceptions identified in the DEOCS report have been validated or invalidated using the other components of the assessment process (interviews, observations, focus groups, review of records and reports).
 - a. DEOMI will only release DEOCS reports to the survey administrator, the commander who requested the survey and the commander's ISIC.
 - b. Each area in the DEOCS can provide unique insight into what command personnel feel are the most significant concerns facing the organization. There are 21 climate factors in the report that can help illuminate specific issues within an organization.
 - (1) Organizational Effectiveness (OE) climate factors help illustrate members' trust in and willingness to support leadership in carrying out the organizations mission.
 - (2) Equal Opportunity (EO)/Equal Employment Opportunity (EEO)/Fair Treatment climate factors reflect perceptions of how members are treated in the workplace. This area helps identify perceived social, personal and/or institutional barriers that prevent members from rising to their highest professional potential.
 - (3) Sexual Assault Prevention and Response climate factors provide perceptions regarding sexual assault prevention, retaliation, reporting, response, bystander intervention and unwanted workplace experience. Working with DEOMI, the DoD Sexual Assault Prevention and Response (SAPR) Office strives to provide commanders with the needed resources to address perceived SAPR-related issues identified in the DEOCS.
 - c. The CRT should create a sub-committee to review the results of the DEOCS. Members of the committee may be directed to focus on specific areas in the report. They need to thoroughly review those sections of the DEOCS report, so that they can provide detailed

feedback. Also, it is helpful to develop standardized templates to compile information, especially when it comes to validating perceptions identified in the DEOCS. Various data collection templates are provided throughout the DEOMI Assessment to Solutions website (<https://www.deocs.net/>) and in Appendixes A-F. These templates provide examples that can be leveraged to identify concerns.

(1) Review the DEOCS report and carefully analyze the command's results. The DEOCS report provides a table of contents on page 2 to help guide you. Review "How to interpret your DEOCS" on page 3. It provides an explicit set of steps to follow. Also, closely review the recommendations provided on page 26; these can prove helpful as you move ahead in the climate assessment process.

(a) Start the review by examining the command's demographics on the DEOCS. This demographic profile is important because it helps to determine whether some of the demographic groups' participation rates are appreciably lower than expected given their representation in the command. For example, if women comprise 35% of the command, yet represent less than 15% of those completing the DEOCS, this may indicate their unwillingness to complete the survey. Their low participation may stem from the being skeptical about their anonymity, they may fear retaliation for what they say or they may feel that nothing will be done about the concerns they mention.

(b) Compare perspectives between complementary groups, i.e., men and women, senior enlisted and junior enlisted, majority and minority, etc. A significant disparity between how two groups perceive an issue may suggest a disparity in how they are treated. Highlight these for later comparison against other sources of data to determine whether the perceptions harbored by those groups are factual.

(c) At this point in the process avoid focusing on the merits of members' perceptions; instead, the CRT should consider each one and identify any surprising findings. The CRT should already have a feel for the climate of the organization and be aware of its concerns. All identified concerns in the DEOCS report should be explored in more detail using the other assessment modalities.

(d) It is easy to react defensively when the report exposes negative perceptions about the organization, or if named individuals are accused of engaging in unprofessional actions. Use focus groups, interviews, observations and review of records and reports to validate or invalidate these perceptions.

(2) Review the written comments in the final section of the DEOCS report in addition to the responses to the locally developed questions (LDQs) and short answer questions (SAQ). Compare to see if they line up with, or contradict, the climate factor favorability rating. Some comments may lead the inquiry in an entirely new direction, or bring previously undetected issues to the attention of the CRT. Responses in the comments section can prove especially valuable in identifying the demographic composition of future focus groups, and the specific topics to broach with each of them. Written comments can also provide insight about where to conduct observations and what focus group/interview questions to ask.

(3) Validate Perceived Issues. Once you've identified the areas you wish to explore further, you need to collect information that will help confirm or disprove perceived issues identified in the DEOCS report. Remember, the DEOCS report provides members' perceptions of what may be going on in the organization. Therefore, the other assessment modalities (focus groups, interviews, observations, and review of records and reports) must be used to validate the DEOCS report findings.

(a) The Observations Guide (Appendix - B) provides you with detailed information on why and how to conduct observations, the advantages and disadvantages of using this method, specific scenarios amenable to conducting observations, and shows how using templates assist the observer systematically collect information.

(b) The Focus Group Guide (Appendix - C) identifies important things to consider before conducting focus groups. It provides a primer on focus groups, explaining how they should be used, and some pitfalls to avoid. It then takes you through the steps of preparing for and conducting a focus group, and collecting and analyzing the data obtained.

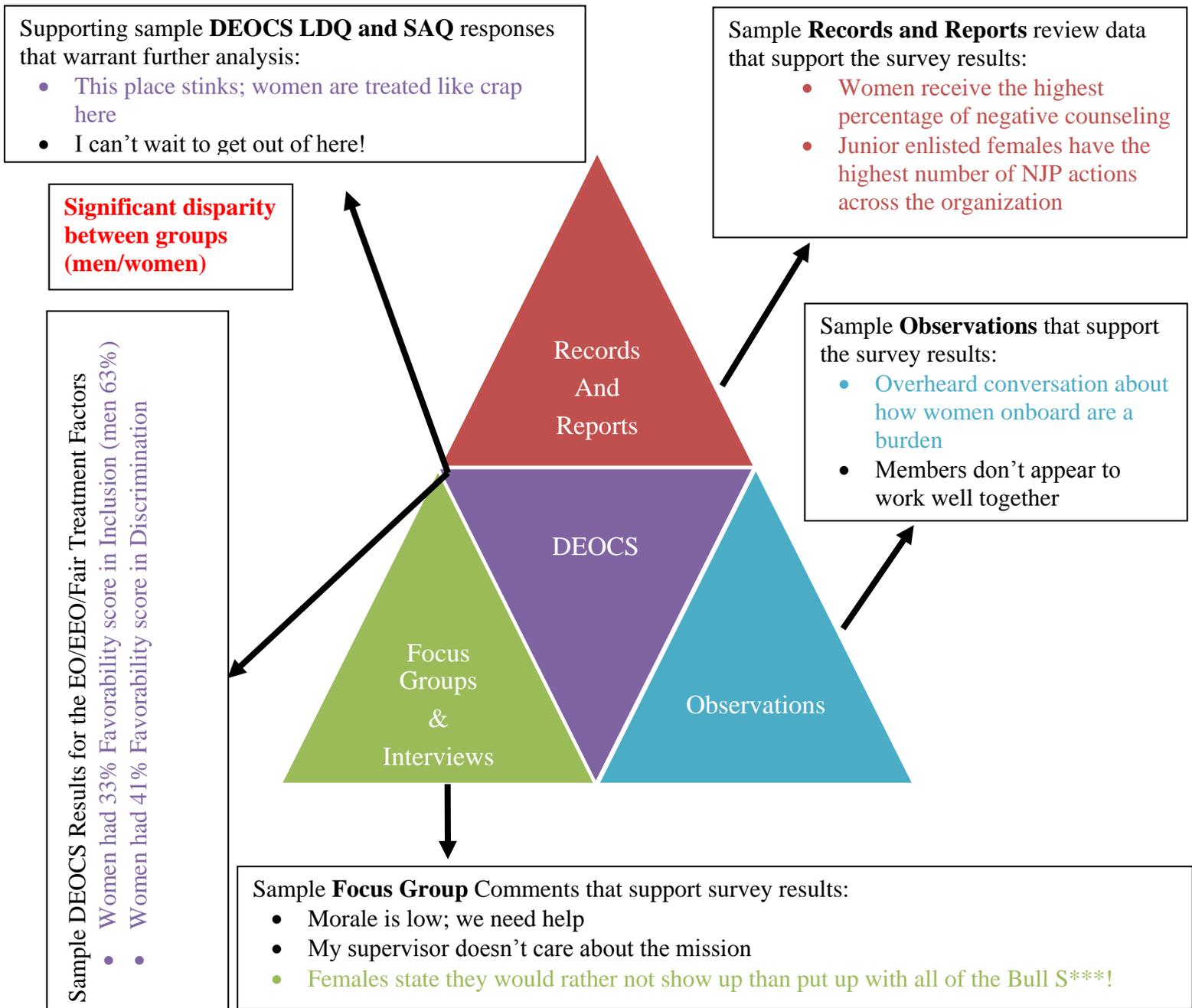
(c) The Records and Reports Guide (Appendix - D) describes the purpose of reviewing records and reports, describes the different types of data you may consider reviewing and why, conducting the step-by-step process, and other considerations in mind when conducting a records and reports review.

(4) All of the assessment modalities must be used to validate the DEOCS report findings. Comparing the information, you have collected from multiple sources helps determine which concerns identified in the DEOCS are indeed valid. The Assessment to Solutions website (<https://www.deocs.net/>) provides descriptions of each additional assessment method, along with how-to guides and videos for conducting them. Each guide also provides a worksheet that can be used to compare each DEOCS climate factor to that assessment method. Comparing data can be an involved and time-consuming process. Ensure ample time is allotted and personnel are available to execute these essential tasks.

(5) Accurately identifying an organization's strengths and areas of concern using the climate assessment process begins by completing a DEOCS. Use the DEOCS report's results to identify members' perceptions, both positive and negative, by looking at climate factor favorability levels and how much these are supported by written comments, responses to the LDQs and SAQs, and validating with focus groups, interviews, observations and review of records and reports.

Figure-1

This chart demonstrates an example of the validation process



4. After interpreting the data, the CRT should begin the development process. The CRT should get insight from all members of the team to ensure all identified strengths and areas of concerns have been identified prior to proceeding to the development process.

PART II: COMMAND CLIMATE ASSESSMENT - DEVELOP

1. Purpose. This step involves summarizing the results of the climate assessment in an executive summary document and identifying and developing specific actions designed to resolve validated organizational areas of concern.
2. Executive summary. The executive summary must include significant findings, organizational strengths, areas of concern and recommended corrective actions. An example of an executive summary can be found in OPNAVINST 5354.1G, Appendix J. Commands should consult with their servicing CCS for support and guidance with developing their executive summary.
3. Plan of Actions and Milestones. A POA&M should directly address the areas of concern that were identified during the climate assessment. Some of the action items can include recommendations provided by the crew since they possess a unique vantage point to identify an improved way of doing business.
 - a. A POA&M concretely identifies all action items leadership hopes to take and clearly classify the specific goal for each. It is important to identify the specific metrics that will be used to evaluate the effectiveness of each action item.
 - b. Prioritize the POA&M's individual steps by estimating the impact each of the validated areas of concern has on the organizational climate and ability to meet mission. Still, some relatively minor areas of concern may involve easily-implemented steps to remedy them. Immediately resolve these concerns. This demonstrates leadership's commitment to rapidly leveraging findings from the climate assessment to improve the climate.
 - c. During the early stages of developing a POA&M, many prospective actions may be considered. In the end, a far more limited number of action items should be included in the POA&M. Provide a list of all potential action items that were initially identified and divide them into the three categories listed in paragraphs 3c(1) through 3c(3).
 - (1) Not possible by virtue of legal prohibition, financial limitations, mission requirements, etc.
 - (2) Possible and that leadership elects to pursue.
 - (3) Possible but will not be pursued by leadership at the present time
4. The commander should actively publicize the POA&M to let the command's personnel know exactly what steps will be taken in an effort to improve climate. Moreover, the commander should keep the organization informed on a regular and frequent basis, about progress that has been made completing the action items outlined in the POA&M.

PART II: COMMAND CLIMATE ASSESSMENT - DEBRIEF AND EXECUTE

1. Purpose: To outline requirements for the organization and ISIC debriefs and provides guidance on successfully executing the POA&M.

a. Organization debrief. Commanders must debrief their command no later than five days after receipt of the executive summary from the CRT. This may be accomplished via an all hands call or rank stratified town hall meetings. It is imperative that the debrief is conducted by the commander and that this responsibility is not delegated.

b. ISIC Debrief. Commanders must conduct a face-to-face debrief of their command climate assessment executive summary using the DEOCS (if available) to include a POA&M, with their ISIC within 60 days of the completion of the command climate assessment, unless otherwise approved by the echelon 2 commander. The POA&M and executive summary must be forwarded to the ISIC no later than 30 days after completion of the command climate assessment.

2. Executing and monitoring the POA&M. A climate assessment helps the commander validate areas of strength and areas of concerns and formulate a POA&M to effectively address the areas of concern. To successfully execute the POA&M, action items need to be specific, measurable, attainable, realistic, and timely. The POA&M action items may include eliminating disparities in discipline, awards, and training opportunities; improving morale; enhancing safety; reducing risks; or eliminating discriminatory or sexist behaviors.

a. The final POA&M should prioritize the organization's more compelling areas of concern. For example, concerns involving members' safety and well-being clearly warrant immediate attention. Priority should also be made for those concerns that can directly and negatively impact the unit's mission success.

b. The published POA&M needs to explicitly identify the individuals responsible for each action item. It also needs to be actively tracked to show progress in realizing specific milestones. Adopting this strategy illustrates leadership's active execution of climate-enhancing actions to the organization's members.

c. Determining a POA&M's success relies on accurately monitoring each action item's completion, and the impact of each action item on the climate. The relative success of each action item should be gauged against the specific goal defined for that action item. It is important to note that evaluating the impact of individual POA&M action items often relies on different sources of information. For example, confirming the timely submission of award packages or replacing outdated computers can be empirically determined. However, determining the effectiveness of leadership's efforts to improve communication, or the organization's climate in general, may rely on conducting focus groups with command personnel.

d. It is important to recognize that leaders at different levels in the organization will often be responsible for executing POA&M action items. Mid-level leaders, DIVOS, LCPOs, Department Heads, are often directly responsible for mentoring subordinates, monitoring the

local climate, and enforcing policies. The onus is on senior leadership (XO) to assign to those mid-level leaders their roles and responsibilities in achieving the goals outlined in the POA&M.

Note: Best practice from the Fleet is to divide action items amongst CRT members for oversight and provide updates during quarterly CRT meetings.

3. Figure-2 demonstrates a continual improvement process (CIP) strategy to execute and evaluate POA&M action items. The purposes of the CIP strategy are to clearly identify the party responsible for executing each action item in the POA&M, define the methods(s) used to determine the success of each action item, explain modifications made to an action item whenever its goal-state is not immediately realized, and determine the success of these modified approaches. Additional products and information sources are available on the DEOMI website to assist with developing and identifying strategies in support of a POA&M.

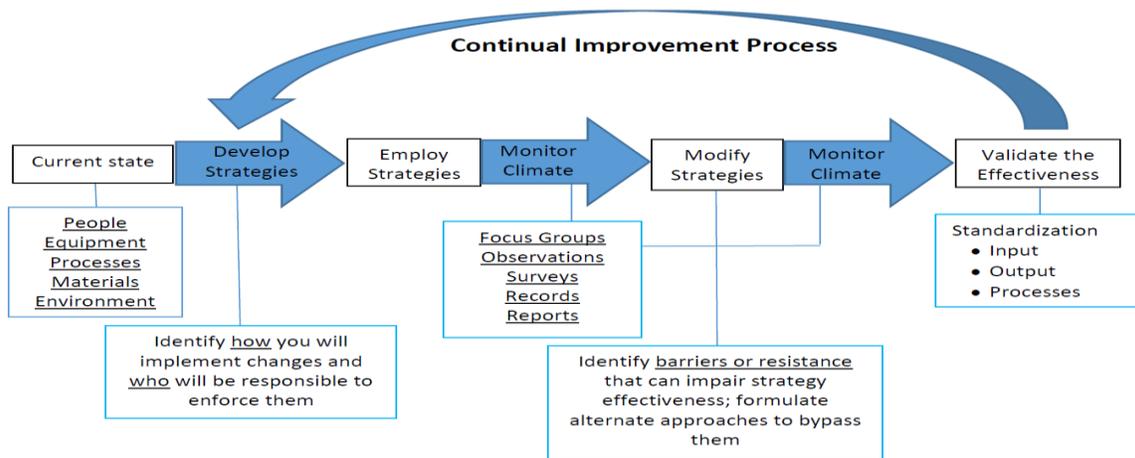


Figure-2

PART III: ENGAGED DECKPLATE LEADERSHIP

1. Purpose. Engaged deckplate leadership focuses on Sailor readiness and resilience. Once issues affecting our Sailors are identified, our deckplate leaders must act to support and assist their Sailors as always, but they are also encouraged to pass the information to the CRT. Local command instructions should specify the reporting path and mechanism. This will allow leaders to connect the dots on Sailor wellness.

2. Responsibilities

a. Commanders are encouraged to:

(1) provide guidance on their expectations of deckplate leaders.

(2) require reporting of identified concerns to the CRT, highlighting where command support is needed.

b. Deckplate Leaders should be familiar with the Leadership Ready Reference Guide, Appendix - F, that highlights common concerns impacting sailors and the resources available to them. Additionally, deckplate leaders are encouraged to:

(1) regularly assess Sailor's well-being status.

(2) be willing to get involved and assist.

(3) care enough to see it through from problem to solution.

(4) be engaged and willing to ask the right questions of a Sailor and their shipmates.

(5) understand common issues impacting Sailors (see Appendix-F)

(6) be knowledgeable of the available resources.

(7) provide periodic feedback to the CRT.

3. Protection of Information. Commanders and CRT members must ensure that privacy and confidentiality of information shared within the CRT is maintained. This includes proper protection of emails and electronic folders. Further, to encourage open communications with Sailors about the assistance they and their shipmates may need, protection of information provided to the CRT is outlined below.

a. Information provided to the CRT from deckplate leaders will NEVER be used to inform performance evaluations. Performance evaluations will be based on observed performance.

b. Information provided to the CRT from deckplate leaders will not be used to limit liberty except in unusual circumstances as determined by the commander.

4. Command sponsor and indoctrination program integration. A key component to engaged deckplate leadership is an effective command sponsor and indoctrination program as outlined in OPNAVINST 1740.3D. The CRT should ensure that prospective gains are screened, using tools such as the Electronic Service Record (ESR), Navy Standard Integrated Personnel System (NSIPS), Alcohol and Drug Management Information Tracking System (ADMITS) and Fleet Management and Planning System (FLTMPS) to help with a smooth transition. The command sponsor and indoctrination program should account for any potential challenges in the reporting and integration process. The sharing of information between the CRT and coordinator for Command Sponsor and Indoctrination programs can help enhance the adaptation of Service members and their families into new working and living environments.

5. Deckplate Leader's collaboration with the CRT will help more effectively identify root causes, track and link programs and resources that are in place to assist Sailors, and thereby connect Sailors to all available resources and allow leaders to "connect the dots" on Sailor wellness.

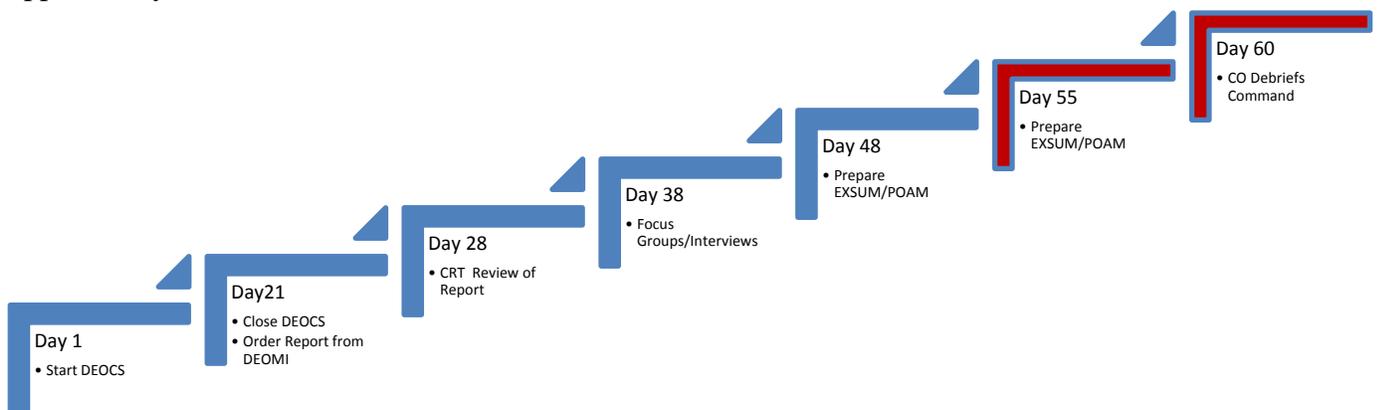
APPENDIX A COMMAND CLIMATE ASSESSMENT TIMELINE

1. The command climate assessment must not take longer than 60 days, 110 days for commands with assigned SELRES personnel (i.e. NOSC, Reserve Squadrons), from the start of the DEOCS to the commander's debrief of the command. An example of a command climate assessment timeline is outlined below:

- a. DEOCS: 21 days; One drill cycle for Navy Reserve Augmented Units.
- b. Request and receive DEOCS report from DEOMI: 7 days.
- c. (CRT) review of the report: 10 days; 25 days for NOSC or Reserve Squadrons.
- d. Conduct focus groups and interviews: 10 days; 30 days for NOSC or Reserve Squadrons.
- e. Preparation of the executive summary and (POA&M): 7 days; 10 days for NOSC or Reserve Squadrons.
- f. Commanders shall debrief their commands no later than 5 days after receipt of the executive summary from the CRT.

Note: A user name, password, and URL are provided to the survey administrator when a DEOCS is requested. When the command closes out the survey the administrator must specifically request that the report be generated.

2. Commanders shall provide their immediate superior in command (ISIC) with a face-to-face debrief at the first opportunity either in person or VTC. The POA&M and executive summary must be forwarded to the ISIC no later than 30 days after completion of the command climate assessment. This process will provide the ISIC an opportunity to mentor the commander and shall happen within 60 days of completion of the command climate assessment, unless otherwise approved by the echelon 2 commander.



APPENDIX B OBSERVATION GUIDE

1. Observations are a means to observe unit members performing daily activities in their natural work environment. Observations can be conducted by anyone. However, to gain an unbiased perspective, it is best to solicit a trained, experienced, and impartial non-unit member to conduct the observation. Observers must collect data using a systematic process, maintain impartiality and remain unbiased as the information is collected.

2. Prepare. Observations involve more than simply going out in to an organization and watching. Preparation is critical to a successful assessment and by giving yourself time to prepare, you may be more effective. In preparing for observations you will need to:

- a. First analyze the results from the DEOCS, or other assessment methods to determine potential areas to focus attention.
- b. Determine how much time you have to conduct the observation. Depending on the unit size, number of locations, and areas to observe, the time allowed may restrict the opportunities you have available.
- c. Predetermine which locations to observe (work space, mess decks, barracks, berthing, etc.)
- d. Select various times to conduct observations; ensuring shift/flex schedule workers are observed.

3. Gather Information. Observations should be conducted from predetermined locations. Observers should report such things as common occurrences, repeated patterns, unusual or uncommon events and unique combination of events. Things to look for while conducting observations include but are not limited to:

- a. Interpersonal communication/interaction/polarization between unit members. Observing members as they interact in break rooms, work areas, meetings, galleys, recreation/entertainment facilities, during special events training etc., can provide insight into personnel dynamics that may influence the overall climate.
- b. Observe how leaders and members interact between each other. Are perspectives or opinions being heard? Is respect given? Are groups inclusive or exclusive? Be particularly observant of body language, personal behaviors, and rebuttal remarks as members are interacting.
- c. Accessibility to leadership, bulletin/information boards, and public display items. Review posted policy letters/posters, individual/group recognition items, etc., to identify themes and balanced perspectives. Are leaders approachable? Do they wait for others to come to them or do they actively search out and engage members? Do they listen more than they talk? Do they clarify and quantify members' statements by asking questions or do they accept comments as stated? Are task and workload equitably distributed? Is accountability applied equitably? Are members held to the same standards?

- d. Workplace and living conditions/environment. Look for graffiti, personal display of pictures, posters, artifacts, and general impressions. Don't forget the restrooms/heads and other hidden areas. Look at general maintenance, cleanliness, equipment, technology, and for written comments posted in less visible or open areas.

Reminder: Remain objective. When observing individual, it is important to report observable behaviors and not make assumptions. For example:

With bias – “She seemed happy when the Lieutenant came into the office. She must like her.”

Without bias- “She stood up, smiled, and thanked the Lieutenant for her assistance.”

4. Analyze Findings. After gather the observation data, separate it into identifiable themes, patterns and occurrences. The DEOCS factors can be used to help show commonality between other assessment means. The data analysis process should be systematic (follow a prescribed, sequential flow) and verifiable (another person would come to a similar conclusion using the available information). As you synthesize/analyze the data and compare it to other methods try to identify the source of concern.

- Who does it affect? Men? Women? Minorities? Enlisted? How does it affect them?
- What are the causes, i.e., policy, command action/inaction, intergroup conflict, communication, individual or group behaviors, etc.? How long has the effect existed?
- When, where, and if you can determine, how did it start?
- Is the situation getting better or worse?
- Is the trend focused in one area or is it amplified across the entire command?
- Have there been any recent changes that may have started or initiated the behavior, i.e., changes in leadership, organizational stressors (major deployment, training exercise, loss of key personnel, etc.)?

Date	Observations
Notes	
Summary	

Note: Identify location and parties involved by general information.

For example: Barracks, junior enlisted, white/hispanic males.

APPENDIX C

FOCUS GROUP GUIDE

1. Planning a Focus Group

a. Develop a plan. During the development of the focus group plan, the following must be considered:

(1) The objective of a focus group is to provide commanders and decision makers with the perceptions, thoughts and feelings of Sailors and civilians in order to gain insight into concerns impacting command climate.

(2) Determine and clearly define the purpose of each particular focus group.

(3) Identify the concerns and areas to be addressed and prepare a lead-in question for each.

(4) Once all concerns and areas to be addressed in the focus group are identified, they should be consolidated on a questionnaire. Focus groups without questionnaires are acceptable if preparation has been thorough and the time available precludes production of a questionnaire.

(5) The time available must be considered from two aspects.

(a) The number of focus groups scheduled for a given day should be carefully planned. Allow enough time between sessions to relax and prepare for the next one. The preferred maximum number of sessions per day is four; two in the morning and two in the afternoon. If more than two sessions are conducted in the morning or afternoon, interviewers will not have time to consolidate their notes, therefore the quality of the feedback to the appropriate commander will suffer.

(b) A focus group session should not normally exceed one hour in duration. Interviewers should begin to wind down the focus group approximately 15 minutes before they want to terminate the session.

(6) Location. The location used for focus groups should be relatively private and quiet, preferably away from headquarters or common crew spaces although this should not be an overriding concern. A conference room or classroom normally meets this need.

(7) The preferred size of the group may range from eight to twelve personnel. If more than 15 participants are allowed in a group, interviewers will not be able to maintain sufficient eye contact with the entire group. Eye contact is necessary so interviewers can have awareness of participant facial gestures and non-verbals. Having visibility of participants will give indications of those who agree or disagree and give signs of those who may want to provide input but refrain from doing so. Interviewers should stratify their groups. This is an essential factor in assuring open and honest discussions. Some possible groupings by strata are as follows:

(a) Military and civilian personnel.

(b) E3 and junior.

(c) Petty officers (E4, E4-E5, E5, E6).

(d) Chief Petty Officers, as directed by the CMC.

(e) Officers, as directed by the executive officer.

(f) Civilians, as directed by the commanding officer.

(g) Interviewers may not be able to afford the time required, or may not need input from as many different groups as indicated above. Adjust or consolidate the above groups as necessary.

(8) Notification to the command.

(a) The number of participants and the data and time interviewers want for each group should be identified in a notification letter (or memorandum, if internal).

(b) The letter or memo should identify the purpose and other logistical requirements for the group(s).

(c) A point of contact (POC) must be designated to coordinate the above support requirements.

(9) Attendance:

(a) For obvious reasons, observers from the chain of command must be excluded from attendance at focus groups. This includes ensuring that supervisory relationships are avoided within a single group. You should always ask if any member of the group supervises any other member of the group.

(b) By the same token, the number of sessions must be large enough to provide anonymity for the participants. If the team only has one group, and then reports to the commander, he or she might as well be in the room during the session.

(10) Facilitators identify the moderator, co-moderator, and recorder.

(a) The moderator leads the session, asks the majority of the questions, and provides a final report to the CRT.

(b) The co-moderator assists with follow-up questions if necessary and observes participant reactions and behaviors. Assists in identifying follow-on areas to explore and analyzing information for the report.

(c) The recorder documents the questions asked and the responses received. May interject (minimally) to seek clarification on responses. Helps categorize responses into themes and provides an analysis of the results. If a separate recorder is not available, the co-moderator may be delegated this task.

2. Basic Guidance to Conduct a Focus Group

a. A horseshoe or circle is the preferred room arrangement. Do not use a classroom configuration since it is difficult for everyone to maintain eye contact when they are situated in rows and it may appear as a lecture.

b. Hand out questionnaires to participants as they arrive and ask them to begin filling them out. A questionnaire for command inspections or interviews/assessments addressing command climate issues should have its core questions from the DEOCS survey. This will allow comparisons, if desired, with the data gathered by the command. Participants should not put their names on it. A questionnaire serves three purposes.

(1) It provides the interviewer with comments and concerns of the participants that may or may not be addressed in the focus group.

(2) It orients the individual's thoughts into the areas that may be discussed later.

(3) When collected at the end of the session, it provides written documentation that will contribute to the write-up of the focus group session.

c. There are several types of questions that can be used, depending on the information you are trying to gather.

(1) Open-ended questions elicit a more complete response and more effective participation, and require more than a yes or no answer. The majority of your lead-off questions should be open-ended questions to stimulate as many responses as possible.

(2) Direct questions ask explicitly for a reply on a specified topic. Use the who, what, when, where, why, and how strategy. These questions are more likely to be directed at a specific individual.

(3) Paraphrased questions are those in which the moderator repeats the participant's last response in his or her own words and then follows with a question seeking additional, related information.

(4) Narrow questions are those in which the moderator selects the subject matter to discuss and refines the question to acquire specific information.

(5) Polling questions are utilized when an uninvolved focus group member (e.g., participant who is quiet or displaying body language that signals a lack of interest or an

unwillingness to participate) is a challenge. To encourage quiet or withdrawn group members, it is helpful to use a polling technique in order to elicit each participant's feelings about a particular issue. Avoid serial questioning (e.g., asking each participant to comment in the same order on every issue).

(6) The following types of questions are not helpful, can be counterproductive, and should be avoided:

(a) Loaded questions. A loaded question contains a controversial or unjustified assumption response, taking the respondent in a direction the facilitator wants to go.

(b) Leading questions. These are accompanied by a suggestion of what the answer should be.

(c) Yes or no questions. These are closed-ended and do not elicit useful information explaining the participants' feelings or opinions.

d. While it cannot be guaranteed, moderators should try to ensure the anonymity and confidentiality of focus group participants. The goal of the focus group is to get honest and sincere feedback regarding the areas of interest. If participants believe the information collected will be used for a "witch hunt" the commander may not get the information he/she desires. Comments should be summarized in a way that protects individual participants. You should not attribute a particular comment, either positive or negative, to a specific individual.

e. Develop a feel for the group through generalized questions, such as, "How would you rank the command climate on a scale of 1-10?", etc.

f. After asking the first question of the group, sit down as a member of the group. This will facilitate conversation from the group, place attention on the group discussion and detract attention from the facilitators.

g. Non-attribution. Assure the group participants of non-attribution and emphasize that not only will their anonymity be protected, but the interviewer expects and requires that each individual in the room respect the privacy rights of the others. What is said and by whom should not be discussed by the group participants once they depart the focus group session. The interviewer must explain that his or her partner will be taking notes about what is said concerning issues, but not the names of who said what.

h. Credibility/Trust. Make a special effort towards establishing credibility with the group as well as developing trust. One of the best ways that this can be accomplished is by emphasizing the non-attribution component of this process, and that the information will be conveyed to the decision maker. Interviewers will find that from this point on the group will begin to relax and open up.

i. Attitude. Do not patronize or talk down to the group or any of the participants. This will turn a group off more quickly than anything else, and all interviewers will get is what they think interviewers want to hear. Most groups will correct or contradict an obnoxious individual if given the opportunity.

j. Note-taker(s). In order to conduct an effective focus group session, you should have a minimum of three representatives present. One functions as the session lead moderator, co-moderator and the other as the recorder. The Co-moderator may take notes as well. Two note-takers reduce the likelihood of only a single perspective capturing and summarizing the concerns of the participants. The note-taker(s) may be allowed to periodically enter into the conversation and discussion in order to clarify or verify what is said and to ask questions the leader may have missed. However, these interruptions are to be kept at a bare minimum during the session. Clarification of concerns questions by note-takers are best addressed at the end of the session.

k. Rapport. Develop rapport with the group early in a session. A good method for developing an informal atmosphere is light-hearted joking between the facilitators at the session. However, be careful to keep comments and demeanor professional.

l. Involvement. Make every effort to get everyone involved in the discussion. By maintaining eye contact, interviewers will know when an individual has something to say. A good tactic for getting quiet participants involved is to look at the individual and say, "You looked like you were going to say something a minute ago."

m. Listening. Be a good listener. Let the group ramble from time to time. The main constraints are the session time limitation and the need to ensure that the main areas/issues identified for discussion are adequately addressed.

n. Clarify. Clarify Navy policies on some issues under discussion due to inaccurate impressions perceived by group's members. Be careful to avoid the possibility of the focus group turning into a lecture. Explain Navy policy, but do it briefly and succinctly and get back to the business of listening.

o. Caution. Do not make promises or commitments during a focus group session. An interviewer may lose credibility if he or she has already committed to fix the problem. The correct response for any allegation, whether during a focus group session or an individual complaint session, is "we will look into this matter." Remember, there are usually at least three sides to every story. If an interviewer reacts to on the first story he or she hears, he or she may be wrong at least two thirds of the time.

p. Assessing the Session. Interviewers will know when they have conducted a good focus group session. As the participants depart, they will make comments along the lines of, "thanks for listening," "thanks for coming," or "I feel better just being able to talk about it," etc.

3. Closing the Focus Group Session

- a. During the initial part of the wind-down, an interviewer will be able to determine whether or not they are going to have difficulty closing out the session. The amount of the time allowed for the session to continue should be based on whether or not the group has sufficiently addressed each concern or area of interest and if the additional time spent is worth it to the interviewer and the participants.

b. Under no circumstances should an interviewer allow a session to run overtime if another group is waiting to start the next session. As a planning figure, try to allow a minimum of a half hour between scheduled sessions.

c. Begin to close a session approximately 15 minutes before the scheduled ending time. Interviewers have several actions that should be accomplished and each action can frequently take more time than expected. Hopefully, interviewers will be able to state the objectives of the focus group have been achieved.

d. Have note-taker(s) summarize the areas/issues covered and the general responses perceived on each area. Confirm, where applicable, a general consensus from the group on the areas/issues discussed. Explain what will be done with the information, i.e., brief the appropriate commander. Interviewers must now reemphasize the need for confidentiality and non-attribution. Again, do not promise any desired result.

b. Finalizing the Session. Thank the participants, pick up questionnaires, and close the session. Remain available for individual questions. Team members must, as soon as possible, discuss, and consolidate the appropriate information obtained during the session with the input from the questionnaires and prepare to brief the results.

4. Critiquing focus groups

a. Preparation.

- (1) Was enough time set aside for the session?
- (2) Was enough time set between sessions?
- (3) Was the location appropriate?
- (4) Was the group size appropriate?
- (5) Was the group organized to fit the purpose?
- (6) Was the command notified in sufficient time?
- (7) Were non-approved observers kept out of the room?
- (8) Was the room arranged appropriately?

b. Execution. Did the leader and recorders:

- (1) Arrive in time to set things up?
- (2) Use an outline or questionnaire?

- (3) Orient the participants concerning:
 - (a) Purpose of the session?
 - (b) Personal complaints?
 - (c) Non-attribution?
 - (d) Note-taking?
- (4) Gain the trust and confidence of the group so that the group talked freely?
- (5) Capture the necessary information?
- (6) Avoid making promises he/she couldn't keep?
- (7) Avoid getting defensive?

FOCUS GROUP SESSION CHECKLIST

1. Open the session.
 - a. Introduction (who you are and explain your credentials).
 - b. Purpose (explain why you are there conducting session).
 - c. Confidentiality and anonymity; exception for UCMJ violations or threats, etc.
 - d. Ground Rules.
 - (1) Only one person speaks at a time.
 - (2) Remain respectful of others' opinions, both positive and negative.
 - e. Confidentiality. Do not discuss what others had to say about an issue after departing.
 - f. Be truthful and honest in your answers.
 - g. There are no right or wrong answers.
 - h. Stay focused on the question or topic; limit distractions.
 - i. No note taking or recording by focus group participants.
2. Conduct the session.
 - a. Open-ended and exploratory questions.
 - b. Provide all an opportunity to participate.
 - c. Do not allow the group to get out of control. Manage personnel dynamics; keep the group focused.
 - (1) Dominators. Have something to say about each topic.
 - (2) Experts. Talk from authority, may attempt to sway others.
 - (3) Observers. Shy, quiet, and observant but non-participatory members.
 - (4) Ramblers. Will not keep answers short, succinct, or to the point.

3. Close the session.
 - a. Final thoughts.
 - b. Reemphasize no attribution or retribution.
 - c. Encourage participants not to share which participant made comments during session.
 - d. Thank the group for participating.

APPENDIX D RECORDS AND REPORTS TEMPLATES

Command: _____ Assessment period: _____

Military	Flag	06	05	04	03	02	01	Totals	E9	E8	E7	E6	E5	E4	E3-1	Totals
Male																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Hispanic																
Total Males																
Female																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Hispanic																
Total Females																
Civilian																
Male																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Hispanic																
Total Males																
Female																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Hispanic																
Total Females																

COMMAND COMPOSITION DATA

Total # Staff:	
# Military:	% =
# Civilian:	% =
# Male:	% =
# Female:	% =
% White =	
% American Indian or Alaska Native =	
% Black or African American =	
% Asian =	
% Native Hawaiian or Other Pacific Islander =	
% Hispanic =	
Military:	
% Male =	
% Female =	
% Enlisted =	
% Officer =	
% E1-E3 =	
% E4-E6 =	
% E7-E9 =	
% O1-O3 =	
% O4-O6 =	
Civilian:	
% Male =	
% Female =	
% GS 1-4 =	
% GS 5-8 =	
% GS 9-12 =	
% GS 13-15 =	

ADVANCEMENT DATA - MALE

Command: _____ Assessment period: _____

		E1-E3	E3-E4	E4-E5	E5-E6	E6-E7	E7-E8	E8-E9	Officers	Totals
White	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Black or African American	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
American Indian or Alaska Native	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Native Hawaiian or Other Pacific Islander	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Asian	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Hispanic	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
TOTALS										

ADVANCEMENT DATA - FEMALE

Command: _____ Assessment period: _____

		E1-E3	E3-E4	E4-E5	E5-E6	E6-E7	E7-E8	E8-E9	Officers	Totals
White	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Black or African American	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
American Indian or Alaska Native	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Native Hawaiian or Other Pacific Islander	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Asian	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Hispanic	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
Totals										

RETENTION DATA

Command:				Assessment Period:								
Enlisted												
	First Term			Second Term			Career			Totals		
	Eligible	Ineligible	Re-enlisted	Eligible	Ineligible	Re-enlisted	Eligible	Ineligible	Re-enlisted	Eligible	Ineligible	Re-enlisted
Male												
White												
Black or African American												
American Indian or Alaska Native												
Native Hawaiian or Other Pacific Islander												
Asian												
Hispanic												
Subtotal												
Female												
White												
Black or African American												
American Indian or Alaska Native												
Native Hawaiian or Other Pacific Islander												
Asian												
Hispanic												
Subtotal												
Totals												

RETENTION DATA

Officers					
	Recom'd	Retained	Vol Sep	Invol Sep	Subtotal
Male					
White					
Black or African American					
American Indian or Alaska Native					
Native Hawaiian or Other Pacific Islander					
Asian					
Hispanic					
Total					
Female					
White					
Black or African American					
American Indian or Alaska Native					
Native Hawaiian or Other Pacific Islander					
Asian					
Hispanic					
Total					

DISCIPLINE/DISCHARGE DATA

Command: _____ Assessment period: _____

		Placed on Report	Repeat Offender	Dismissed Prior to Mast	Dismissed at Mast	Received Punishment	Referred to Court Martial
White	Male						
	Female						
	Subtotal						
Black or African American	Male						
	Female						
	Subtotal						
American Indian or Alaska Native	Male						
	Female						
	Subtotal						
Native Hawaiian or Other Pacific Islander	Male						
	Female						
	Subtotal						
Asian	Males						
	Female						
	Subtotal						
Hispanic	Male						
	Female						
	Subtotal						
TOTALS							
	Male						
	Female						

		# of Honorable Discharges	# of General Discharges	# of Undesirable Discharges	# of Bad Conduct	# of Dishonorable Discharges
White	Male					
	Female					
	Subtotal					
Black or African American	Male					
	Female					
	Subtotal					
American Indian or Alaska Native	Male					
	Female					
	Subtotal					
Native Hawaiian or Other Pacific Islander	Male					
	Female					
	Subtotal					
Asian	Male					
	Female					
	Subtotal					
Hispanic	Male					
	Female					
	Subtotal					
TOTALS						
	Male					
	Female					

Note: Applies to officers and enlisted personnel. Record data by the number and paygrade.

AWARDS DATA: MALES

Command: _____

Assessment period: _____

	Male									
White		Flag	O6	O5	O4	O3	O2	O1	CWO	Totals
	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Black or African American	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
American Indian or Alaska Native	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Native Hawaiian or Other Pacific Islander	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotal</i>										
Asian	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotal</i>										
Hispanic	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Totals										

AWARDS DATA: MALES

Male									
White		E9	E8	E7	E6	E5	E4	E3-1	Totals
	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Black or African American	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
American Indian or Alaska Native	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Native Hawaiian or Other Pacific Islander	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Asian	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Hispanic	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Totals									

AWARDS DATA: FEMALES

Command: _____

Assessment period: _____

	Female									
	Flag	O6	O5	O4	O3	O2	O1	CWO	Totals	
White	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Black or African American	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
American Indian or Alaska Native	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Native Hawaiian or Other Pacific Islander	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotal</i>										
Asian	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotal</i>										
Hispanic	MSM & UP									
	NCM									
	NAM									
	LOC									
<i>Subtotals</i>										
Totals										

AWARDS DATA: FEMALES

Female									
White		E9	E8	E7	E6	E5	E4	E3-1	Totals
	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Black or African American	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
American Indian or Alaska Native	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Native Hawaiian or Other Pacific Islander	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Asian	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Hispanic	MSM & UP								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Totals									

INTERVIEW DATA

Date	Interviews
Notes	
Summary	

Note: Responses should be coded as to grade, ethnicity, gender, and time on board. (For example: E7/WM/2YOB)

**APPENDIX E
SAMPLE PLAN OF ACTION AND MILESTONE**

Leaders can use a tracking document like the example below, that illustrates action plan progress in real time, showing the status of each item. This document should be updated regularly, and made available to the unit

ABC Command Climate Assessment Action Plan							
Today's date:		17-Aug-2017					
Action Step Number	Description of Issue/Concern/Problem	Steps / Actions to Address Issue	Responsible party(s)	Anticipated Completion (Day/Month or "Ongoing")	Days Untill Anticipated Completion	Status (Not Started, Ongoing, Complete, Delayed)	Time till Due
1	Lack of timely end-of-tour award submissions	Create calendar to track anticipated rotation dates; establish >90 day deadline	Department heads	Ongoing	Continuous	CONTINUOUS	N/A
2	Lack of vehicle for submitting suggestions	Create e-mail address for suggestions; place suggestion box in lunch room; check each weekly	Chief of Staff	28-Aug-17	11	ongoing	< 2 WEEKS
3	IT support inadequate; all efforts to improve contractor service quality have failed	Investigate option to terminate contract with current provider & find new provider	Chief of Staff	31-Oct-17	75	not started	>1 MONTH
4	Low number of social events during work hours	Schedule 1 social event per fiscal quarter; establish rotating hosting schedule among department heads	Department heads	25-Aug-17	8	complete	
5	Lack of off-site training opportunities	Earmark FY2018 command funds for offsite training; create list of requests for training	Chief of Staff	15-Apr-18	241	ongoing	>1 MONTH
6	All-Hands meetings held infrequently	Establish All-Hands meeting schedule for FY18; minimum one per fiscal quarter	Commander	28-Sep-17	42	ongoing	>1 MONTH
7	Lack of cross-training among departments' administrative personnel; absences aren't well-covered	Establish cross-training sessions among all admin personnel	Chief of Staff	15-Oct-17	59	ongoing	>1 MONTH

Ultimately, leaders can leverage the tracking document to demonstrate the organization's members that they are willing to listen – and are pursuing concrete steps to improve climate.

APPENDIX F
Leadership Ready Reference Guide

A Sailor's overall Wellness (physical, mental, social and spiritual) could be impacted by the following indicators:

Note: The below are examples, and do not provide all the indicators a Sailor might display.

1. Relationship problems:
 - a. Separation or divorce
 - b. Frequent change of roommates
 - c. Geo-bachelor for more than 90 days
 - d. Recent break-up with a boyfriend or girlfriend
 - e. Inability to establish/execute a current Family Care Plan
 - f. Dysfunctional intimate partner relationship
 - g. Recent loss of a loved one

2. Family history:
 - a. Family history of suicide
 - b. History of family discord
 - c. Family history of behavioral health disorder(s)

3. Legal or disciplinary problems
 - a. Legal issues concerning dependents (Spouse and/or children)
 - b. Disciplinary issues (civilian or military):
 - (1) History of NJPs from previous unit
 - (2) Pending NJPs
 - (3) Pending Court Martial
 - (4) Pending Court actions

4. The subject of an investigation by civilian or military authorities.

5. Enlistment waiver/mental aptitude waiver.

6. Performance problems
 - a. Unable to perform to his/her potential
 - b. Passed over for promotion
 - c. Pending administrative or medical separation
 - d. PFA failure
 - e. Out of compliance with Navy body composition standards
 - f. Psychosocial and/or performance issues from previous unit

7. Financial difficulties:

- a. Money-related concerns
- b. Dependent, spousal and/or child support
- c. Mortgage delinquency, foreclosure or excessive debt

8. Behavioral health issues:

- a. Behaving or acting differently (abnormal patterns) at work or off-duty
- b. Recent (since last deployment or within the last calendar year) mental health evaluation by either a civilian or military health care provider
- c. Post-Traumatic Stress issues or other stressors identified
- d. Any disqualifying condition listed in MANMED (NAVMED P-117), Chapter 15, Article 15-58, Psychiatric and Behavioral disorders.
- e. History of psychiatric hospitalizations, to include drug and/or alcohol rehabilitation.
- f. History of prior suicide attempt.
- g. History of psychotropic medication use for treatment of a mental health condition.
- h. A sense of hopelessness
- i. History of childhood abuse (emotional, sexual, and physical)
- j. Past suicide attempt(s)
- k. Placed on Medical Hold
- l. Continuous light duty chits

9. Guidance issues

- a. Change in spirituality (Spirituality refers generally to that which gives meaning and purpose in life. The term may be used specifically refer to the practice of a philosophy, religion, or way of living.)
- b. Demonstrating lack of prudence to know right from wrong
- c. Lack of courage or character in action
- d. Lack of self-control
- e. Demonstrating lack or loss of ethical/moral compass
- f. Moral injury resulting from traumatic event or killing in combat

10. Substance abuse

- a. Past or current substance abuse history
- b. Taking high risk prescription medications (psychotropic/narcotic) or a high number of prescription medications
- c. High risk or high number of medications from a civilian health care provider
- d. Using alcohol and high risk or high number of prescription medications at the same time
- e. Any alcohol or drug-related offenses or incidents

11. Off-duty activities

- a. Deteriorating relationships with friends or family
- b. High-risk hobbies
- c. High-risk recreational activities
- d. Loner
- e. Riding or driving clubs
- f. Ownership of a personal firearm