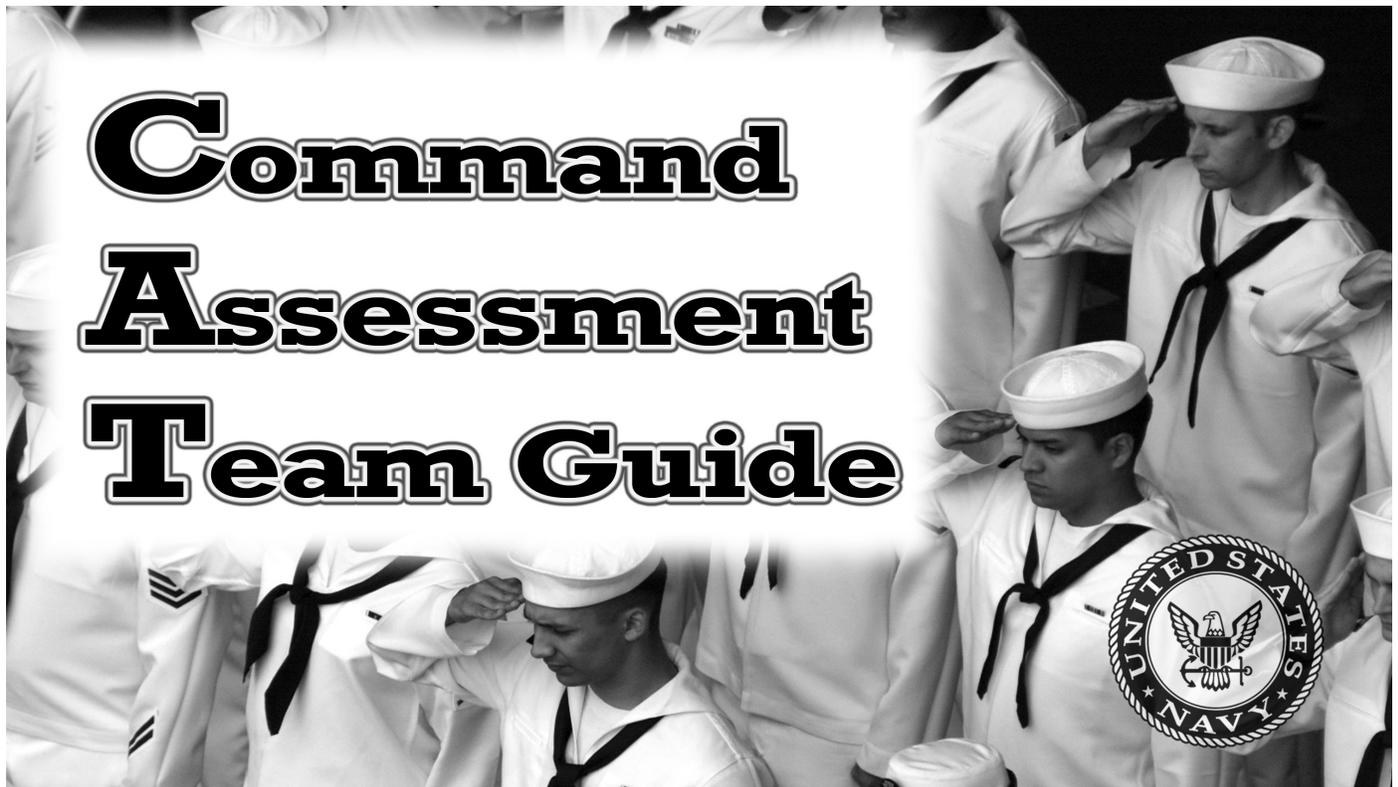


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Naval Education
and Training Command

Command Assessment
Team Information Guide



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INTRODUCTION

1. Purpose

This guide was developed to guide the Command Assessment Team(CAT)Chairman and team members through the completion of the Command Assessment Process.

2. Outline

This guide is divided into four chapters and four appendices. The chapters outline the main action steps to complete the assessment process. The appendices provided supplemental data that can be useful in completing the process. The main sections are:

- a. Part I: Planning for Command Assessments - Provides a step by step plan from forming of the CAT to briefing the results and after action. It briefly outlines the six-step process for completing a formal command assessment.
- b. Part II: Gathering Data - Outlines Steps 1-3 of the assessment process, which involve data gathering methods and strategies.
- c. Part III: Analyzing Data - Outlines step 4 of the assessment process, which explains how to analyze the data collected in Steps 1-3.
- d. Part IV: Preparing and Briefing the Results - Outlines Steps 5 and 6 of the assessment process. It provides an outline of how to prepare and brief a plan of action to the Commander.
- e. Appendices: The appendices provide; a planning guide for conducting focus groups, statistical data for determining survey populations, and forms to use at various steps during the assessment process.

PART I: PLANNING FOR COMMAND ASSESSMENT

1. Roles of the Executive Officer (XO) and CMEO Officer

- a. The XO is the CAT Chairman and has overall responsibility for completion of assessments.
- b. The CMEO Officer will likely serve as the action officer with primary responsibility for the completion of the CAT process and training of CAT members.

2. Establish a Plan

- a. The CMEO Officer should provide a schedule and plan to the XO.
- b. The plan should include:
 - (1) A list of CAT members.
 - (2) Dates and plans for training CAT members.

Note:

The CAT training course is available on Navy College Online (NKO), Course ID number CNET9210, Command Assessment Training Indoctrination (CATI) Course.

- (3) Dates, primary and alternate, of CAT milestones.
Examples of milestones include; meetings, distribution of surveys, consolidation of survey results, observations or interviews, and final report to CO.
 - (4) A copy of the previous assessment results and the Plan of Action and Milestones (POA&M) with actions noted as complete or incomplete.
- c. Set up a POA&M for the process. (Refer to Appendix D for a sample POA&M.)
 - (1) Assign CAT members responsibilities and timelines. Responsibilities may be assigned to individuals or committees. See paragraph 4.

- (2) Since the Command assessment is a snapshot in time, the assessment period should not exceed 60 days. 30 days is optimal!

3. First CAT Meeting

- a. Set aside two - four hours for the first meeting.
- b. Appoint a recorder.
- c. Outline the purpose of the assessment as provided by the CO.
- d. Outline the plan for conducting the assessment. Review the six-step process.
 - (1) Collect command demographics
 - (2) Administer the Defense Equal Opportunity Management Institute (DEOMI) Organizational Climate Survey (DEOCS)
 - (3) Conduct interviews and observations
 - (4) Conduct analysis loop
 - (5) Develop the POA&M
 - (6) Present findings/recommendations to the CO
- e. Outline the CAT POA&M for completing the assessment.

4. Committees

- a. Committees allow the CAT to decentralize responsibilities and allow for more efficient and timely process.
- b. Examples of committees
 - (1) Demographics - the demographic committee collects, and analyzes the demographic data.
 - (2) Survey - the survey committee distributes, collects, and analyzes results of the survey.

- (3) Interview/Observation - the Interview/Observation committee consolidates and analyzes the data from interviews and observations. All CAT members should be involved conducting interviews and observations because interviewers/observers should be similar in demographics to their subjects.
- c. The Demographics and Survey Committees can be accomplishing their tasks simultaneously.
- d. Each committee should provide a one - two page summary report of their results for distribution and briefing to the entire CAT.

5. Second CAT Meeting

- a. Review the data presented from the Demographics and Survey committees, and plan interviews, observations and/or focus groups.
- b. Interview questions and observations should be based on:
 - (1) Any significant trends which would indicate inequitable treatment or harassment against one particular group.
 - (2) Any concerns for other command climate or quality of life issues.
 - (3) Focus groups may be added or used as a substitute when group interviewing appears appropriate. Groups are generally more appropriate than interviews if a majority of a specific population feels that inequitable treatment or some other violation is occurring. (Refer to Appendix A for an outline on conducting focus groups.)
- c. The Interview and Observation committee should analyze all of their data before the next meeting. If a committee is not used, this step will be performed at the next meeting.

6. Third CAT Meeting

- a. Analyze all of the data for a more complete picture. Data includes: demographics, surveys, interviews, and observations.

- b. Assess if the data together provides any significant information about harassment, discrimination, mistreatment, or other inappropriate behaviors.
- c. Prepare recommendations based on the specific findings.
- d. Determine responsibility for completing the action(s) and their completion dates.
- e. Prepare the Plan of Action and Milestones (POA&M).

7. Presentation to the CO

- a. Schedule a meeting no more than one hour in length, allowing a minimum of 30 minutes for questions and discussions.
- b. The presentation should include:
 - (1) The purpose and objectives.
 - (2) A review of the process.
 - (3) A summary of findings.
 - (4) The supporting facts.
 - (5) The recommendations of POA&M.
- c. Brief the results to the command.
 - (1) Remind the CO the results of the assessment need to be briefed as soon as possible.
 - (2) Try to get a commitment from the CO for a date before the meeting ends.
- d. Following the debrief, CMEO Officers should assist in ensuring implementation and monitoring the POA&M actions approved by the CO.

8. Additional CAT Meetings

- a. It is recommended that the CAT meet quarterly thereafter, for progress reviews on the POA&M.
- b. The XO has discretion in scheduling CAT meetings and mandating attendance.

PART II: GATHERING DATA

STEP 1: COLLECT COMMAND DEMOGRAPHICS

1. Purpose

To determine an overall picture of the command based upon records and data. Demographics are the only facts collected during the command assessment. The survey, interviews, observations and focus groups (if conducted) are perceptions.

2. Demographic data consists of

a. Command Composition Data - command composition data is a snapshot of the command population by grade, gender and race/ethnicity. Be sure to have separate categories for civilian data when civilians are included in the command assessment. Provider: Administrative Officer.

b. Command Demographics - command demographics form a collective profile of types of people; defined in categories which includes data on advancement, retention and discipline.

(1) Advancement - exam and advancement results. Provider: Admin/Personnel Officer and Career Counselor.

(2) Retention - retention and reenlistment statistics
Provider: Career Counselor.

(3) Discipline - discharge, NJP and court-martial data.
Provider: Legal Officer.

(4) Records/Reports - training records, DAPA records, inspection reports, and Career Counselor files. Provider: Department Heads, Division Officers, and Special Assistants.

3. Advancement Data

a. Categorized by ethnic group, paygrade, gender and rank.

b. Data collected:

- Eligible
- Recommended
- Advanced/Promoted
- Passed, but Not Advanced (PNA's)
- Failed
- Board eligible and selected (E7-E9)

c. Eligibility, recommendation, and promotion statistic should also be collected for officers

4. Retention Data

a. Categorized by ethnic group, paygrade, gender, and rank.

b. Data collected:

- Career term: first, second, career
- Eligibility of candidate(s)
- Did eligible member(s) choose to reenlist?

c. The categories in paragraph 4.b. do not apply to officers however, data should be collected on the number of officers who elected to resign. (The number of officers discharged for legal reasons should be provided with the Discipline data.)

5. Discipline Data

a. Categorized by ethnic group, paygrade, gender, and rank.

b. Data collected:

- Placed on report
- Repeat offenders
- Dismissed prior to and at mast
- Court-martialed
- Issued NJP
- Discharged: Honorable, Dishonorable, and BCD

6. A Data Reduction Summary sheet should be used to compile the data to indicate any areas of concern.

STEP 2: ADMINISTER THE DEFENSE EQUAL ORGANICATIONAL CLIMATE SURVEY (DEOCS) SURVEY

1. Purpose

To outline procedures for administering the DEOCS survey.

2. DEOCS Survey

The CAT should delegate responsibility for overseeing the survey process to either a Survey Committee or action person(s). (Refer to Part I for information on "the Committees".)

3. Survey Administration

DEOCS can be administered using paper questionnaires, completed online, or with a combination of both. The questionnaires typically take about 20 minutes to complete. To order the Defense Equal Opportunity Climate Survey (DEOCS) go to <http://www.deomi.org/>.

4. The following actions should be taken in preparation of administering the survey

- a. Delegate CAT tasks assignments. These tasks can be delegated to the survey committee for further designation or delegated to individual CAT members when committees are not used.
 - (1) Who will be the spokesperson for the survey?
 - (2) Who will distribute passwords?
 - (3) Who will input the command specific questions?
 - (4) Who will consolidate the results?
- b. Select a date, or dates, and advertise them using flyers, the Plan of the Day or Week, and/or an electronic bulletin board.

Note:

The survey is a "snapshot" in time, therefore, it is highly recommended that the survey period be no longer than two weeks.

5. About the DEOCS Survey

- a. The survey measures climate factors associated with the Military Equal Opportunity (MEO) Program, Civilian Equal Employment Opportunity (CEEEO) program, and Organizational Effectiveness (OE) issues. The race-ethnic classification system used in DEOCS is consistent with recent Office of Management and Budget (OMB) guidelines for classification of racial groups and multi-racial designations. Approximately half of the questionnaire items address EO/EEEO issues; the remainder address organizational and demographic areas. The DEOCS is a climate assessment instrument designed to access the "shared perceptions" of respondents about formal or informal policies, practices, and procedures likely to occur in the organization. The survey does not collect or use personally identifiable information and is not retrieved by personal identifiers. Therefore, the information collected is not subject to the Privacy Act of 1974. Refer to Appendix B for more detailed information about the survey.

STEP 3: CONDUCT INTERVIEWS AND OBSERVATIONS

1. Purpose

To gain information in order to verify and/or substantiate previous findings from the demographic and survey data. Interviews and observations provide a deeper probe, particularly for areas in which information may have been too personal or too difficult to put on a survey.

2. Interviews

a. The CAT will need to decide:

- (1) How many people will be interviewed to obtain a representative sampling?
 - (a) The CAT can select personnel by the last number of SSN or do a random name selection.
 - (b) A general rule for the number of interviewers is to select at least 10% of the number of personnel surveyed.
- (2) Who will be interviewed? If random selection does not provide a diverse selection, then the command can randomly-select more personnel until diversity is achieved.
- (3) Where and when will they be interviewed? Find a place private and neutral away from busy work centers. Private officer and conference rooms are good locations. Dining facilities and recreation/fitness center should be avoided.
- 4) Who will do the interviewing? Assign more than one interviewer so the CAT will obtain more than one member's perceptions. Also, when feasible, use CAT members representative of command demographics to ensure rapport.
- (5) What specific questions will need to be asked?
 - (a) Questions should be based upon results of demographics and survey data.

Example:

Demographic data revealed that a particular group of personnel had a higher failure rate for the advancement exam, and survey data revealed a higher percentage of agreement for discrimination against that group than other groups. The CAT might want to formulate a question designed to provide more information to either validate or nullify this data, and/or solicit recommendations to minimize the perception of discrimination and/or favoritism.

(b) General interest/knowledge questions may also be added for informational purposes.

- b. Once preliminary items are decided, the CAT should decide upon start and end dates for conducting the interviews. It is important to keep the information timely; interviews begin within a week after the survey is optimum.
- c. The interviewers should then contact the personnel to set up an appointment schedule. The interviewers should be open and inform the interviewee of the purpose of the interview, and of the selection process. Interviewers want to eliminate any uneasiness that the interviewee may have about sharing information.
- d. Conducting interviews:

(1) Elements of an interview

(a) Interviewer introduction and objectives

- The interviewer should introduce him/herself and state the objectives of the interview.
- Explain the confidentiality issue and inform the interviewees that they will be identified only by paygrade, gender and ethnicity.

(b) During the interview

- Make the person feel comfortable, positive, do not use negative body language.
- Have certain questions prepared and stay on track.
- Use open-ended and probing questions, and follow-up.
- Be a good listener.
- Explain that you are taking notes that will be used during the assessment process.

Note:

Prior to commencement of the interview, inform the interviewee that it is your duty to report any violations of the UCMJ as a member of the Armed Services. Encourage the interviewee to refrain from any self-incrimination.

(2) Samples of probing questions:

- (a) Why was that?
- (b) What happened after that?
- (c) Where you satisfied with that? Why or why not?
- (d) How did that make you feel?
- (e) Could you say more about that?
- (f) What suggestions do you have that could have made it better?

(3) What to avoid

- (a) Rephrasing what's has been said in your own words.
- (b) Prolonging or cutting interviews based on your personal feeling toward the person.
- (c) Assuming you understand when clarification is needed.
- (d) Displaying emotion.
- (e) Stereotyping people.
- (f) Interjecting personal views and biases.
- (g) Trying to please or charm.
- (h) Solving problems and making guarantees.

(4) Closing the interview

- (a) Be sure to summarize the information obtained.
- (b) Restate the confidentiality policy.

3. Observations

- a. Observations can be done as a separate action item after the completion of interviews, or they can be accomplished at any time throughout the command assessment process and by any CAT member. Observations can be very useful, particularly when information is needed about specific groups of personnel. The completion of observations is optional.

- b. Information gained through observation:
 - (1) Configurations of various groups; for example, co-workers, peers, team members, organizations, roommates, etc.
 - (2) What interactions/polarizations occur?
 - (3) Derogatory, racist, sexist behaviors in the forms of jokes, remarks, etc.
 - (4) Who participates in particular forms of behavior?
 - (5) What increases tension?
 - (6) What or who resolves the conflict?
- c. Locations in which observations can be made: work spaces, conference rooms, classrooms, clubs, bars, messing/dining facilities, gyms, recreation centers, libraries, BOQ/BEQ, etc.
- d. It is important to distinguish between valid and irrelevant observations.
 - (1) Valid observations are directly related to the issues that the CAT has been tasked to assess.
 - (2) Irrelevant observations are those outside of this task; for example, mess hall lines, conditions of living quarters, etc. Only if those have connection with either morale and mission readiness or EO issues would they be pertinent.

4. Data Reduction Summary

A Data Reduction Summary Sheet should be used to record this data. Be sure to indicate any areas of concerns.

PART III: ANALYZING DATA

STEP 4: CONDUCT ANALYSIS LOOP

1. Purpose

This step is the point at which findings from Steps 1 through 3 are merged. In reality, some analysis should have already occurred along the way. The analysis done in Step 4 directly affects the significance of recommendations to the CO. If analysis is flawed, the findings will be inconsequential and irrelevant.

2. Group dynamics are important during this step

- a. Every team member must be provided equal status and communication of views during this step.
- b. It is important to realize that an individual's personality and strengths may contribute to their viewpoint. Two people with strong viewpoints may come to different conclusions, but both views may be valid.
- c. Listening and interacting ensures more balanced findings and recommendations.

3. About findings

- a. The key is synthesis and merging of data to determine findings which are valid and which indicate a pattern. A trend supported by statistics and comments will yield issues that the CAT can make recommendations concerning.
- b. Personnel may have perceptions and opinions, but they may not be valid for the whole command or may not be detrimental to command climate. For example, personality problems and single incidents should not be blown out of proportion, nor should too much be read into them. The CAT will need to apply wisdom and careful analysis to determine which statistics affect the command environment as a whole.
- c. The CAT should adopt a mentality of activism rather passivity.

- (1) Do not be afraid to identify and address unfavorable findings. Sometimes a group may think that it is better to let things be or let a problem correct itself. This is not always wise because the problem may deteriorate further before improving.
- (2) It is always better for the CAT to alert the CO of a particular concern and let him/her make the decision on whether action should be taken.

4. Interpreting/Analyzing Findings

a. Types of queries/questions:

- (1) Are common themes reflected across groups with regards to retention, discipline, and advancement? Were there disparities between groups?
- (2) Did comments to command specific questions indicate concerns that support any issues raised by the survey? Did the comments raise any issues that may require additional data and analysis?
- (3) For survey data, were there any negative responses or disparities of 0.5 or greater between groups? Were there any disparities of 0.5 or greater when comparing total response findings to the previous assessment?
- (4) Did the interview/observation data support the demographics and survey data?
- (5) Was data contrary to previous findings? If so, is additional assessment required? Should focus groups or more interviews be done?
- (6) Are there common themes throughout the demographics, survey, interview, and observation data?

Example:

- Poor retention of (any group)
 - Disproportionate number of (any group) not advanced
 - Disproportionate number of (any group) receiving discipline
 - Is any particular group getting recommended for promotion or receiving awards more than another?
 - Do men and women differ on their perceptions of sexual harassment/discipline/discrimination/grievances, etc.?
 - Do officer and enlisted personnel have different perceptions on discipline/retention/discipline, etc.?
 - Do different ethnic groups have different perceptions about disciplines/retention/discrimination, etc.?
 - Is leadership supportive? Does teamwork and cohesion exist?
- b. Where disproportionate results occur, determine if there are valid reasons before assuming that a problem exists.

5. Record recommendations

Based on findings, be specific in what tools/programs and resources need to be applied.

PART IV: PREPARING FOR & PRESENTING THE DATA

STEP 5: DEVELOP PLAN OF ACTION AND MILESTONES (POA&M)

1. Purpose

To provide a plan for correcting concerns and problems.

2. Determining recommendations

- a. Take each finding and brainstorm possible solutions to correct problems. As the CAT considers solutions to problems, take these factors into consideration:

(1) What are the effects of not solving the problem?

(2) What are the benefits to be gained?

(3) What are the pros and cons of not attempting to solve the problem?

(4) Is solving the problem worthwhile?

(5) What are the desired results and measure(s) of achievement for each result?

- b. Separate the list of possible solutions into realistic and unrealistic. Realistic solutions are feasible, practical, and attainable. Consider the resources - materials, manpower, funding and time - required to correct the problem. Also determine if the solution(s) will deliver results.

- c. Realistic solutions become recommendations, and a plan of action is developed from the recommendations.

3. POA&M

Develop a Plan of Action and Milestones using recommended solutions and goals. A POA&M includes: a goal of statement, action task(s), start date(s), stop/completion date(s), and action person(s).

a. Writing goal statements.

(1) Goals are corrective actions that address a concern or problem.

(2) Goal statements communicate the goal. Goal statements should begin with the word "to," which indicates intent, followed by a verb, which indicates action.

Characteristics of good goal statements include:

(a) Specific in scope - the goals have solutions which will directly impact particular problems.

(b) Measurable - achievement of the goal can be assessed by reviewing specific actions. Anyone should be able to look at the solution and see the steps being taken to correct a deficiency.

(c) Attainable and realistic - within reason and reach; proper resources are available to reach the goal.

b. Action tasks are steps that need to be taken to achieve the goal.

Example:

Assessment findings indicate that HTFN have a less successful rate of passing exams than other E-3s due to their work schedules. This problem was leading to a perception of both substandard personnel and poor leadership, which in turn, was affecting readiness. The CAT might want to recommend that the Engineering department have a formal study group weekly to help the firemen prepare for the exam.

PLAN OF ACTION & MILESTONES			
Goal Statement: To institute a bi-weekly training program designed to improve the passing rate for HTFN on advancement exams.			
Action Tasks	Start Date	Stop Date	Action person
1. Determine areas of deficiency	1 Apr	15 Apr	LPO
2. Prepare lesson guides/materials	15 Apr	30 Apr	LPO-Lead
3. Establish training schedule	1 May	N/A	LPO
4. Conduct Training	8 May	15 Sep	As assigned by LPO
5. Conduct knowledge/proficiency assessments	1 Jul	15 Sep	Applicable trainers

STEP 6: PRESENT FINDINGS/RECOMMENDATIONS

1. Purpose

To debrief the CO and present the findings, recommendations, and POA&M for improving command climate.

2. Preparing the written report

- a. The CAT should prepare a report for assessment for the CO.
- b. The basic letter should be a one to two page summary of the CAT process, from start to finish. A summary of the data, the findings, recommendations and POA&M should be attached as enclosures to the letter.
- c. Forward the report three to five working days in advance of the meeting scheduled to present the report. Schedule a time and a place for the meeting. A good rule of thumb is to allow one hour for the meeting - 30 minutes for the briefing and 30 minutes for questions and answers. Be sure to include the tentative date and time for the meeting.

3. Preparation for briefing the results to the CO and the command

- a. Purpose of the brief
 - (1) To acquaint the CO with the process and data.
 - (2) To work through questions/reactions to the data.
 - (3) To allow the CO to focus on the most critical observations.
 - (4) To identify areas that the CO feels requires additional information.
 - (5) To solicit the CO's approval, and/or modification, and amplification of the POA&M.

- b. The CAT should decide who will lead the briefing and if there will be more than one presenter.
- c. At a minimum, all CAT members directly involved in collecting data should be present. The CAT should be able to provide detailed information and statistics, if and when requested by the CO.
- d. Remind the CO that a debrief of the results should be provided to the command as soon as possible.
 - (1) The debrief should be provided at the command specific workshop. The CAT should work with the Command Training Team (CTT) to incorporate any appropriate or required training.
 - (2) Try to get a commitment for a date before the meeting ends.

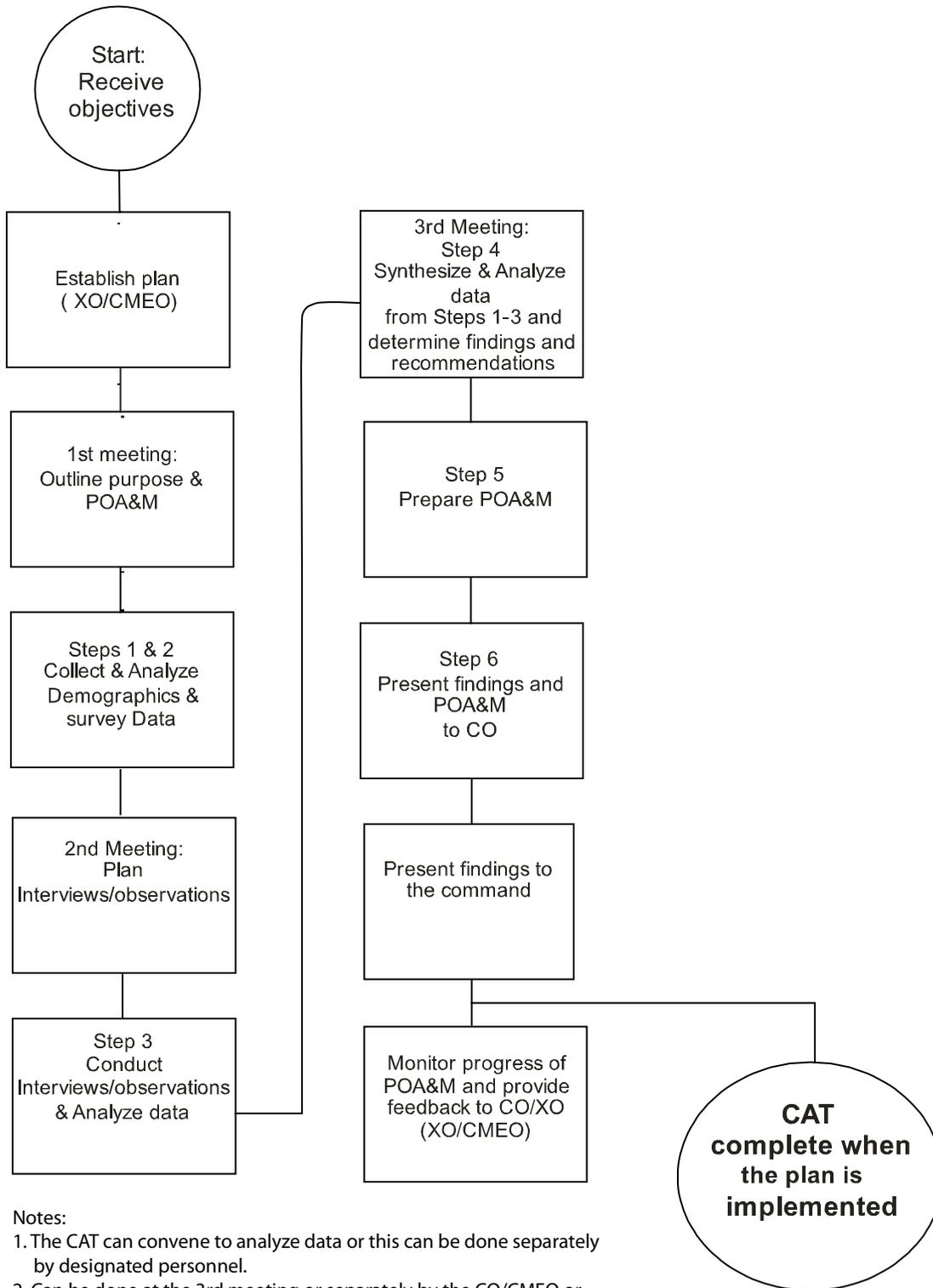
5. The presentation

- a. State the purpose and objective(s), as dictated by the CO.
- b. Review the process. Briefly outline the first five steps of the process. Try to use no more than three sentences to outline each step.
- c. Summarize the findings.
 - (1) Summarize the findings and information that supports the findings.
 - (2) Use comparisons to show areas of improvement or decline. Highlight strong areas first.
- d. Provide recommendations for each area highlighted.
 - (1) Could be "continue as is" for positive areas and implementation of programs for weak areas.
 - (2) Use the POA&M to outline a specific plan for correcting deficiencies.

6. Follow-up

- a. Maintain CAT records for a minimum of 36 months. Mark records "For Official Use Only" (FOUO). All survey, interview and observation data is to remain confidential.
- b. The CAT Chairman and CMEO Officer should monitor the plan (POA&M) approved by the CO for implementation. Monthly feedback should be provided to the CO.
- c. The CAT should be available to help implement any changes as a result of the assessment.

Flow Chart: The Command Assessment



Notes:

1. The CAT can convene to analyze data or this can be done separately by designated personnel.
2. Can be done at the 3rd meeting or separately by the CO/CMEO or designated personnel.

Appendixes

APPENDIX A

CONDUCTING FOCUS GROUPS

Background

A focus group is a group interview designed to provide the interviewer with feedback on issues affecting the interviewees. Lessons learned and expertise derived from the planning and conduct of previous focus group sessions conducted in the field are incorporated into this information sheet.

Planning

1. Develop a Plan. During the development of the focus group plan, the following must be considered:
 - a. The objective of a focus group is to provide commanders and decision makers "perceptions" of Sailors, civilians, and/or family members in order to gain insight into special, organizational, or environmental issues, which they are familiar with.
 - b. Determine and clearly define the purpose of each particular focus group, i.e. results command climate assessment, etc.
 - c. Identify the issues/areas to be addressed and prepare a lead - in question for each issue.
 - d. Once all issues to be addressed in the focus group are identified, they should be consolidated on the questionnaire. Focus groups without questionnaires are acceptable if preparation has been thorough and the time available precludes production of a questionnaire.
 - e. The time available must be considered from two aspects:

- (1) 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 the in afternoon. Use evening sessions if dependents are desired. If more than two sessions are conducted in the morning or afternoon, you will not have time to consolidate your notes on that session, therefore the quality of the product/feedback to the appropriate commander will suffer.
 - (2) A focus group session should not normally exceed one hour in duration. You should begin to wind - down the focus group approximately 15 minutes before you want to terminate the session.
2. Location. The facility requested/used for focus groups should be a relatively private location, preferably away from headquarters, although this should not be an overriding concern. A conference room or classroom normally meets this need.
 3. Group Size and Make-up:
 - a. The preferred size of the group may range from eight to twenty personnel. If more than 20 participants are allowed in a group, you will not be able to maintain sufficient eye contact with the entire group. This eye contact is necessary so that when a group of participant makes a statement that another participant agrees/disagrees with, you will be able to either call on (or ignore, as appropriate), thereby offering an opposing view.
 - b. You should stratify your groups. This is an essential factor in assuring open and honest discussions. Some possible groupings by strata are as follows:

Military:

E3 and below
 Petty Officers
 Chief Petty Officers
 Officers (O1-O4)
 Officers (Other)

Civilian:

GS 2-7
 GS 8-12
 GS 13-15
 GS 1-7
 GS 8-12

You 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.

4. Notification to the command:

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

- (1) The letter/memo should identify the purpose and other logistical requirements for the group(s).

- (2) A Point of Contact (POC) must be designated for the above support requirements coordination.

5. Attendance:

- a. For obvious reasons, observers from the chain of command must be excluded from attendance at focus groups. This includes insuring 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. Visitors may attend focus group sessions if you/they desire. Visitors and note takers should be cautioned to be silent and unobtrusive. Command IG's are excluded from participation because of their dual role in the organization.

- c. By the same token, the number of sessions must be large enough to provide anonymity for the participants. If you only have one group, and then report to the commander, he/she might as well be in the room during the session.

Basic Guidance

1. Room Arrangement. 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.

2. Questionnaire:

- a. You may want to 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.
- b. A questionnaire serves three purposes:
 - (1) It gives the individual something to do and think about while waiting for all participants to arrive.
 - (2) It orients the individual(s) thoughts into the areas you will later discuss.
 - (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.

3. Opening the Session:

- a. After all participants have arrived and are working on the questionnaires, you should introduce yourself and your partner. It is not appropriate to have each participant introduce him/herself, or identify what organization he/she represents.
- b. Explain the purpose of this particular focus group. The central purpose is to obtain group consensus (where possible) on perceptions of the issues/areas addressed on the handout questionnaires for use as feedback to the appropriate commander for his/her consideration and action as appropriate.
- c. Ensure that you inform the group that this is not a complaint session, but individual complaints may be addressed to you following focus group session. A personal experience in the area being discussed is acceptable and solicited for discussion.

- d. You should 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.
 - e. **After asking your 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.
4. *Non-attribution.* Assure the group participants of non-attribution and emphasize that not only will you protect their anonymity, but you expect and require 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. You must explain that your partner will be taking notes about what is said concerning issues, but not the names of who said what.
 5. *Credibility/Trust.* You should make special effort towards establishing credibility with the group as well as developing a trust in you and your partner. 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. You will find that from this point on the group will begin to relax and open up to you.
 6. *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 you will get is what they think you want to hear. Most groups will correct or contradict an obnoxious individual if you give them the opportunity.
 7. *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 leader and the others as the note-taker(s). 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/or discussion in order to clarify/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.

8. *Rapport*. You must 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, you must be careful to keep your comments and demeanor professional.
9. *Involvement*. You must make every effort to get everyone involved in the discussion. By maintaining eye contact, you 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."
10. *Listening*. Be a good listener. Let the group ramble from time to time. Your main constraints are the session time limitation and the need to ensure that the main areas/issues identified for discussion are adequately addressed.
11. *Clarify*. You may need to clarify Navy policies on some issues under discussion due to inaccurate impressions perceived by groups members. You must 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.
12. *Caution*. Do not make promises or commitments during a focus group session. It is easy to fall into a trap of telling someone you will/can fix a problem that is obviously broken and will only require a couple of telephone calls. More often than not, if there is a different slant on the problem. You may lose credibility if you have 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 you react to on the first story you hear, you may be wrong at least two thirds of the time.
13. *Assessing the Session*. You will know when you 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.

Closing The Focus Group Session

1. Closing:

- a. During the initial part of the wind-down, you will be able to determine whether or not you 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 you have sufficiently addressed each issue/area of interest and if the additional time being spent is worth it to you and/or the participants.
- b. Under no circumstances should you 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. You have several actions that should be accomplished and each action can frequently take more time than expected. Hopefully, you will be able to state the objectives of the focus group have been achieved.
- d. Have your 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 you will do with the information, i. e., brief the appropriate commander. You must now, reemphasize the need for confidentiality and non-attribution. Again, do not promise any desired result.

2. *Finalizing the Session.* Thank the participants, pick up questionnaires, and close the session. Remain available for individual questions. You and your 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.

Critiquing Focus Groups

1. Preparation:

- a. Was enough time set aside for the session?

3. Closing the session. Did the leader and recorder:

- a. Begin the closing in time?
- b. Summarize the discussion?
- c. Explain how the information will be used?
- d. Reemphasize the need for everyone to protect confidentiality?
- e. Thank the participants?
- f. Remain behind to take personal complaints?

*Provided courtesy of the Navy Inspector General's Office.
(circa 2005)*

- b. Was enough time set between sessions?
 - c. Was the location appropriate?
 - d. Was the group size appropriate?
 - e. Was the group organized to fit the purpose?
 - f. Was the command notified in sufficient time to avoid problems?
 - g. If civilians were involved, was the union contacted?
 - i. Were non-approved observers kept out of the room?
 - j. Was the room arranged appropriately?
2. Execution: Did the leader and recorders:
- a. Arrive in time to set things up?
 - b. Use an outline or questionnaire?
 - c. Orient the participants concerning:
 - (1) Purpose of the session?
 - (2) Personal complaints?
 - (3) Non-attribution?
 - (4) Note-taking?
 - e. Gain the trust and confidence of the group so that the group talked freely?
 - f. Capture the necessary information?
 - g. Avoid making promises he/she couldn't keep?
 - h. Avoid getting defensive?

APPENDIX B

ABOUT DEOCS

- a. The DEOCS questionnaire is intended for organizations with as few as 16 members, and is suitable for military and/or civilian personnel. The questionnaire uses the shared perceptions of an organization's members to measure climate factors associated with Military Equal Opportunity (MEO) and Civilian Equal Employment Opportunity (CEEEO) issues, as well as Organizational Effectiveness (OE) factors. The DEOCS allows leaders to proactively assess critical organizational climate dimensions that can impact their organization.
- b. DEOCS can be administered using paper questionnaires, completed online, or by a combination of both. The questionnaire typically takes about 20 minutes to complete. The race-ethnic classification system used on DEOCS follows recent Office of Management and Budget (OMB) guidelines for classification of racial groups and multi-racial designations.
- c. Perceptions of how likely specific activities are considered within the organization are reported along a five-point scale, from "Strongly Agree" to "Strongly Disagree." The estimated likelihood of negative behaviors (e.g., discrimination) occurring is reverse scored, so that higher numbers always reflect a more positive result.

The following factors focus on perceptions of an EO/EEO climate:

- Sexual Harassment and Gender Discrimination
- Differential Command Behavior Toward Minorities
- Positive Equal Opportunity Behaviors
- Racist Behaviors
- Religious Discrimination
- Age Discrimination
- Disability Discrimination

- (1) Sexual Harassment/Gender Discrimination: Perceptions of how extensively sexual harassment and gender discrimination, such as sexist jokes or sexually suggestive language, are thought to occur in the organization.
- (2) Differential Command behavior Toward Minorities: Perceptions of differential treatment on the basis of race/ethnicity.
- (3) Positive Equal Opportunity Behaviors: Estimates of how well majority and minority members get along in the unit and are integrated in the unit's functioning.
- (4) Racist Behaviors: This factor reflects perceptions of racist behaviors such as racial name calling and telling racist jokes.
- (5) Religious Discrimination: Perceptions of whether people are discriminated against because of their religion.
- (6) Age Discrimination: Perceptions of whether people are discriminated against because of their age.
- (7) Disability Discrimination: Perceptions of whether people are discriminated against because of their disability or handicap.

The following factors measure perceptions of Organizational Effectiveness (OE) .

- Organizational Commitment
- Trust in the Organization
- Work Group Effectiveness
- Work Group Cohesion
- Leadership Cohesion
- Job Satisfaction

- (1) Organizational Commitment: Measures "bonding" to the organization, and reflects how much the respondent identifies with the organization, and would like to remain in it.
 - (2) Trust in the Organization: An indicator of how people perceive the organization as a place where people trust and care for each other.
 - (3) Perceived Work Group Effectiveness: Reflects the degree to which the respondent's unit is seen as productive and effective in accomplishing its mission.
 - (4) Work Group Cohesion: Measures how well groups work together, pull together on projects, and care for and trust each other.
 - (5) Leadership Cohesion: Similar to Work Group Cohesion, but focused on how members perceive how well leaders work together.
 - (6) Job Satisfaction: Indicates how satisfied respondents are in their current job, measured using a five-point scale, from "Very Satisfied" to "Very Dissatisfied."
- d. Respondents can report whether they personally experienced discrimination during the past 12 months. The DEOCS also allows them to indicate the type of discrimination they experienced (e.g., race, gender, religion, etc.). Respondents can also report whether they reported the discrimination incident (e.g., to an EOA/EEO/CMEO representative, a fellow co-worker, a supervisor, confronted the offender, etc.). Respondents can report their level of satisfaction with how the issue of discrimination was resolved, using a five-point "Very Satisfied" to "Very Dissatisfied" scale.
- e. The DEOCS compares the organizations overall average scores on each climate factor against the averages of the respective organizations service branch (Army, Navy, Air Force, Marines), and the Department of Defense overall. The averages used for comparison are obtained from all DEOCS that were completed during the last six months.

- f. The new DEOCS version provides national interpretation and action prescription along with the group comparison data.

- g. Finally, the DEOCS allows respondents to provide more information concerning their deployment status. Previously, only the person ordering the DEOCS for an organization was in a position to indicate whether the organization was deployed or not. Now, each individual completing the DEOCS can indicate their respective deployment status:
 - 1 = It has been more than six months since my last deployment, or I have never deployed

 - 2 = I returned from a combat zone deployment within the past six months

 - 3 = I returned from a non-combat zone deployment within the past six months

 - 4 = Yes (CONUS)

 - 5 = Yes (OCONUS, in a combat zone)

 - 6 = Yes (OCONUS, in a non-combat zone)

- h. For more information call the Directorate of Research at DEOMI: (321)494-2675/1590 DSN:854-2675/1590. For after-hours assistance call (321)536-1583.

APPENDIX C

DATA GATHERING WORKSHEETS

- Command Composition (Military and Civilian Personnel)
- Demographic Data (Advancement, Retention, Discipline/Discharge, and Awards) (Military Personnel Only)
- Interview and Observation Data
- Findings and Recommendations

Note: Civilian GS grades apply to GS, WG, and GM Employees.

COMMAND ASSESSMENT

Command Composition Data

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																
Other																
Total Males																
Female																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Other																
Total Females																
Civilian																
Male																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Other																
Total Males																
Female																
White																
American Indian or Alaska Native																
Black or African American																
Asian																
Native Hawaiian or Other Pacific Islander																
Other																
Total Females																

COMMAND ASSESSMENT

Command Composition Data (Cont)

Total # Staff:	
# Military:	% =
# Civilian:	% =
# Male:	% =
# Female:	% =
% White =	
% American Indian or Alaska Native =	
% Black or African American =	
% Asian =	
% Native Hawaiian or Other Pacific Islander =	
% Other =	
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: _____

		E2-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										
Other	Eligible									
	Recom'd									
	Took Exam									
	Failed									
	PNA'd									
	Advanced									
Subtotals										
TOTALS										

ADVANCEMENT DATA - Female

Command: _____

Assessment period: _____

		E2-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										
Other	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												
Other												
<i>Subtotal</i>												
Female												
White												
Black or African American												
American Indian or Alaska Native												
Native Hawaiian or Other Pacific Islander												
Asian												
Other												
<i>Subtotal</i>												
Totals												

Retention Data (cont'd)

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					
Other					
Total					
Female					
White					
Black or African American					
American Indian or Alaska Native					
Native Hawaiian or Other Pacific Islander					
Asian					
Other					
Total					

DISCIPLINE/DISCHARGE DATA

Command: _____

Assessment period: _____

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

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

Note: Applies to both officer and personnel. Record data by the number and paygrade. (For example 1-03)

AWARDS DATA

Command: _____

Assessment period: _____

	Male								
White	MSM & Up	Flag	06	05	04	03	02	01	Totals
	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>									
Other	MSM & up								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Totals									

AWARDS DATA (cont 'd)

Female									
White	MSM & Up	E9	E8	E7	E6	E5	E4	E3-1	Totals
	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>									
Other	MSM & up								
	NCM								
	NAM								
	LOC								
<i>Subtotals</i>									
Totals									

Date	Interviews
Notes	
Summary	

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

Date	Observations
Notes	
Summary	

Note: Identify location and parties involved by general information.

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

APPENDIX D

PLAN OF ACTION AND MILESTONES (POA&M)

PLAN OF ACTION AND MILESTONES (POA&M)

Goal/Problem Statement: _____ _____ _____ _____ _____ _____ _____			Overall Responsibility: _____ <i>Start Date</i> _____ <i>Review Date</i> _____ <i>Review Date</i> _____ <i>Review Date</i> _____ <i>Review Date</i> _____ <i>Completion Date</i> _____	
Action Steps/ Tasks	Start Date	Comp Date	Action Person	Remarks
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				

Note 1: Remarks/Potential Trouble Spots/Measures of accomplishment, etc.

Command Assessment Team POA&M

Chairman _____

Start Date _____

Review Date _____

Completion Date _____

Goal Statement:

To complete the Annual Command Assessment IAW OPNAVINST 5354.1 (series), in order to meet the purpose/objectives as established by the CO or in order to identify positive trends and areas of concern throughout the completion command.

Action Tasks:	Start Date	Stop Date	Action Code	Remarks
1. Pre assessment action: a. Train CAT members.				
b. Establish timelines and make CAT assignments				
2. Collect and Analyze demographic data. Advancement, Retention, Discipline, Awards (optional)				
3. Administer the DEOCS survey				
4. Analyze survey data				
5. Establish findings from demographics and survey data, and develop interview and observation strategies.				
6. Conduct interviews.				

Command Assessment Team POA&M (cont ')

Action Tasks	Start Date	Stop Date	Action Code	Remarks
7. Conduct observation				
8. Analyze all data from demographics Survey, interviews and observations, And determine findings and recommendations.				
9. Develop POA&M				
10. Present Data to the CO. a. Prepare letter b. Schedule/conduct presentation				
11. Post assessment: a. Present findings to the command. b. Liaison with CTT for necessary training c. Monitor approved plan(s)				

