COMMAND CLIMATE ASSESSMENT EXECUTIVE SUMMARY

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From: Commanding Officer, (Name of Command)

To: (Immediate Superior in Command)

Subj: CY## COMMAND CLIMATE ASSESSMENT EXECUTIVE SUMMARY FOR (NAME OF COMMAND)

Ref: (a) DoDI 6400.11

(b) NAVADMIN 258/24

(c) Culture of Excellence Placemat

(d) SECNAV Memo “Setting a New Course for Navy Quality of Service” dtd 15 May 23

Encl: (1) Command Resilience Team Roster

(2) Defense Organizational Climate Survey v. 5.1 Executive Report

(3) DEOCS v. 5.1 Survey Results Report

(4) DEOCS Comments

(5) Other enclosures as needed

*[NOTE: Instructions for filling out EXSUM and POAM templates begin on page 4. Remove this note, as well as list of enclosures, prior to N-CIPP Plan submission to the Defense Climate Portal. Enclosures will only be provided to Immediate Superior in Command during debrief.]*

1. Background. *(Name of command)* located at *(physical location including installation and geographic location)* completed a command climate assessment with recommended actions in line with references (a) and (b).

a. Total number of personnel assigned to the command: *(# of personnel)*.

b. Describe the Community.

c. Unique Unit Characteristics.

2. Command Climate Assessment Process.

a. The command’s most recent CCA was conducted on *(date)*.

b. The Command Resilience Team (CRT) administered a Defense Organizational Climate Survey (DEOCS) from *(start date)* to *(completion date).* There were *(#)* respondents, which represents *(#)* percent of the command. To incentivize participation in DEOCS, the following was done:

c. Records review was conducted from *(start date)* to *(completion date)*. Focus groups, interviews, and observations were conducted from *(start date)* to *(complete date)* with *(#)* participants.

d. The assessment included information from (*type of respondents, e.g. active duty, reserves, civilian*).

e. If applicable, identify barriers to data collection.

3. Assessment of Harmful Behaviors and Unplanned Losses.

4. Overall Assessment and Significant Findings.

a. The Command’s climate is trending (*positively/negatively/staying the same*) from the previous CCA.

b. Describe which category (*good/better/best*) from the Culture of Excellence (COE) placemat you are in.

c. On a scale of 1-5, with 5 being best, how connected and cohesive is your triad? How is the relationship between your Chief’s Mess and Wardroom, are they united?

d. The most significant findings were:

e. In assessing the execution/results of the previous plan of actions and milestones, we have determined:

5. Areas of Strength.

6. Areas of Concern.

7. Quality of Service.

8. Key POAM Actions.

9. Best Practices.

10. Feedback.

11. Conclusion.

I. M. COMMANDER

**Command Climate Assessment (CCA) Plan of Action and Milestones (POAM)**

*Per reference (b) Commanders must conduct a face-to-face debrief of their CCA executive summary to include a POAM, with their Immediate Superior in Command (ISIC). This process will provide the ISIC an opportunity to mentor the commander and will happen within 30 days of the CCA review session, unless otherwise approved by the echelon 2 commander. The template below must be used to develop your POAM and should focus on the top 3 to 5 data-driven findings, to include protective and/or risk factors identified through your CCA. Additional tables can be added to the POAM as needed based on CCA findings.*

*Date of CCA Review Session (to include IPPW): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. Command Debrief Date \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_. ISIC Debrief Completion Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_.*

**Finding 1 of \_\_\_\_ (Example - For Demonstration Purposes Only)**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **1.a. Protective or Risk Factors Addressed (if actions address more than 1 protective/risk factor, list all):** *Group Cohesion*  **1.b. Description of Issue, Concern, or Problem:** *DEOCS revealed low favorability with group cohesion; Focus groups confirmed perception with several comments about junior Sailors’ ideas/solutions being dismissed by senior leadership.*  **1.c. Goal:** *Increase group cohesion through development of methods to include junior Sailors in problem solving and command solutions.* | | | | |
| **Addressing the Problem** | | | | **Assessing Effectiveness of Actions** |
| **2.a. Outline Steps, Actions, or Products to Address Issue, Concern or Problem** | **2.b. Anticipated Implementation and Completion Dates** | **2.c. OPR/Action Agent** | **2.d. Expected Outcomes** | **2.e. Outline process to assess effectiveness of the Steps, Actions, Products, and Demonstrated Outcome** |
| *1. Schedule monthly syncs with all Second Class Petty Officers and senior leadership for open discussion on command events and processes.* | *Implementation date of 01 March 2023*  *Completion date 30 April 2024* | *Chief Petty Officer Bravo* | *Follow-on assessments will indicate an increase in communication between leadership and Second Class Petty Officers. This will be shown through increased group cohesion measures via pulse surveys and focus group data.*  *Impact on COE Foundational Element: Listening to understand - Sailors will feel heard and included in the decision making and solutions for the command.* | *Conduct focus groups and DOCP survey or other pulse survey, 3- and 6-months post completion date to determine if the program impacted group cohesion and connectedness.* |
| **Updated N-CIPP Plan (Mid-Year Assessment)**  To be completed during mid-year assessment phase and submitted into the CIPP System no later than 31 July. If there are changes to the POAM (e.g. milestones or due dates), updates to the POAM must be submitted as well. | | | | **Date Completed: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| **3.a. Updated N-CIPP Plan (Mid-Year Assessment)** | | **3.b. Methodology to Assess** | | **3.c. Results/Outcomes** |
| *Milestones were reviewed and status updates were provided. Mid-year assessment shows positive impact on perception of group cohesion amongst junior Sailors as indicated by focus group themes and pulse survey results. Barriers to attendance during monthly discussion sessions for Second Class Petty Officers were identified. Recommended a change to program timing to hold a 0800 session and an 1800 session to make program available for shift workers.* | | *Mid-year review of N-CIPP Plan actions included focus group data gathered on monthly discussions and pulse survey results collected 3 months following completion of milestones.* | | *Monthly collaborative discussions between Second Class Petty Officers and senior command leadership were implemented as planned with high attendance levels and a completion date of 30 April 2024. Focus groups were conducted in June 2024 which indicated increased communication between leadership and junior Sailors. Themes also indicated that the majority of junior Sailors feel the command listens to their ideas and have noticed deliberate response. Pulse survey data showed a slight increase in the percentage of junior Sailors reporting group cohesion within their organization. Progress will be further assessed at annual assessment during next CCA cycle for continuing current efforts and/or additional strategies that may be needed.* |

**Navy Comprehensive Integrated Primary Prevention Plan Development Instructions**

The Navy Comprehensive Integrated Primary Prevention (N-CIPP) Plan consists of the Executive Summary (EXSUM) and Plan of Action and Milestones (POAM) developed for your Command Climate Assessment (CCA). Enclosures should not be included in the N-CIPP Plan submission to the Defense Climate Portal (DCP). Enclosures are, however, expected to be listed and provided to the ISIC in preparation for the debrief.

**NEW:** In accordance with Department of Defense policy, please note the following guidance for completing the N-CIPP Plan EXSUM and POAM:

* Exclude or replace improper terms (e.g., replace “gender” with “sex”)
* Diversity, Equity, and Inclusion (DEI) is no longer a Navy program and should not be referenced or used

The N-CIPP Plan must be submitted as a *single* PDF document into the DCP CIPP Plan System (<https://www.prevention.mil/Climate-Portal/>) NLT 31 January each CCA cycle. A Mid-Year Assessment of the POAM is due 31 July. Information below provides guidance on completing each section of the EXSUM and POAM.

**EXSUM**

The EXSUM v.1.2 is a memo from the commanding officer to the ISIC summarizing results of the command’s CCA and follow on actions. Guidance on filling in specific sections follows.

**1. Background:**

**a. Include total number of personnel assigned to the command.**

**b. Describe the Community:** Describe the organizational units and population(s) targeted by this plan in sufficient detail. Demographic information may be found in TWMS, FLTMPS, and command records. Examples of community:

* Active duty, Reserve or National Guard populations
* Officers and enlisted population
* Students, TDY, and other transitory Service members
* Military spouses and dependents (if applicable to Service member quality of life)
* DoD civilians
* Demographic Groups (e.g., % married, % with dependents, race/ethnicity, sex)
* Military characteristics (e.g., rank, rate)

**c. Unique Unit Characteristics:** Provide any relevant non-demographic information that may help describe the unit, such as unique mission features, e.g. operational lifecycle, geographically separated Sailors, immediate response force, etc.

**2. Command Climate Assessment Process:** In this section, describe how the command conducted the CCA, to include the use of DEOCS and other supporting data/personnel. Be specific on utilization of data sources and personnel (e.g. CRT members, Integrated Primary Prevention Workforce (IPPW) personnel, and other command personnel that were involved in the CCA process).

a. Date of most recent CCA, to include Change of Command CCA if applicable.

b. Provide any examples of incentivization methods used.

c. If applicable, list other data sources used, e.g. Pulse Surveys, in your assessment and dates for gathering the information.

d. Provide respondent types (e.g. active duty, reserves, civilian).

e. If applicable, include any barriers to collecting the data.

**3. Harmful Behaviors and Unplanned Losses:** In this section, assess whether Harmful Behaviors and Unplanned Losses are getting better, worse, or staying the same over time (2+ years of data), providing specific data based on command events. This is an opportunity to fully utilize CRT members who will have access to various data sources to incorporate into this information for the command’s assessment (incident data, prevalence data, installation data on drug and alcohol use/misuse, intimate partner violence, sexual assault data, etc.).

**4. Overall Assessment and Significant Findings:** Information necessary for this section is available in the DEOCS factors which can be pulled from the DEOCS Report and other data sources used for the CCA. Additionally, DEOCS factors from the prior year are available for comparison to Navy/DOD as appropriate.

a. Explicitly state how your command’s climate is trending from the previous CCA and over time.

b. Describe which category (*good/better/best*) from the COE placemat, reference (c), you are in.

c. On a scale of 1-5, with 5 being best, how connected and cohesive is your triad? How is the relationship between your Chief’s Mess and Wardroom, are they united?

d. State your most significant findings (positive or negative) including DEOCS factor ratings as indicated in your DEOCS results report.

e. Assess how well the command executed its previous CCA POAM.

**5. Areas of Strength:** Identify areas of strength and progress within departments, sections, divisions, etc. within your organization. Specifically link to DEOCS protective factors when supported by your data. Include focus on protective factors that impact two or more behaviors across individual, unit, or organizational levels. Provide details about why these areas are strong or getting better by analyzing data and by evaluating outcomes of actions taken by leadership with consideration of the following questions: Why are these areas strong or getting better? Are they accidental or deliberate outcomes based on leadership actions? Include necessary actions to ensure sustainment should be reflected in your POAM.

**6. Areas of Concern**: Identify specific areas of weakness within departments, sections, divisions, etc. Specifically address whether or not your command has areas such as harassment (sexual or racial), hostile work environments or toxic leadership and what actions the command is taking. Address other risk factors as appropriate, including focus on risk factors that impact two or more behaviors across individual, unit, or organizational levels. Areas identified as concerns should be prioritized and included in the POAM, along with explicit goals to address the concerns.

**7. Quality of Service:** In May 2023, DON and Navy leadership released a memo titled *Setting a New Course for Navy Quality of Service,* reference (d), to directly address the identified areas necessary to improve Sailor Quality of Service (QoS). Provide specific areas of concern that impacts your command’s performance, why it is a concern, and how the Navy can make it better. In doing so, use the standard in the memo – what are you doing to identify and address quality of service barriers? What steps have been taken to elevate concerns to senior leaders for resolution? Are we asking our people to overcome something they shouldn’t have to overcome?

**8. Key POAM Actions:** Provide the top actions your command is taking, why they will be impactful, and what steps will be taken to determine progress. Specifically state if any additional resources or capabilities are required. Assess what is needed to successfully implement prevention activities and other actions identified in the POAM (resources and capabilities required).

**9. Best Practices:** Identify any best practices that your command has used (and therefore endorses) or developed. Specifically state whether you recommend that they be shared locally, within your community, or Navy-wide and why. Best practices are standards or techniques that have been shown to lead to good outcomes if followed.

**10. Feedback:** In this section, provide any feedback/recommendations on any of the following: Culture of Excellence; the Integrated Primary Prevention Workforce; the CCA process; the DEOCS survey; or any other part of this process.

**11. Conclusion:** Provide any additional comments. Include any personnel in your command who are doing great things to make your command better, and whether they are deserving of ISIC recognition.

**Plan of Action and Milestones (POAM)**

The following steps should be completed for *each* identified finding table.

**1.a. Protective or Risk Factors Addressed:** List protective and risk factors that this goal will address. Refer back to the information from the EXSUM to prioritize risk and protective factors to address: Needs assessment (*EXSUM items 1-4*), areas of strength (*EXSUM item 5*), areas of concern (*EXSUM item 6*), and Quality of Service (*EXSUM item 7*) to prioritize protective and risk factors to address. If actions address more than one protective and/or risk factor, list all factors.

**1.b. Description of Issue, Concern, or Problem:** Describe the issue/concern/problem based on data collected through the CCA process as well as overall assessment and significant findings (*EXSUM items 1-4*). Include information on *why* this issue, concern, or problem may exist.

**1.c. Goals:** Each issue identified must have an associated goal, but each goal can address multiple risk and protective factors. Information from the EXSUM (*items 4-7*) should be used to directly inform goal development. Explicitly state a goal to address the risk and protective factors identified; describe expected improvement or behavior change with expected impacts to issue/concern; should reflect identified command needs and specify a target population and timeline for completion.

**Addressing the Problem**

**2.a. Outline Steps, Actions, or Products to Address Issue, Concern or Problem:** Prioritize actions to be taken. Note that some information listed below may not be applicable based on the type of activity.

* Milestones should include activities that will impact the overall goal.
* Include actions/activities across social-ecological levels (individual, interpersonal, and community or organizational).
* Use a variety of activity types such as skill development, social/emotional/family care and support, screening, referrals, and linkage, media campaigns, policy change, environmental strategies to establish protective environments and healthy climates, and/or community collaboration activities.
* As applicable, activities should be research-informed or research-based.
* Specify a target population (i.e., who and how many will receive it). For example, Junior Sailors, age groups, sex, supervisory, non-supervisory, etc.
* Specify individuals responsible (i.e., agency, groups, or individuals); coordinate with existing installation programs/activities when possible.
* Specify a timeline (i.e., when activity will begin and end).
* Specify dose for each activity (i.e., number of hours, sessions).
* Include at least one activity that targets a specific sub-group of high-risk servicemembers.
* Include at least one universal activity (i.e., intended for the entire population).
* Prevention activities should align with expected outcomes.

**2.b. Anticipated Completion or Implementation Date:** Add proposed completion or implementation date (day/month/year) for prevention actions, steps, or products.

**2.c. OPR/Action Agent:** List the Office/s of Primary Responsibility or action person/s.

**2.d. Expected Outcomes:**  How will you determine impact? What will Change? Are the outcomes aligned to goals? Are the expected outcomes measurable?.

* Include short (<1 year), intermediate (1-2 years), and/or long-term outcomes (3-5 years).
* Outcomes should be SMART
  + Specific (what and who will change).
  + Measurable (describe by how much they will change).
  + Achievable (can be accomplished in the time frame described).
  + Relevant (to Navy or local priority areas).
  + Time bound (describe by when change will occur).

**Assessing Effectiveness of Actions**

**2.e. Outline process to assess effectiveness of the Steps/Actions/Products and demonstrated outcome:** Be able to answer: Are your actions being implemented as planned? Are they achieving their desired effect? Are there any barriers? Has this been implemented according to schedule (timely). Consider the following factors when assessing effectiveness:

* Fielded to the right population.
* Fielded to the right number of participants.
* Effectively delivered (with adequate resources and support).
* Received as intended by Service members.
* Completed on schedule.
* Completed with usable data or results.
* Specify when process evaluation (analyzes the administration of a program) or outcome evaluation (assess achievement of program outcomes) is relevant and include the following:
  + Who will collect the data?
  + How the data will be collected?
  + Timeline for data collection?
  + How the data will be analyzed?

**Updated N-CIPP Plan (Mid-Year Assessment)**

**3.a.** **Updated N-CIPP Plan (Mid-Year Assessment):** Monitor the impact to the risk and protective factors and make adjustments to address barriers. Consider use of the Defense Organizational Climate Pulse (DOCP) Survey and other data sources that may inform this assessment.

* Include a review of all milestones within the POAM and provide status updates. If needed, include plans for making adjustments.
* Updated N-CIPP Plan (Mid-Year Assessment) will be submitted via the DCP by 31 July.

**3.b. Methodology to Assess:** What process and data was used to assess impact. This should be a data-informed process and should include description of the type of data used to assess impact. Options such as pulse surveys may also be considered, along with other Command data sources.

**3.c. Results/Outcomes:** What was the impact? How will you adjust strategies to address continued or new challenges related to the area of concern?