



**CULTURE OF
EXCELLENCE**



Primary Prevention

Intermediate Course Training Guide

Human Factors Process

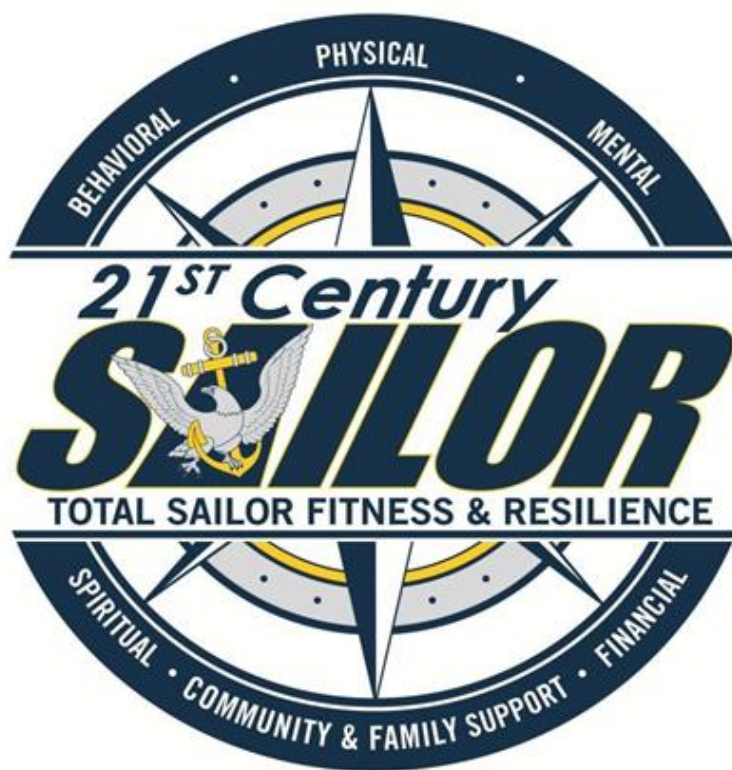




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Module 1

Basic Training Review and Introduction to Intermediate Training



Write out one situation where you were aware of a counterproductive or destructive behavior:

What organizational, supervisory, and individual factors might have contributed to the behavior?

Organizational:

Supervisory:

Individual:

What is one thing that might help a Sailor with these experiences in the future?

What are the 3 most common destructive behaviors you have observed in the Navy?

1.

2.

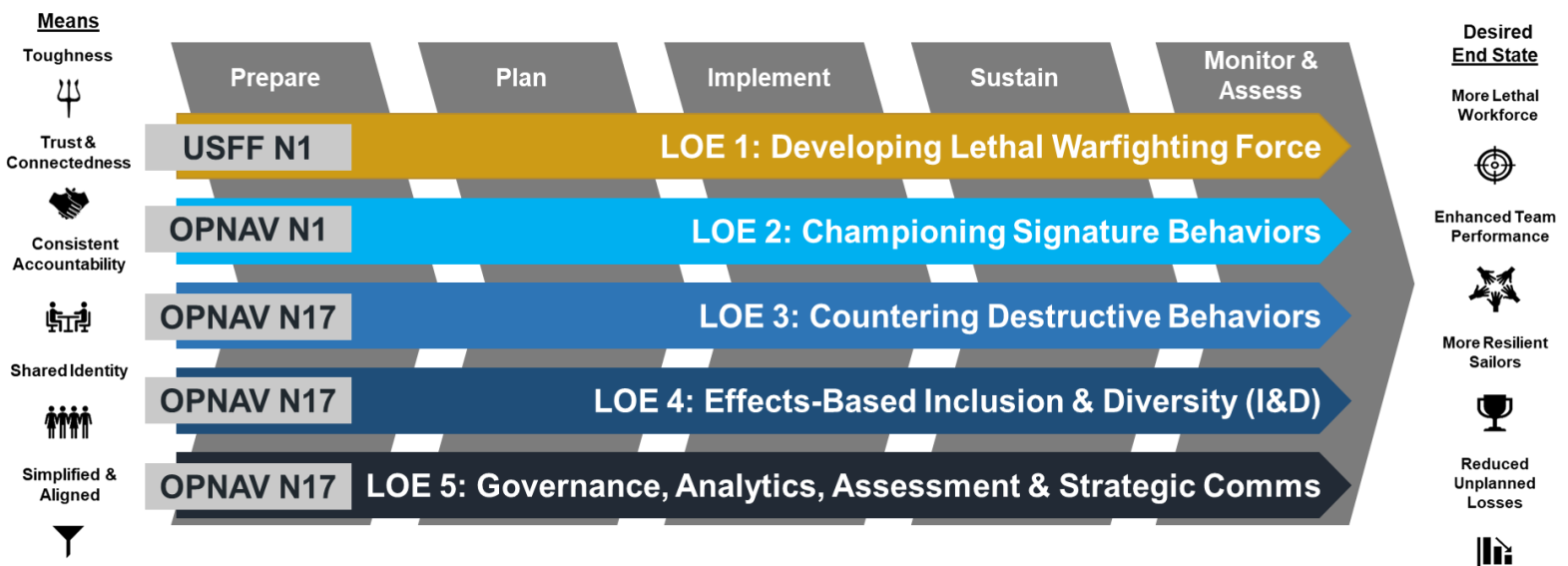
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Culture of Excellence Mission & Commander's Intent

The ultimate mission of the Culture of Excellence (COE) is to build a more lethal fighting force by increasing individual Sailors' toughness and resilience while improving the trust that Sailors have in each other, their commands and the Navy as a whole. To achieve that goal, we need to implement a comprehensive effort focused on fostering a culture where Sailors feel empowered and intrinsically motivated to make positive life choices across the board. We must speak to our Sailors as individuals and leaders within their commands to empower and motivate them based on their personal and professional interests. As a large organization, we must remain attentive to fostering an environment where integrity and accountability matters. We need to move away from providing individual, stove-piped programs which react to problems as they arise to instead focus on providing dynamic support, instilling primary prevention and driving positive outcomes by all means possible. Simply stated – we must focus on supporting our Sailors with tools they actually need and embodying what right looks like at all levels by promoting positive, preventative health behaviors that support our warfighting objectives.

COE Lines of Effort



Executive Summary

We recognize the need for a simplified and aligned approach in line with MyNavy HR themes of agility, flexibility, efficiency, and Sailor experience. This approach will allow us to shift from a culture of compliance dominated by spotlighting negative behavior, to a Culture of Excellence promoting Signature Behaviors and effective primary prevention to reach warfighting excellence.



1 Define values, behaviors and principles

I am a Sailor

Requires dedication to personal betterment, trust and respect. Commitment to being a "Sailor 24/7" yields a culture that is inclusive and empowering for all.

We are a Team

Navy culture is the sum-total of individual character and actions.

This is our Navy

We emphasize character, competence, and leadership. We encourage personal resolve to adopt and demonstrate Navy's Core Values and Core Attributes.



CULTURE OF EXCELLENCE



Core Themes



TOUGHNESS

TO THRIVE IN ANY CONDITION, MENTALLY AND PHYSICALLY



- SUCCESSFUL
- VULNERABILITY
- RESILIENCE



TRUST

AN AUTHENTIC ENVIRONMENT THAT PROMOTES LEARNING AND RECOVERY



- RESPECTFUL
- EMPOWERED
- TRANSPARENT



CONNECTEDNESS

ALWAYS HAVING EACH OTHERS BACK #NOBYSTANDERS



- ENGAGED
- PURPOSE-DRIVEN
- TEAM-ORIENTED



WARFIGHTING EXCELLENCE



Create Supportive Governance 2

Echelon One provides guidance in areas of research and development for evidence-based P^4 that promote TOUGHNESS, TRUST, and CONNECTEDNESS with Echelon Two (Fleet, Shore/CNIC, School/NETC) focusing on execution, piloting, and validating of these initiatives.



3 Foster a Learning Culture (Echelon One Guidance)

Bundle existing Navy constructs under COE through optimized team planning & organizational learning



Identifying strengths as well as areas where improvement is needed...



What core value, ethos or core attribute do you see most strongly in yourself?



Good leaders continue to work on themselves. Which core theme(s) do you think you need to work on personally?



Which core theme(s) do you think you need to help your fellow Sailors at your command work on?



Sailor-Centered Design/Localized Prevention (Echelon Two Execution) 4

Developing a Lethal Warfighting Force

Championing Signature Behaviors

Countering Destructive Behaviors

Diversity, Equality and Inclusion

Governance, Analytics, Assessment & Strategic Communications



Create opportunities for 24/7 holistic support for Sailors and their families and empower leaders with tools for risk mitigation, deliberate dialogue and non-intrusive assessment.



360° Support Across Career



5 Call to Action

We can achieve higher performing team success with:



Access to Effective Tools & Resources



Engaged Deckplate Leadership

Additional notes on the Culture of Excellence:



Diversity

Refers to all the different characteristics and attributes of our Navy Team, which are consistent with Navy core values, integral to overall readiness and mission accomplishment and reflective of the Nation we serve.

Inclusion

Valuing and integrating everyone's perspectives, ideas and contributions into the way an organization functions and makes decisions.

Diversity is getting a variety of perspectives. Inclusion is being sure that a diverse group of people are not only seen but heard. Additionally, inclusion means diverse groups can have their point of view respected and included in the conversation and it bears weight.

What are some ways you can help others' voices to be heard so your command can benefit from diversity and inclusion?

1.

2.

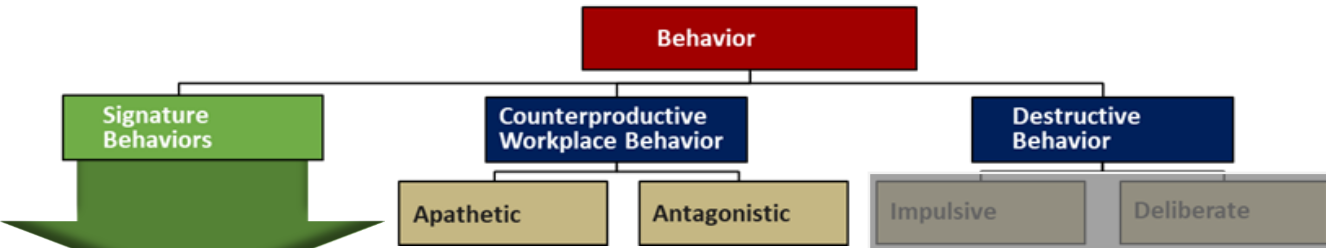
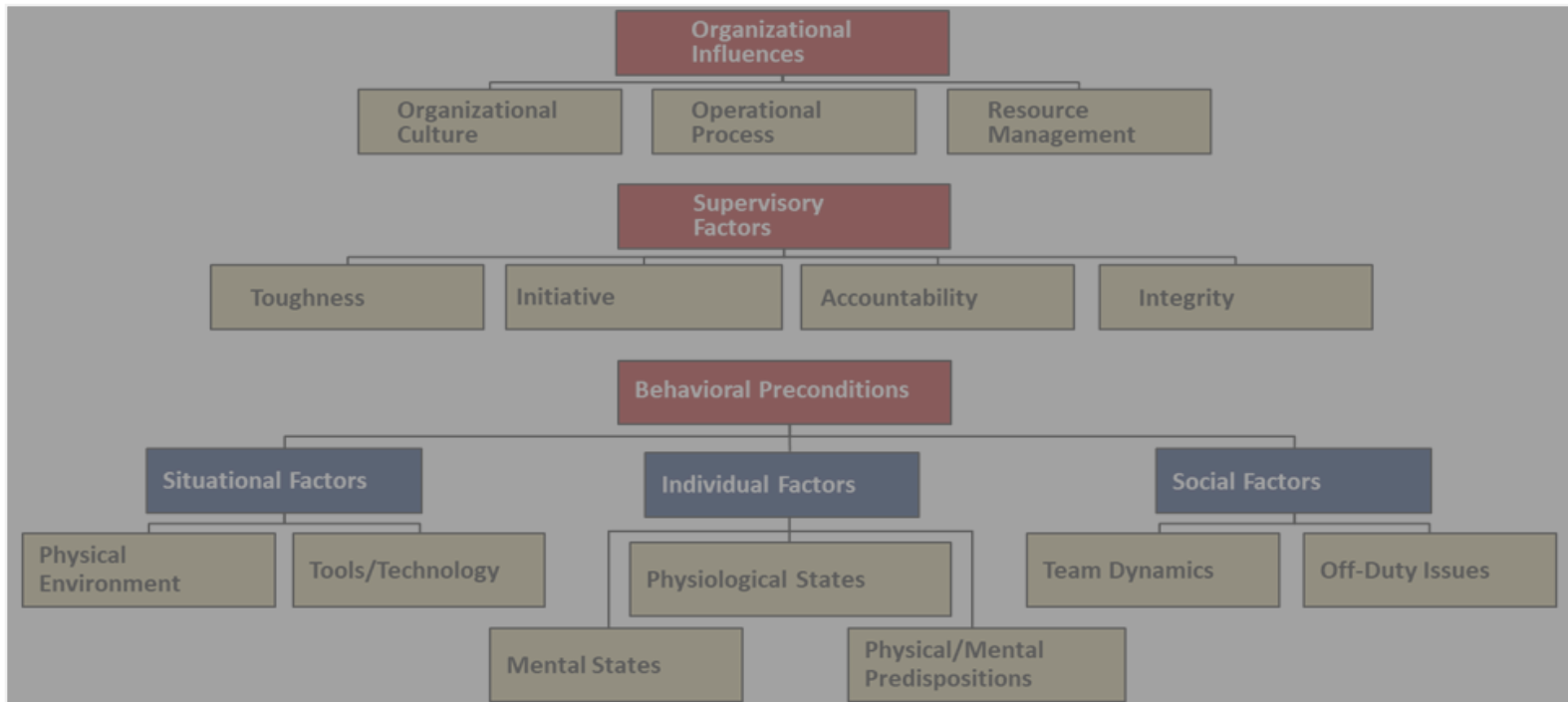
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The Human Factors Analysis and Classification System - Culture of Excellence (HFACS-COE)



01. Treat every person with respect.
02. Take responsibility for my actions.
03. Hold others accountable for their actions.
04. Intervene when necessary.
05. Be a leader and encourage leadership in others.
06. Grow personally and professionally every day.
07. Embrace the diversity of ideas, experiences, and backgrounds of individuals.
08. Uphold the highest degree of integrity in professional and personal life.
09. Exercise discipline in conduct and performance.
10. Contribute to team success through actions and attitude.



Which signature behavior do you value most? Where/how did you learn the importance of that behavior?



Protective Factors

Make it less likely people will engage in counterproductive or destructive behaviors and more likely they will be resilient and thrive when faced with risk factors for those behaviors.



Risk Factors

Make it more likely people will perpetrate or experience counterproductive or destructive behaviors.

Individual

Relationship/Supervisory

Organizational



Green shield icon with star

Green shield icon with star

Green shield icon with star

We have all probably grown up with at least one risk factor, but we also have had protective factors. What are the things in your life that have contributed to your resiliency and protect you from engaging in risky behavior?



Cultural Champion Network

The COE is supported by leaders and partners throughout the Navy, known as the Cultural Champions. By linking all Cultural Champions together in the Cultural Champion Network (CCN), the Navy is streamlining conversation and care for Sailors and encouraging them to stay connected to tools and resources to thrive in any condition – psychologically, spiritually, physically, and emotionally – throughout their career. Integrating these network elements also allows for a standardized process across individual commands and permits the Navy to establish behavioral baseline trends for Sailors so better support can be provided and effective measurement of progress can occur.

COMMUNITY APPROACH TO PREVENTION



Additional notes on the Cultural Champion Network:



CULTURE OF EXCELLENCE

Command Resilience Teams (CRTs) are the unit-level center of gravity for resources, exercising core responsibility for primary prevention and human factors efforts.

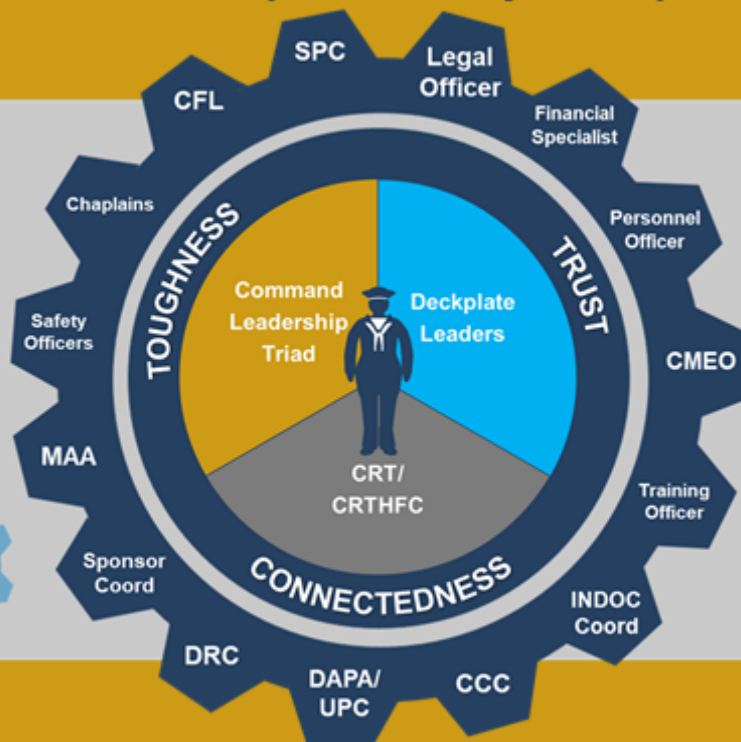
CRT Human Factors Council (CRTHFC) is a subset of the broader CRT. The CRTHFC provides commanders with a better understanding of the overall well-being of personnel and recommends individualized risk mitigation plans where appropriate.



Cultural Champion Network

The role of individual CRT members is to actively support Sailor personal and professional development at key touchpoints in a tour.

Messaging alignment with Fleet & Family Support Center, School Houses and Medical MTFs is necessary for CRT success



CORE PROFICIENCIES

- ✓ Human Factors
- ✓ Primary Prevention
- ✓ Stress Control
- ✓ Team Building

*Continued trainings to maintain proficiency are being developed

The integration of the CRT shall provide consistency and documentation to establish baseline and trends in performance.



The CRT is at the heart of the Culture of Excellence

Below are just some of the skills that might help you in your role on the CRT. Circle the skills you feel you are

already proficient with. Put a

star next to skills you want to work

on. Put a box around skills you think

you can help others with.



Active Listening

Team Building

Honesty

Accountability

Conflict Management

Flexibility

Giving Feedback

Problem Solving

Service Motivation

Asking for Feedback

Decisiveness

**Written
Communication**

Leveraging Diversity

Collaborating

Verbal Communication

Resiliency

**Influencing &
Negotiating**

Interpersonal Skills

Strategic Thinking

Integrity

Learning Mindset



My network:

CCS

SAPRO

FFSC

Dietitian

Ombuds.

Legal

EEO

SPC

Chaplain

CFL

Mental
Health

MWR

CMEO

DAPA

Medical

DRC



Additional notes on the CRT and CRTHFC:

3 Types of Prevention

Write down examples, in your own life or maybe from stories you have heard, of the three types of prevention:

Tertiary

Secondary

Primary



Human Factors Process

The HFP is a human-centered approach to designing systems and practices to achieve desired outcomes. There are two distinct levels:



1

Includes organizational culture, operational process, and resources management – focuses on the evaluation of counterproductive and destructive behaviors in the workplace.

2

Focuses on the development of primary prevention efforts to reduce risk (on and off duty), which is done by ensuring the training supports the individual's situation and is properly integrated in addition to evaluating how supervisors influence behavior.

The Human Factors Process (HFP) helps to identify barriers to signature behaviors at the organizational and individual levels.

Primary prevention focuses on actions that can be taken before counterproductive and destructive behaviors occur to prevent them from happening.

Additional notes on the HFP and Primary Prevention:



P⁴

Where do you notice policies, programs, practices, and processes (P⁴) at your command?
What P⁴ (not already mentioned) do you see that give you the tools to create cultural change?
How do they do that?

Policies

Programs

Practices

Processes

How?

How?

How?

How?

Prevention Process

Define the Problem

Data sources:

- Defense Organizational Climate Survey
- Engaged Deckplate Leader Report
- Other (e.g., records, observations, focus group, interviews)

Comprehensive Approach

Actions:

- Write a plan of action and milestones (POAM) to address concerns identified by the climate assessment
- Conduct debriefs

Quality Implementation

Actions:

- Execute the plan of action
- Monitor to ensure that each action item is completed
- Track progress in realizing specific milestones

Continuous Evaluation

Intended outcomes could include:

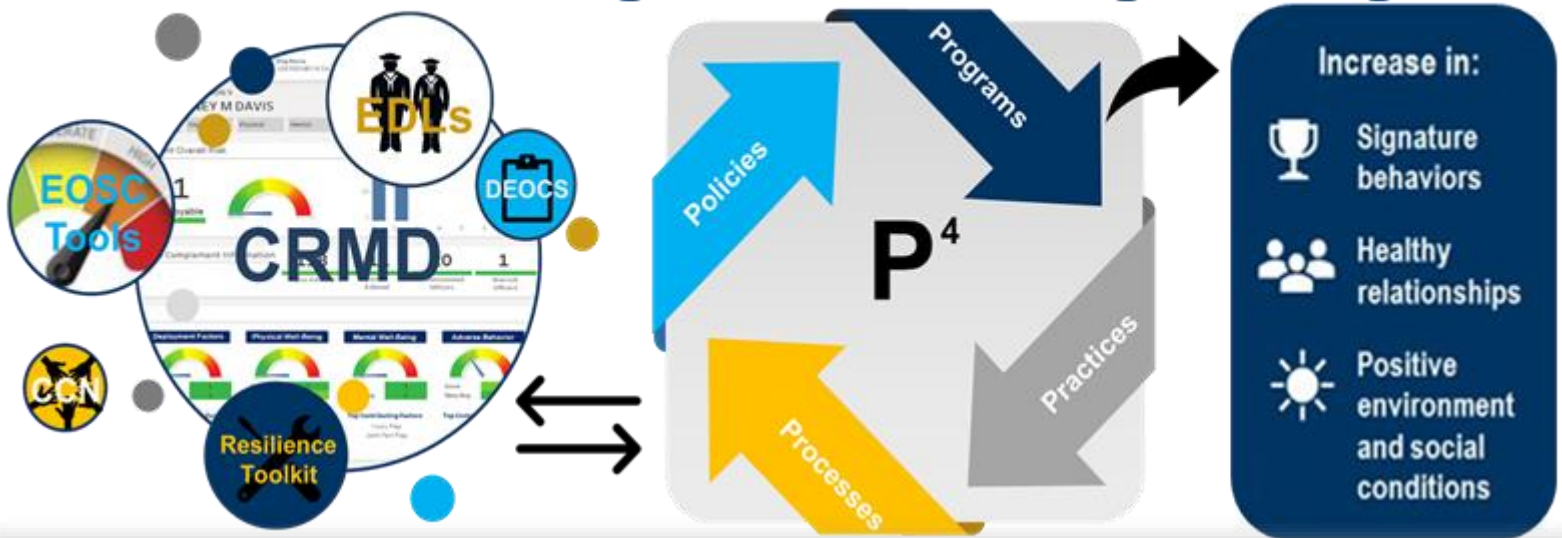
- Eliminating disparities in discipline and awards
- Improving morale
- Eliminating sexist behaviors
- Enhancing safety





The first step in the prevention process is to define the problem that needs to be solved. This is one of the most important steps in prevention. If we don't see the problem, but others are being negatively impacted, we won't be stepping in early enough to prevent harm. What tools do you have to ensure you can help identify and define problems before individuals exhibit counterproductive and destructive behaviors.

CRTs Effecting and Affecting Change



Additional notes on P⁴ and the prevention process:



Module 2

Risk and Protective Factors



1986 Sailor's Creed

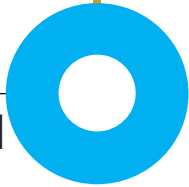
I AM A SAILOR



When you look at your own life and career, who are the people who provide you support? Don't limit yourself. Do a brain dump here and consider even those people who might contribute in a small way. Doing this exercise might help you help others find resources or people in their own lives they may not have thought of a support.

2008 Navy Ethos

WE ARE A TEAM



2019 Now

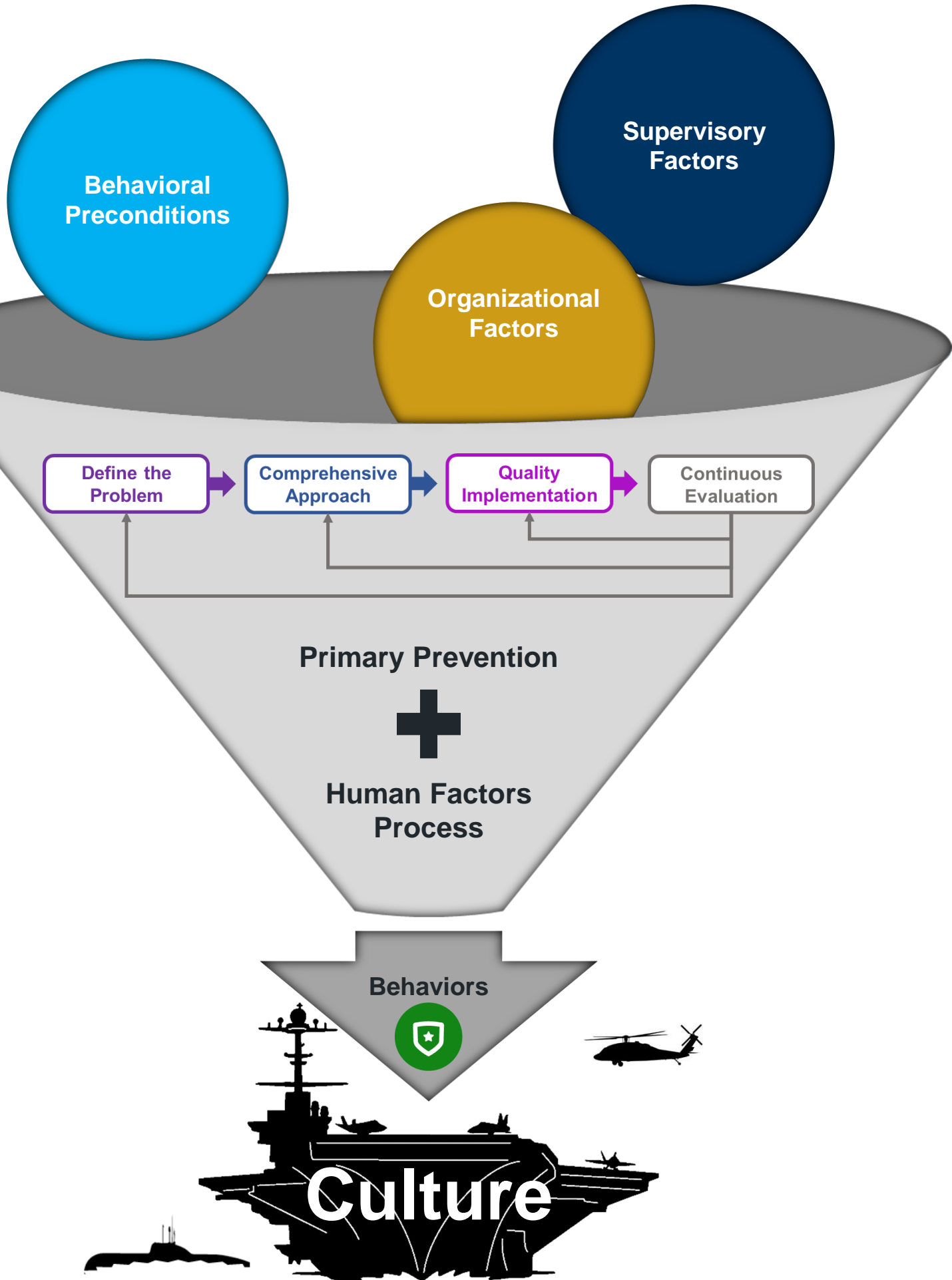
THIS IS OUR NAVY



I = Individual

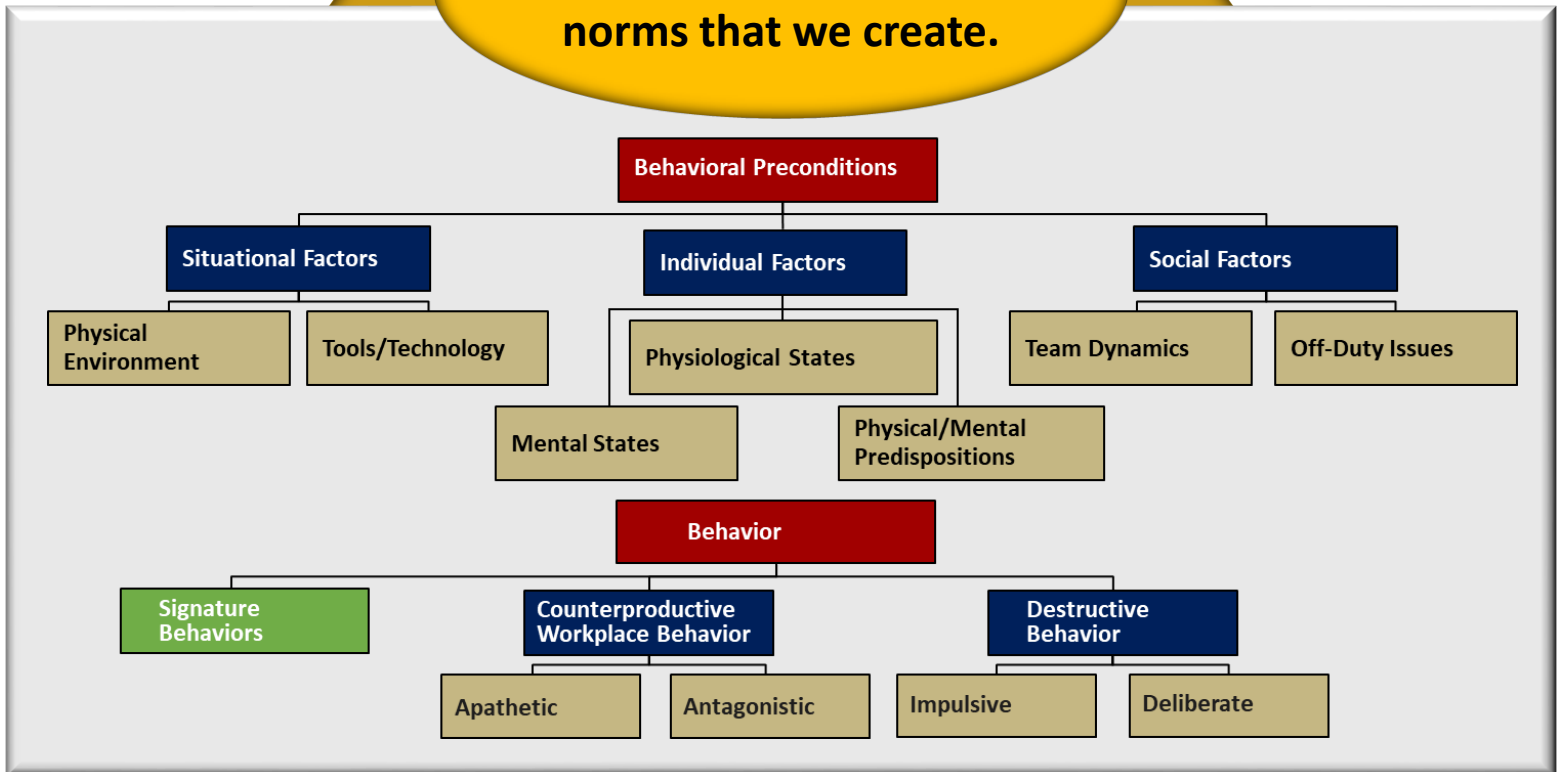
We = Supervisory

Navy = Organizational







Our culture is the sum of our behavior and the norms that we create.



At different points in our lives, we have experienced protective and risk factors. Risk factors in and of themselves don't necessarily lead to destructive behaviors. In fact, protective factors can reduce the impact of the risk factors. Using the chart below, take a short inventory of some of the protective and risk factors you have experienced in your life. Your risk factors may simply be things you are working on improving or keeping in check. For example, you might notice that you are sometimes quick to anger and are working to avoid lashing out.

Individual Factors	 Protective Factors	 Risk Factors
Mental State		
Physiological State		
Physical/Mental Predisposition		



Behavior

Counterproductive Workplace Behavior

Apathetic

Indifference or lack of concern toward the organization. Often due to:

- Social isolation
- Repeated failures on the job
- Lack of acknowledgment

Antagonistic

Offensive or aggressive actions meant to cause psychological or organizational injury. Often due to:

- Personal insecurities
- Job dissatisfaction
- Cultural biases

Destructive Behavior

Impulsive

Tends to be unplanned and reactive. It deviates from the person's usual baseline and demonstrates difficulty regulating thoughts, emotions, or actions.

Deliberate

Purposeful and violent acts (physical and verbal). Behavior is thought out and often represent a pattern of behavior by the individual.

Signature Behaviors

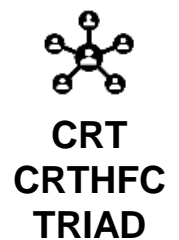
EDLS



Observe



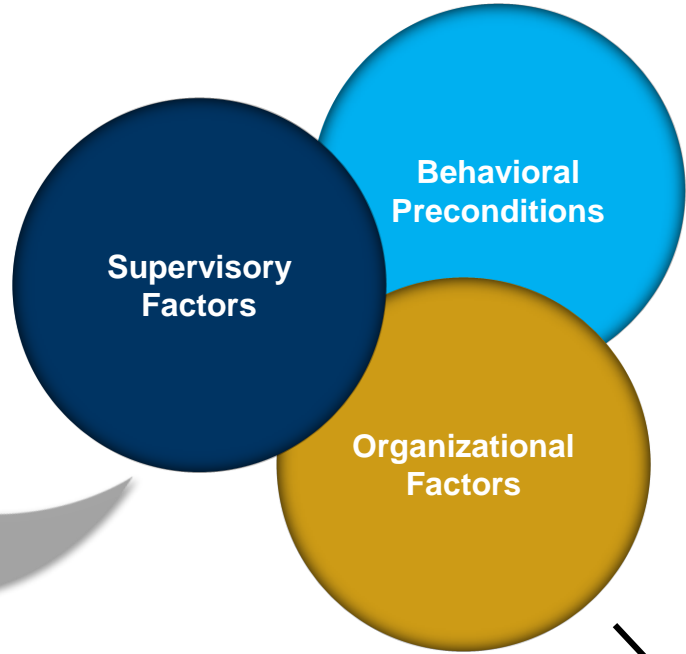
Intervene





The CRT and CRTHFC use the Primary Prevention and HFP frameworks to identify the root causes of problem behaviors as well as protective factors that will mitigate risk.

What is the behavior that you are trying to promote or eliminate?



Choose to impact modifiable factors

Modifiable: mindset, relations skills, fitness habits, application of gun locks, supportive leadership, financial aid/education, access to care, etc.

Non-modifiable: age, gender, ethnicity, family origin, genetics, etc.

How can different preconditions and factors be modified or redesigned to reduce risk or improve behavior?

Additional notes on factors, behaviors, and modifications:



A Culture of Excellence is also a culture of safety. CRTs/CRTHFCs will not only improve culture but will save lives. Below are the 12 precursors to incidents and accidents that are regularly addresses by the HFP. Circle two and write down ways you might be able to intervene to ensure safety for your Sailors.

Decision-making errors and biases

Complacency

Fatigue

Organizational culture/norms

Lack of awareness

Pressure

Distraction

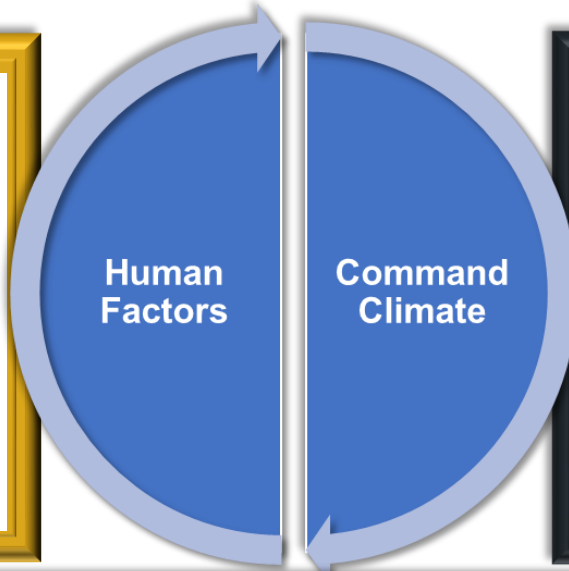
Lack of knowledge

Lack of resources

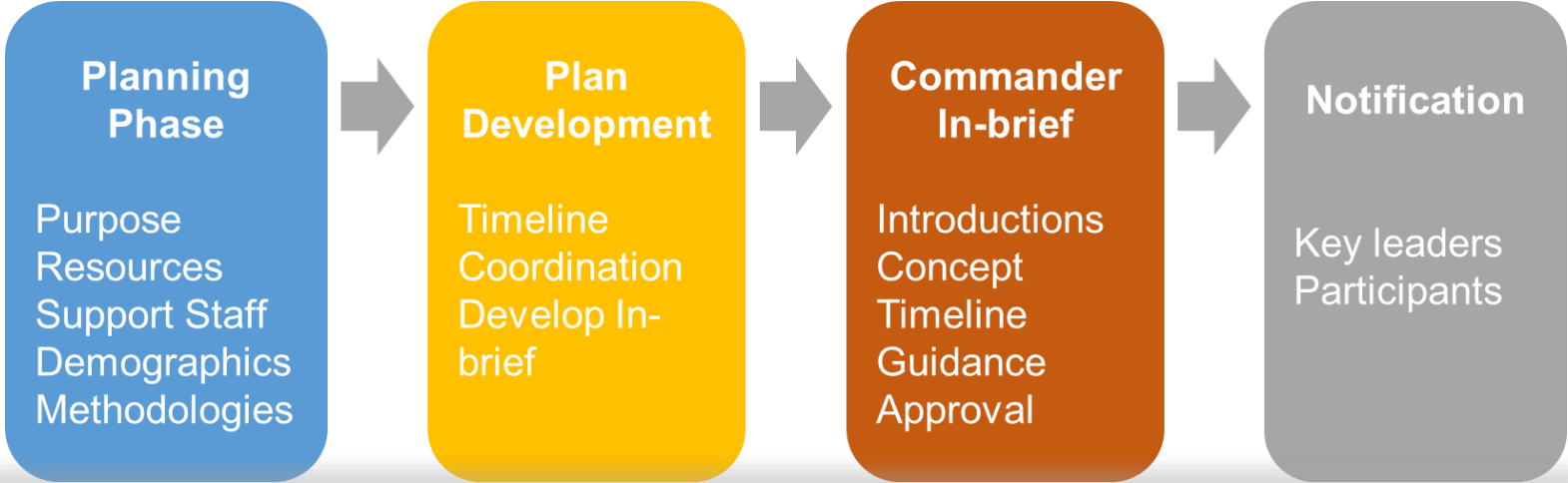
Communication problems

Lack of teamwork

Lack of assertiveness



Defense Equal Opportunity Climate Survey (DEOCS)



Command climate survey notes:

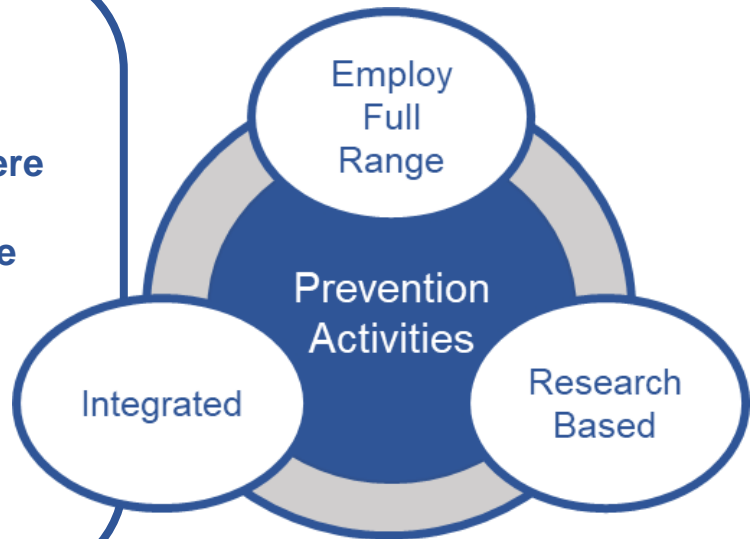


Module 3

Comprehensive Strategy



The Comprehensive Approach to P⁴ is the second step in the Prevention Process where Prevention Activities (P⁴) are selected to improve certain behaviors or problems. The Comprehensive Approach seeks to incorporate these activities into a plan that covers every context in which individual behavior exists, while ensuring that these activities are effective and do not interfere with one another.



Assess the fit for your command/community

3

Build on your existing activities and strengths

2

Identify and clarify what you want to accomplish

1

Steps for developing P⁴ to implement

What currently exists in your P⁴ toolbox?

Policies: _____

Programs: _____

Practices: _____

Processes: _____



Determine which risk and protective factors you want to change

1

What is the first thing you want to do to begin to identify and clarify the risk factors at your command?



Data



Research



Current Efforts

Building and adapting P⁴

2

Identify essential elements

Adapt the strategy

Track and evaluate adaptations

Notes:

Assess the fit for your command/community

3



Does the strategy “fit” with the context of implementation?

Consider the following



Groups

Those with which the strategy has been evaluated may have different characteristics from Sailors.



Settings

Those in which the strategy was evaluated may have different characteristics from the Navy.



Resources

Those recommended to implement the strategy may differ from the resources available to you.



Developing Effective Prevention Activities (Pro Tips)

Research Based



Units will often find that the sources of research-based/informed P⁴ will be civilian and must, therefore, take the time to assess and adapt them to military needs.

Integrated



When you look at the P⁴ in your organization, they should be mutually reinforcing. Are they well-aligned or conflicting? What effect does that have on your team?

Employ Full Range



Some resources may not be organic to the command (i.e. Fleet & Family Support Centers). CRTs should not hesitate to engage outside partners in developing a comprehensive approach.

In your own career, there may have been a time you needed to reach out for support. Was there a Policy, Program, Practice or Process that helped you or that you recommended to another sailor? What was it?

P⁴ notes:

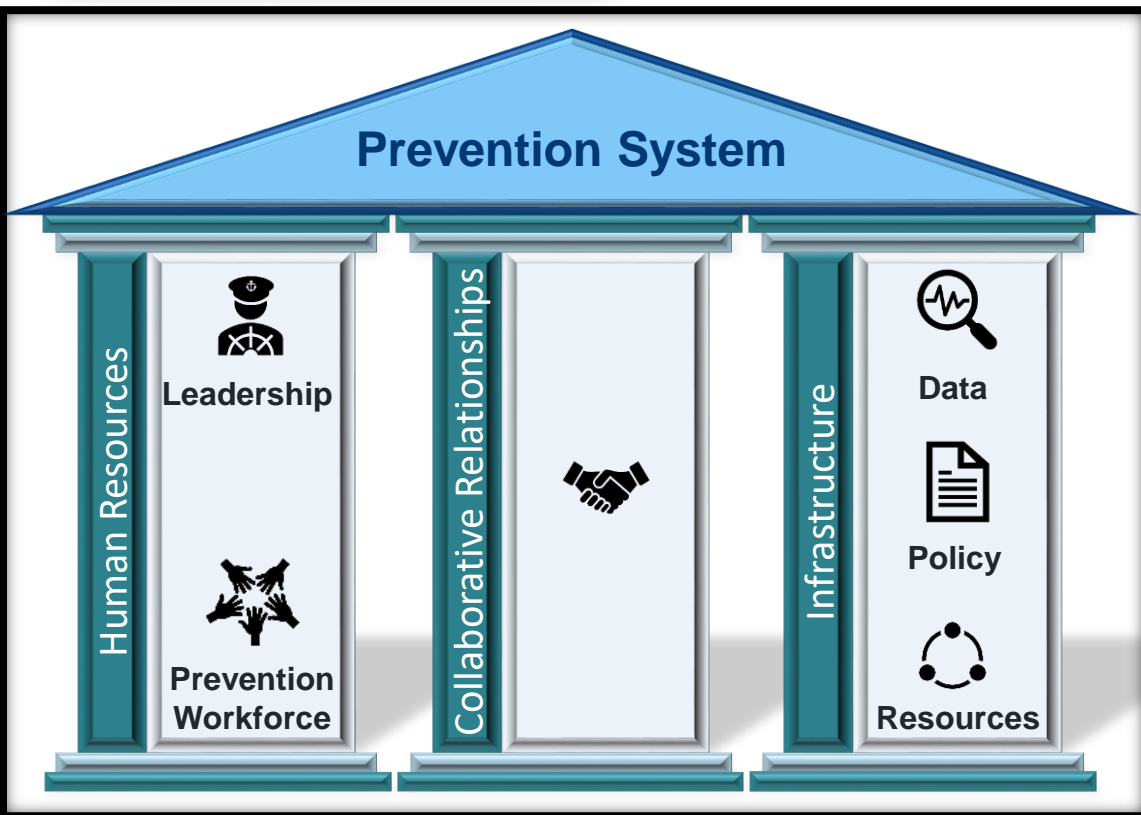


Module 4

P⁴ Implementation and Evaluation: The Roles of Deckplate Leaders and CRTs

Three key elements of quality implementation

Prevention System



Readiness to Implement P⁴

Motivation

General Capacity

Activity-Specific Capacity



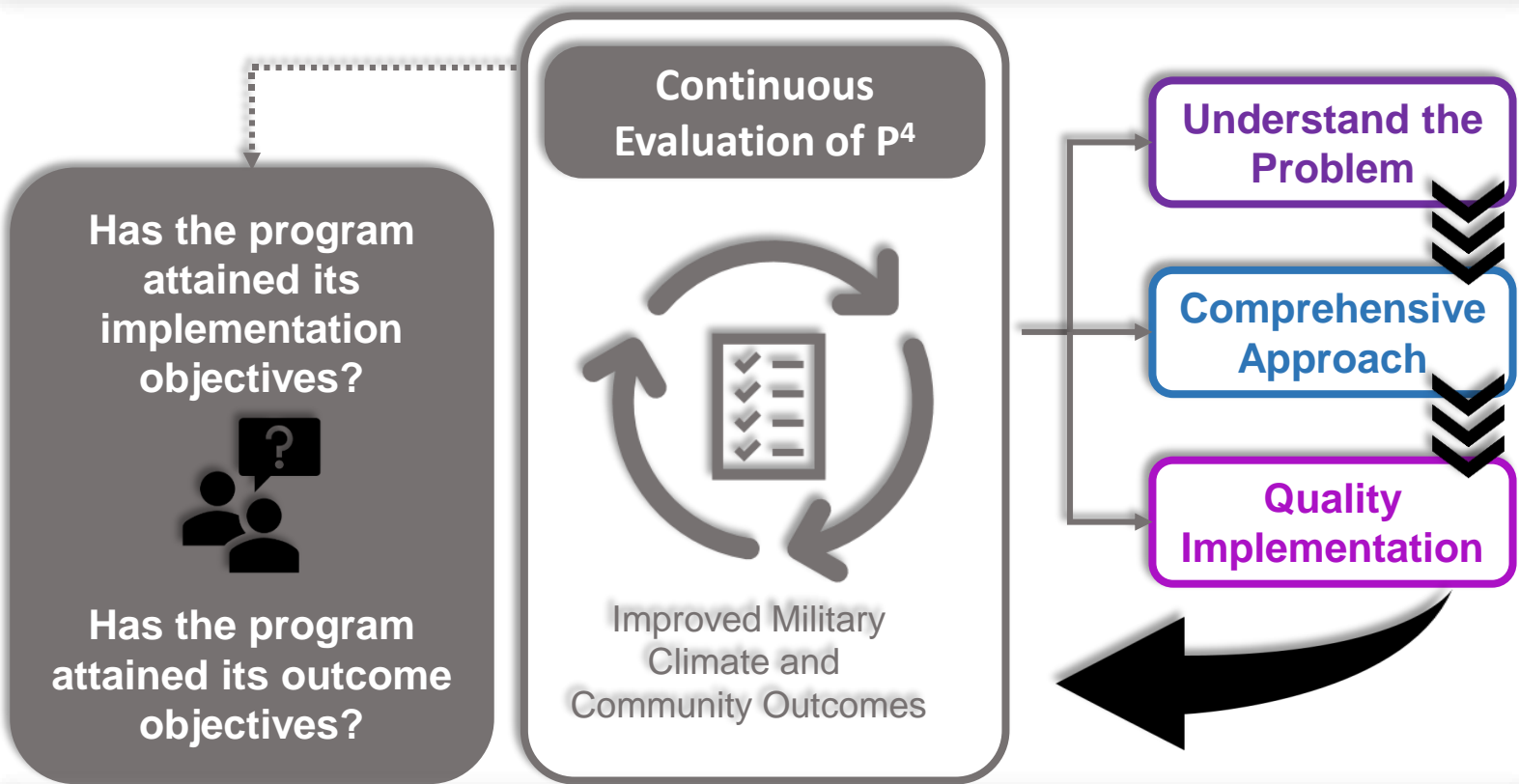
R

M

C²



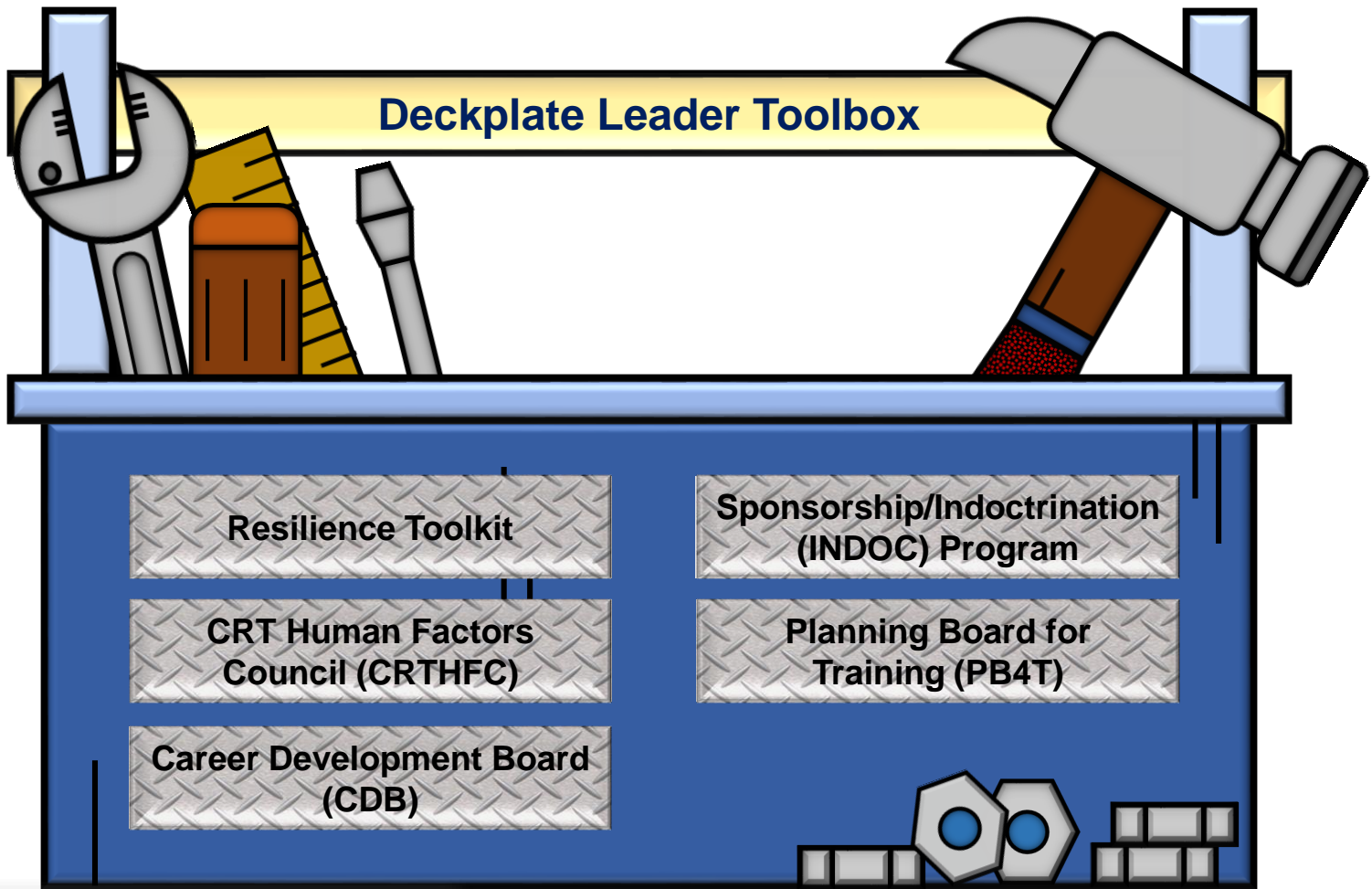
P⁴ implementation notes:



P⁴ continuous evaluation notes:



P ⁴ Criterion (FACES)	Low	Medium	High	
	1	2	3	4
<p><u>Feasibility</u> Can the change be implemented relatively easily or quickly?</p>	The intervention does not exist today nor is it likely to become available in the near future; it is highly impractical and not suitable for your organization.	The intervention exists but is not readily available or will require modifications to better fit the context in which it is intended to be used.	The intervention is readily available and could be implemented in a relatively short period of time without much effort.	
<p><u>Acceptability</u> Will those being impacted by the intervention readily accept the change?</p>	The intervention will not be tolerated by those it impacts. People are likely to consistently resist the change and attempt to work around the change.	The intervention will be tolerated by those it impacts. There may be moderate resistance; however, attempts to undermine the charge will not be widespread.	The intervention will be readily accepted by those it impacts. People are likely to welcome the change and make every attempt to ensure it works.	
<p><u>Cost/Benefit</u> Does the benefit of the intervention outweigh the cost?</p>	The cost of the intervention is exorbitant relative to its minimal expected impact on behavior and outcomes.	The intervention is moderately expensive; however, cost could be justified by its expected benefit. Return on investment (benefits) is relatively equal to cost.	The cost of the intervention is nominal relative to the expected impact on behavior and outcomes.	
<p><u>Effectiveness</u> How effective will the intervention be at eliminating the behavior or mitigating the risk factors?</p>	The intervention will not directly eliminate the risk factor or behavior. It relies heavily on willful compliance and/or is primarily reactive rather than proactive (prevention).	The intervention reduces the likelihood of the risk factor or behavior occurring; however, it relies in part on self-motivation and/or willful compliance with the change.	The intervention will very likely eliminate the risk factor or behavior. It does not rely on willful compliance with the change, nor does it require humans to consciously modify their behavior or avoid known risk factors.	
<p><u>Sustainability</u> How well will the intervention last over time?</p>	The impact of the intervention will diminish rapidly after it is deployed and/or will require extraordinary effort to keep it working.	The impact of the intervention may have a tendency to slowly dissipate over time and will require moderate efforts to maintain its benefits/efficacy.	The impact of the intervention will persist over time with minimal effort required to maintain its benefits/efficacy.	



Deckplate Leader Toolbox

Resilience Toolkit

Sponsorship/Indoctrination
(INDOC) Program

CRT Human Factors
Council (CRTHFC)

Planning Board for
Training (PB4T)

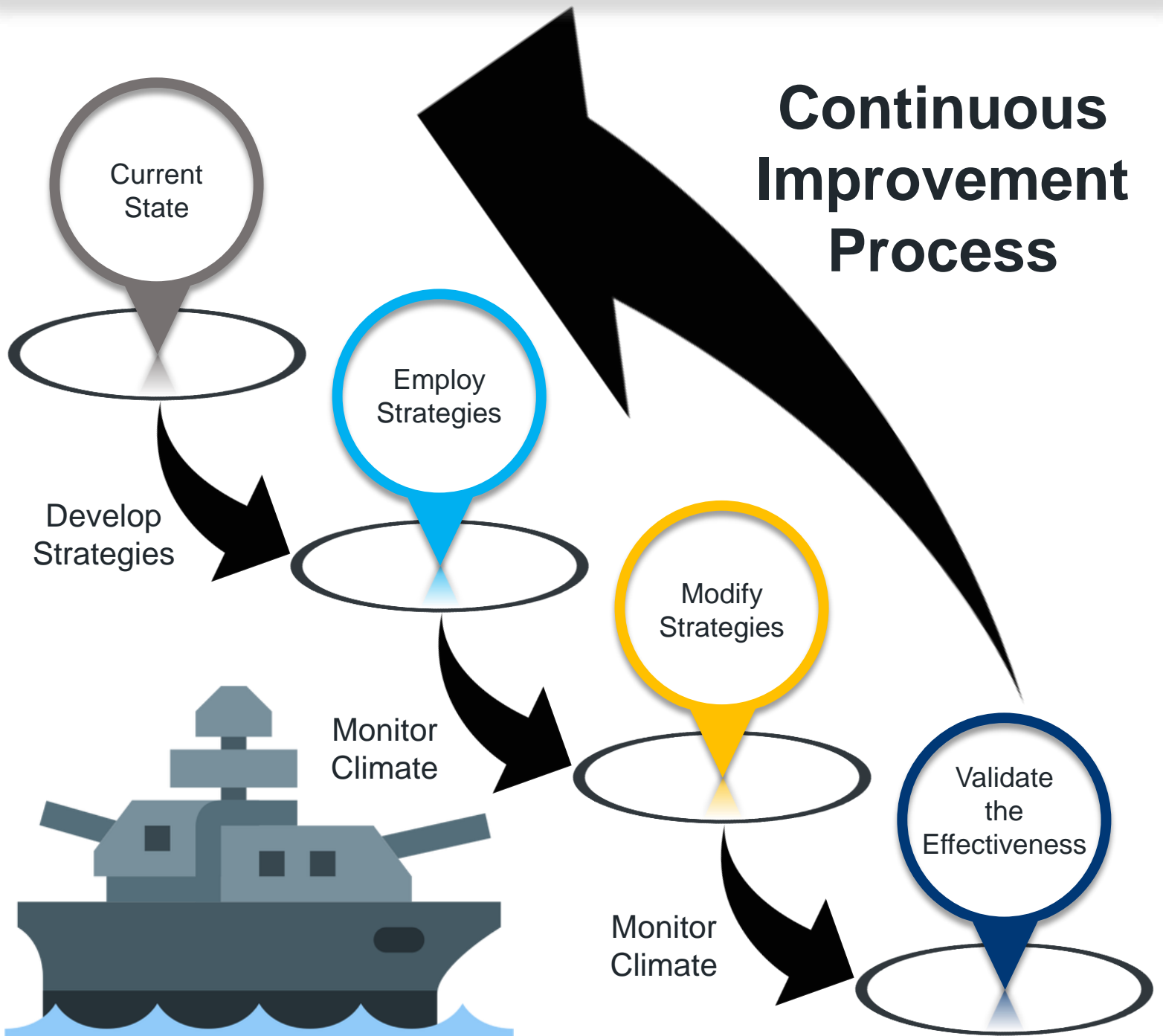
Career Development Board
(CDB)

What tools do you have that will help you define the problems that need to be addressed in your command?

How can you improve to become a more Engaged Deckplate Leader in the areas of toughness, initiative, accountability, and integrity?



CRT role in implementing and evaluating P⁴ notes:





Additional notes and resources:

