



INSTITUTE FOR DEFENSE ANALYSES

**Considerations for the Development of
an Inclusive Military Model Phase 2
Inclusion Factor Findings**

DOD Command Climate Assessment Summit
July 24, 2019

Caroline R. Earle

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About This Publication

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Executive Summary

This Institute for Defense Analyses (IDA) annotated briefing, “Considerations for the Development of an Inclusive Military Model Phase 2 Inclusion Factor Findings,” was prepared for delivery to the Office of People Analytics (OPA) (Office of the Under Secretary of Defense for Personnel and Readiness (OUSD(P&R))). The briefing was presented at the Command Climate Assessment Summit Panel on “Climate Assessment Efforts from the DoD Community,” which was held at the Department of Defense Mark Center Conference Center in Alexandria, Virginia, on July 24, 2019.

The IDA project leader for this research authored and delivered this briefing to the summit as part of a joint presentation with the research sponsor representative from the Army Research Institute for the Behavioral and Social Sciences (ARI) Fort Leavenworth Research Unit. The purpose of the summit was to inform OPA’s review and improvement of the Defense Equal Opportunity Management Institute (DEOMI) Organizational Climate Survey (DEOCS), the management of which OPA has taken over from DEOMI. A copy of the summit agenda is provided in Appendix A.

The briefing summarizes IDA research sponsored by ARI and the Office of Diversity Management and Equal Opportunity (ODMEO), now the Office for Diversity, Equity, and Inclusion (ODEI). Specifically, it conveys IDA findings, drawn from IDA Paper NS P-9232, *Understanding a Climate for Inclusion: Phase 2 Workshop Findings and Model Refinement* (August 2018), on key factors that contribute to the development and maintenance of an organizational unit-level climate for inclusion. These findings were informed by a broadly scoped literature review and engagement with subject matter experts (SMEs) on organizational climate, diversity, and inclusion. The briefing includes ARI’s final conceptual model of a climate for inclusion informed by IDA’s research findings. Finally, this briefing compares the IDA-identified climate for inclusion factors to items in the current DEOCS, posing a set of discussion questions to the Command Climate Assessment Summit participants about how a future version of the DEOCS could better reflect a climate for inclusion.

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Considerations for the Development of an Inclusive Military Model Phase 2 Inclusion Factor Findings

**DOD Command Climate Assessment Summit
July 24, 2019**

**Caroline R. Earle, Project Leader
Institute for Defense Analyses**

This briefing conveys findings from IDA Paper NS-P-9232, *Understanding a Climate for Inclusion: Phase 2 Workshop Findings and Model Refinement*, (August 2018) drawn from work conducted by the Institute for Defense Analyses (IDA) under contract HQ0034-14-0001, project BE-6-3993, "Considerations for the Development of an Inclusive Military Model: Phase 2 Option," for the Director, Office of Diversity Management and Equal Opportunity (OUSD(P&R)) and the Army Research Institute, Fort Leavenworth Research Unit (FLRU). The views, opinions, and findings should not be construed as representing the official position of either the Department of Defense (DOD) or the sponsoring organization

IDA | **Outline**

- Problem and Task
- Working Definition Climate for Inclusion
- Findings on Important Model Factors
- Overview of Key Model Factors
- How Could DEOCS Better Reflect Inclusion Climate?

IDA | The Problem and Task

- **The Problem:** An increasingly diverse force poses challenges for effectively managing diversity to achieve mission performance and talent retention
 - The Army recognizes the benefits of an organizational climate for inclusion to leverage this diversity, yet the factors to grow and sustain such a climate have not been identified
- **Goal:** The research co-sponsored by the Army Research Institute (ARI) and Director, Office of Diversity Management and Equal Opportunity (OUSD(P&R)) aimed to develop a conceptual model identifying key factors that lead to a climate for inclusion, characterized by dignity and respect
- **Task:** IDA to provide research and analyses to better understand what influences the establishment, development, and maintenance of a climate for inclusion, characterized by dignity and respect
- **Approach in two phases:**
 - Phase 1: Broad literature review to identify factors; draft conceptual model
 - Phase 2: Engage academic/industry subject matter experts (SMEs); refine model

This project was one strand of several research efforts supporting ARI's "Leadership for Positive Climates" portfolio

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For Phase 1, we conducted a series of broad literature reviews, beyond the traditional diversity literature, to identify key factors that influence the development of a climate for inclusion to develop a draft conceptual model that depicts the relationship between factors.

For Phase 2, we had a group of highly engaged academic/practitioner subject matter expert (SME) participants with a broad set of expertise related to organizational climate, diversity, and inclusion. SME workshop engagements informed refinement of the conceptual model. Those SMEs were as follows:

- Dr. Ben Schneider – Organizational climate
- Dr. Rebecca Creary – Individual and group inclusionary strategies
- Dr. Pamela Hopkins – Diversity and inclusion, belonging, psychological safety
- Dr. Daan van Knippenberg – Leadership, diversity, social identity
- Dr. Michalle Mor Barak – Inclusion
- Dr. Lisa Nishii – Diversity and inclusion
- Dr. John Schaubroeck – Leadership, trust, psychological safety
- Dr. Lynn Shore – Inclusion

In total, this work will inform potential modifications to Army strategy and policy related to maintaining positive organizational climates and achieving positive mission outcomes. This work may also inform other military services. The factor findings can inform the Department of Defense' (DOD) efforts to improve the Defense Organizational Climate Survey (DEOCS) ability to measure for inclusion climate.

IDA | Working Definition

- A ***climate for inclusion characterized by dignity and respect*** is defined as shared perceptions that all members of the team are valued and integrated into the team and that their capabilities are recognized and leveraged so that all are enabled to participate and contribute to the mission to their full potential (Brown, Key-Roberts, & Ratwani, 2018)

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For this research, we used the working definition (U.S. Army Research Institute for the Behavioral & Social Sciences (ARI), informed by the literature, in particular work by Drs. Lisa Nishii and Lynn Shore.

IDA Findings on Important Model Factors

- Climate for Inclusion—a shared perception—can positively moderate the relationship between a diverse group and mission outcomes
 - Climate is characterized by perceptions of belongingness, uniqueness, respect, dignity, trust, and psychological safety
- Leader and group
 - Leader and group behaviors feature prominently in the model
 - Leader behaviors set the tone for group member behaviors through role modeling, socialization processes, and reinforcement of group norms
 - Quality leader-member relationships are important in establishing alignment, shared values, and understanding missions and tasks
 - Increased group diversity may activate fault lines and impede initial development of inclusive climates. Once in place, inclusive climates likely mitigate potential negative effects of increased diversity
- Organizational
 - Important contextual factors should be considered when assessing a unit's climate for inclusion
 - Organizational context within which a unit sits and broader societal context
 - Organizational culture and organizational reward systems have an important influence on leader and group factor's impact on the climate

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Our key findings on important factors for developing and maintaining a climate for inclusion and for improving and changing that climate are noted.

We found a Climate for Inclusion does indeed moderate (positively) a unit made up of diverse members. That climate is characterized by shared perceptions of belongingness, uniqueness, respect, dignity, trust, and psychological safety.

Leader and group behaviors feature prominently and are the most malleable factors for targeting interventions.

- Leader behaviors set the tone for group member behaviors through role modeling, socialization processes, and reinforcement of group norms.
- Quality leader-member relationships are important in establishing alignment, shared values, and understanding of missions of tasks.
- Group composition is an important factor influencing the climate, where increased group diversity may initially activate fault lines (where subgroup identification is more salient than shared group identity) and negatively impact task outcomes, thus impeding initial development of inclusive climates. However once in place, the existing inclusive climates will likely mitigate potential negative effects of increased diversity, causing shared group identification and preventing fault lines from becoming salient.

Organizational

External-to-the-unit contextual factors strongly influence a unit, its leaders, and members.

These factors include the organizational context within which a unit sits and broader societal context within which the organization sits and from which its members come.

The organizational culture and organizational reward systems also have an important influence on the leader and group factor's impact upon the climate.

IDA | Climate for Inclusion – Key Leader Factors (1 of 2)

Leader Behaviors/Actions

Clarifies tasks and goals – *Leader's behavior to achieve shared task clarity (a group attribute) and a shared understanding of goals. It communicates inspirational vision and elevates follower interest in collective goals*

Openness to communication – *Includes listening, described as receiving, considering, and acting on information provided. Incorporates the actions of inviting input and modeling openness and fallibility. Linked to trust and fairness*

Equitable application of standards – *Acting without discrimination, treating individuals equitably and creating process fairness rather than outcome fairness*

Recognizes team member uniqueness and competencies – *Leader awareness of member capabilities, strengths and weaknesses; "social attunedness." Leader attentiveness to group members as individuals and awareness of different team member competencies contribute to strong leader member relationship*

The factors identified for the Climate for Inclusion conceptual model may inform which item measures should be incorporated into in a future improved DEOCS survey instrument.

This slide and next list the key leader behavior factors that we identified (informed by the literature review and SME engagement).

IDA | Climate for Inclusion – Key Leader Factors (2 of 2)

Leader Behaviors/Actions

Team viewed as a resource – *Related to previous awareness factors, leader draws on competencies of group members and values/appreciates member contributions*

Communicates and embeds inclusion – *Leader showcases how potential positive work outcomes result from team's diversity, transmitting through multimodal communications. Important reinforcing mechanism to signal support for inclusion and encourage inclusive behavior within teams*

Provides resources to facilitate work – *Leader provides access to and knowledge of resources necessary to accomplish the unit's work, such as information, expertise, time, staff and money. Refers to resources within the purview of the leader's span of control*

Reinforces observable inclusion behaviors – *Leader reinforces and attends to inclusion behaviors through daily feedback/reinforcement reactions to observable behaviors. Equitable application of standards also reinforce expectations. Observed member behaviors reinforce collective accountability and group process norms*

This slide continues our list of key leader behavior factors identified in our climate for inclusion model.

The next two slides will list the group and organizational factors

IDA | Climate for Inclusion – Key Group Factors

Group Attributes

Group interaction norms – *Open communication within the group characterized by respectful, task-based, and social interaction*

Goal (and task) interdependence – *Related to leader/follower alignment on similar and/or related goals. Fosters group belongingness. High task interdependence has been found to foster workplace inclusion through promotion of communication within the group*

Composition (functional, demographic) – *Presence or absence of formal and informal subgroups, degrees and types of diversity within a group*

Shared clarity and goals – *Groups shared clarity on team goals and tasks required to achieve goals. Linked to leader behavior, clarifies goals and tasks*

This slide lists the group factors in the final climate for inclusion model

IDA | Climate for Inclusion – Key Organizational Factors

Organizational Factors

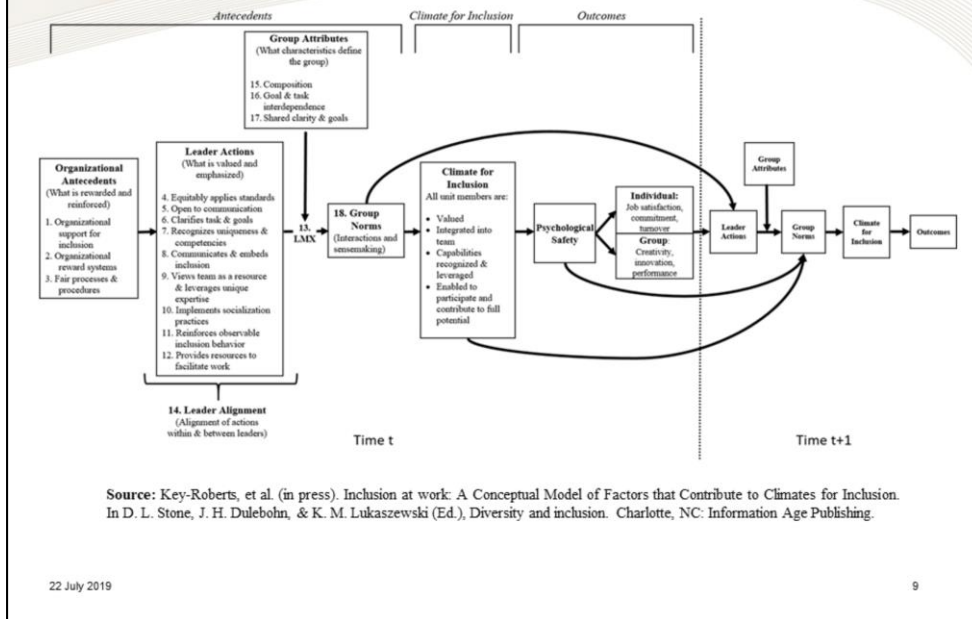
Organizational support for inclusion – *Linked to leadership resource factor, at organizational level, types of resources supporting inclusion are time, type of leader, standard operating procedures (SOPs) dedicated to fairness*

Organizational reward systems – *Systems within an organization that incentivize certain behaviors and reflect what the organization values. Such systems reflect organizational culture*

Fair processes and procedures – *Policies and SOPs related to the idea that members perceive all are treated equitably*

This table lists the organizational factors identified from the research that are incorporated into the climate for inclusion model.

IDA ARI Climate for Inclusion Conceptual Model



Three types of factors are depicted in the climate for inclusion model: leader, group and organizational. The relationships between these factors can be described as such:

Important organizational factors characterize what is rewarded and reinforced within a unit (items 1-3 in the model).

These organizational antecedents influence leader behaviors or actions that characterize what is valued and emphasized within the group. The leader factors are listed in items 4-14 in the model.

Leader actions, moderated by group attributes (items 15-17) and mediated by leader-member exchange (item 13) and group norms (that characterize group interactions and sensemaking) (item 18) foster a climate for inclusion.

This climate leads to a sense of psychological safety as well as positive group and individual outcomes.

The group norms, climate, and psychological safety serve to reinforce a positive climate for inclusion over time.

IDA | Questions to Consider: How Could DEOCS Better Reflect Inclusion Climate?

- Are the most important inclusion climate factors measured by the current DEOCS items?
- For the inclusion climate factors measured, what type of item improvements are needed to better represent these inclusion climate factors?
- For the inclusion climate factors not represented, which should be reflected in new or modified items in the DEOCS? How?

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Given the comparisons between the inclusion climate factors and current DEOCS items, several question come to mind for the summit participants to consider.

BACK-UP

IDA | Comparison of Inclusion Factors to DEOCS Items

- DEOCS includes items that *directly* assess the following factors:
 - Leader: Clarifies tasks and goals
 - Leader: Openness to communication
 - Leader: Equitable application of standards
 - Leader: Recognizes team member uniqueness and competencies
 - Leader: Team viewed as a resource
 - Organization: Fair processes and procedures
- DEOCS includes items that *partially* assess the following factors:
 - Leader: Resources to facilitate work (information access)
 - Leader: Implements socialization practices
 - Group: Group interaction norms
 - Group: Shared clarity and goals
 - Group: Goal and task interdependence
 - Organizational support for inclusion
- DEOCS does *not* include items that assess the following factors:
 - Leader: Communicates and embeds inclusion
 - Leader: Reinforces observable inclusion behaviors
 - Leader-Member Exchange (LMX)
 - Group: Composition (could be discerned by some demographic data)
 - Organizational reward systems

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This slide summarizes our comparison of the Climate for Inclusion factors to the DEOCS items in the Nov 2018 sample (v4.1). Here, we highlight those inclusion climate factors that are directly and partially assessed in the current version of the DEOCS as well as those inclusion climate model factors that were not assessed in the current DEOCS.

This slide illuminates the gap areas in the current DEOCS instrument for further consideration.

The tables in the slides that follow provide a detailed comparison indicating which DEOCS items correspond to the inclusion climate factors listed in this slide.

IDA | Leader Factors Compared to DEOCS Items (1 of 3)

Climate for Inclusion Factors	DEOCS Category	Applicable DEOCS Items
Clarifies tasks and goals	Part II Organizational Effectiveness (OE)	<i>Senior leadership.</i> My senior leader ... <ul style="list-style-type: none"> – Clarifies organization's goals and priorities – Communicates clear vision for future
Openness to communication	Part II OE	<i>Senior leadership.</i> My senior leader ... <ul style="list-style-type: none"> – Puts processes in place to facilitate information sharing throughout organization – Listens to concerns of org's military members/ employees <i>Trust in leadership</i> <ul style="list-style-type: none"> – I feel comfortable sharing my work difficulties with my immediate supervisor

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This slide and the two slides that follow compare the leader factors from our inclusion climate to the DEOCS (Nov 2018 sample (v4.1)) items from Parts II Organizational Effectiveness and Part III Fair Treatment.

IDA | Leader Factors Compared to DEOCS Items (2 of 3)

Climate for Inclusion Factors	DEOCS Category	Applicable DEOCS Items
Equitable application of standards	Part II OE and Part III Fair Treatment	<i>Trust in leadership</i> <ul style="list-style-type: none"> – My immediate supervisor follows through with commitments he or she makes – My immediate supervisor treats me fairly <i>Inclusion at work (Part III)</i> <ul style="list-style-type: none"> – Decision-making processes that impact my workgroup are fair
Recognizes team member uniqueness and competencies	Part II OE and Part III	<i>Organizational commitment</i> <ul style="list-style-type: none"> – I feel like “part of the family” in this workgroup – I feel a strong sense of belonging to this workgroup <i>Organizational performance</i> <ul style="list-style-type: none"> – My organization makes good use of available resources to accomplish its performance <i>Inclusion at work (Part III)</i> <ul style="list-style-type: none"> – Co-workers are treated as valued members of the team without losing their unique identities – I feel excluded by my workgroup because I am different – Within my workgroup, I am encouraged to offer ideas on how to improve operations

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This table continues our comparison of leader factors to the DEOCS items in Parts II and III of the instrument.

IDA | Leader Factors Compared to DEOCS Items (3 of 3)

Climate for Inclusion Factors	DEOCS Category	Applicable DEOCS Items
Team viewed as resource	Part II and Part III	<i>Organizational commitment</i> – I feel like “part of the family” in this workgroup – I feel a strong sense of belonging to this workgroup <i>Organizational performance</i> – My organization makes good use of available resources to accomplish its performance <i>Inclusion at work (Part III)</i> – Co-workers are treated as valued members of the team without losing their unique identities – Within my workgroup, I am encouraged to offer ideas on how to improve operations – Military members/employees in my workgroup are empowered to make decisions on their own
Provides resources to facilitate work	Part II	<i>Senior leadership.</i> My senior leader ... – Puts processes in place to facilitate information sharing throughout the workplace
Communicates/ embeds inclusion	N/A	N/A
Reinforces observable inclusion behaviors	N/A	N/A
Leader-member exchange (LMX)	N/A	N/A

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This table continues our comparison of leader factors to the DEOCS items in Parts II and III of the instrument.

IDA | Group Factors Compared to DEOCS Items

Climate for Inclusion Factors	DEOCS Category	Applicable DEOCS Items
Group interaction norms	Part II and Part III	<i>Organizational commitment</i> <ul style="list-style-type: none"> – I feel like “part of the family” in this workgroup – I feel a strong sense of belonging to this workgroup <i>Inclusion at work (Part III)</i> <ul style="list-style-type: none"> – Co-workers are treated as valued members of the team without losing their unique identities – I feel excluded by my workgroup – Within my workgroup, I am encouraged to offer ideas on how to improve operations
Goal and task interdependence	Part II	<i>Organizational commitment</i> <ul style="list-style-type: none"> – I feel like “part of the family” in this workgroup – I feel a strong sense of belonging to this workgroup <i>Group cohesion</i> <ul style="list-style-type: none"> – We all take responsibility for the performance of the workgroup – If members of our workgroup have problems in the workplace, everyone wants to help them so we can get back on task
Shared clarity and goals	Part II	<i>Group cohesion</i> <ul style="list-style-type: none"> – My workgroup is united in trying to reach its goals for performance
Composition	N/A	N/A

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This table compares the group factors from our inclusion climate to the DEOCS items from Parts II and III of the instrument.

IDA | Organizational Factors Compared to DEOCS Items

Climate for Inclusion Factors	DEOCS Category	Applicable DEOCS Items
Fair processes and procedures	Part II and Part III	<i>Organizational processes</i> <ul style="list-style-type: none"> – Programs in place to address military member/employee concerns – Discipline administered fairly – Decisions made after reviewing relevant information <i>Inclusion at work (Part III)</i> <ul style="list-style-type: none"> – Decision-making processes that impact my workgroup are fair
Organizational support for inclusion	Part III	<i>Inclusion at work (Part III)</i> <ul style="list-style-type: none"> – Co-workers are treated as valued members of the team without losing their unique identities – I feel excluded by my workgroup – Within my workgroup, I am encouraged to offer ideas on how to improve operations
Organizational reward systems	N/A	N/A

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This table compares the organizational factors from our inclusion climate to the DEOCS items from Parts II and III of the instrument.

DEOCS Category	DEOCS Items
Organizational commitment: <i>Emotional attachment to, identification with, and involvement of military members/employees to their units, characterized by a strong desire to maintain membership within the unit</i>	<p>"Belongingness" measures:</p> <ul style="list-style-type: none"> – I feel like "part of the family" in this workgroup – This workgroup has a great deal of personal meaning to me – I feel a strong sense of belonging to this workgroup
Senior leadership: <i>Perception that organization's senior leader demonstrates concerns for well-being of his/her organization's military members/employees and provides clear communication of the organization's goals, direction, and vision</i>	<p>My senior leader ...</p> <ul style="list-style-type: none"> – Puts processes in place to facilitate information sharing throughout organization – Clarifies organization's goals and priorities – Communicates clear vision for the future – Listens to concerns of organization's military members/employees
Organizational performance: <i>The perception that the organization operates well to accomplish goals and deliver high-quality output when pressured by demanding deadlines</i>	<ul style="list-style-type: none"> – When short suspense/tasks arise, people in my organization do an outstanding job in handling these situations – My organization's performance compared to similar organizations is high – My organization makes good use of available resources to accomplish its mission

On this slide, we detail the DEOCS instrument categories from Part II of the instrument that contain items of relevant to inclusion climate factors. Those relevant items in each category are highlighted.

DEOCS Category	DEOCS Items
Group cohesion: <i>A dynamic process that is reflected in the tendency for a group to stick together within your immediate workplace and remain united in the pursuit of its objectives and/or satisfaction of participants personal needs</i>	<ul style="list-style-type: none"> – My workgroup is united in trying to reach its goals for performance – We all take responsibility for the performance of the workgroup – If members of our workgroup have problems in the workplace, everyone wants to help them so we can get back on task
Trust in leadership: <i>The expectation that a leader will act in your organization's best interest, that he or she will follow through with actions that affect outcomes of others, and that he or she will act in a fair and equitable manner</i>	<ul style="list-style-type: none"> – I can rely on my immediate supervisor to act in my organization's best interest – My immediate supervisor follows through with commitments that he or she makes – I feel comfortable sharing my work difficulties with my immediate supervisor – My immediate supervisor treats me fairly
Organizational processes: <i>Perceptions that policies and procedures are informed and fair and that leaders seek to achieve goals that are in military members best interest</i>	<ul style="list-style-type: none"> – Programs are in place to address military member/employee concerns – Discipline is administered fairly – Decisions are made after reviewing relevant information

On this slide we continue to detail the DEOCS instrument categories from Part II of the instrument that contain items of relevant to inclusion climate factors. Those relevant items in each category are highlighted.

DEOCS Part III Equal Opportunity/Equal Employment Opportunity (EO/EEO)/Fair Treatment Categories Items Relevant to Inclusion Climate Factors Highlighted

DEOCS Category	DEOCS Items
<i>Inclusion at work: Involves ways in which organizations, groups, leaders, and military members/employees allow everyone (diverse in identities, cultures, and ways of thinking and acting) to participate, contribute, have voice, and feel that he or she is connected and belong—all without losing individual uniqueness or having to give up valuable identities or aspects of himself or herself</i>	<ul style="list-style-type: none">– Co-workers are treated as valued members of the team without losing their unique identities– I feel excluded by my workgroup because I am different– Within my workgroup, I am encouraged to offer ideas on how to improve operations– Military members/employees in my workgroup are empowered to make work-related decisions on their own– Outcomes (training opportunities, awards, recognition) are fairly distributed among military members/employees of my workgroup– Decision-making processes that impact my workgroup are fair

On this slide we detail the DEOCS instrument categories from Part III of the instrument that contain items of relevant to inclusion climate factors. Those relevant items in each category are highlighted.

Appendix A.
**OPA Command Climate Assessment
Summit Agenda**

Agenda

8:30-9:00am	Check-in
9:00-9:15am	Morning Welcome Dr. Ashlea Klahr – Office of People Analytics (OPR)
9:05-9:10am	Opening Remarks Dr. Elise Van Winkle – Office of Force Resiliency (OFR)
9:15-10:30am	Defense Organizational Climate Survey (DEOCS) History & Development of the DEOCS Defense Equal Opportunity Management Institute (DEOMI) Development of the Connectedness Scale Dr. Adam Walsh & Dr. Laura Neely – Defense Suicide Prevention Office (DSPO) Future of the DEOCS Dr. Rachel Clare – Office of People Analytics (OPA)
10:30-10:45am	Break
10:45-11:45am	Climate Assessment Efforts from the DoD Community Development of a Single-Item Climate Measure Dr. Jessica Darrow & Dr. Jay Goodwin – U.S. Army Research Institute (ARI) Modeling and Measuring Inclusive Climates Dr. Melinda Key-Roberts, U.S. Army Research Institute (ARI) and Ms. Caroline Earle – Institute for Defense Analyses (IDA) Marine Corps' Command Climate Survey Dr. Robert Figlock & Mr. Michael Schimpf, Advanced Survey Design (ASD)
11:45am-12:45pm	Networking Lunch Break: Join colleagues in the Mark Center cafeteria for an informal networking hour.
12:45-2:15pm	Discussion Groups Facilitators will lead small groups to share ideas, priorities, practices, challenges, and needs in the assessment of command climate.
2:15-2:30pm	Break
2:30-3:20pm	Discussion Groups Recap Representatives from each group will summarize their groups' discussion to identify common themes.
3:20-3:30pm	Closing Remarks Dr. Ashlea Klahr – Office of People Analytics (OPA)