Records & Reports

The Climate Assessment Process

Survey

Focus Group

Observations

Reports

This publication is available for download at the
Defense Equal Opportunity Management Institute (DEOMI)
website under Assessment to Solutions at www.deomi.org.

Records and Reports Guide

DEFENSE EQUAL OPPORTUNITY MANAGEMENT INSTITUTE
EXECUTIVE DIRECTORATE OF RESEARCH, DEVELOPMENT, AND STRATEGIC
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Internet Site

        The Defense Equal Opportunity Management Institute (DEOMI) website, located at www.deomi.org, provides a variety of tools and information to support the climate assessment process.

Cover

        The cover was created by DEOMI's graphic artist, Mr. James Ladner.

This Guide

        This guide provides assistance to leaders in analyzing records and reports. Suggested improvements and additions to this guide should be submitted to the DEOMI Research Directorate, 366 Tuskegee Airmen Drive, Patrick Air Force Base, Florida 32925.

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Updates

        This guide was updated in July 2017 to incorporate revised factors from the DEOMI Organizational Climate Survey (DEOCS) version 4.0 to version 4.1. This update primarily effects factors identified in Step 3-Analyze Findings on page 6.

TABLE OF CONTENTS

Appendix A

Appendix B

Appendix C

Appendix D

Appendix E

References

Army

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Overview

A climate assessment is a systematic procedure to gather data about an organization and provide insight to how the organization is functioning to meets its mission. The assessment is similar to putting together the pieces of a jigsaw puzzle. Typically, a formal, comprehensive, organizational assessment begins with a survey, such as the DEOMI Organizational Climate Survey (DEOCS). Once survey themes, indicators, or concerns are identified, other assessment methods (interviews/focus groups, observations, etc.) are used to further clarify the perceptions. Like puzzle pieces, each method provides additional and essential information about the picture. However, it is important to note that the information gathered from these sources are only perceptions of what people believe is occurring. It may not be factual or true. Recurring or linked indicators, themes, and trends identified from these assessment sources need to be validated.

Records and reports are used by units to document a variety of organizational actions and become a part of the unit's official history. Records and reports can be used in a variety of ways. Most units have a periodic requirement to conduct a comparison of key data points within their organization. Leaders typically review and analyze the status of personnel, equipment, and programs to try and identify trends early enough to prevent/preclude future problems. Information found in records and reports can provide a wealth of information regarding trends and indicators which contribute to the overall health of the organization. An analysis of these items should also be used during a climate assessment to verify indicators and concerns identified through other assessment methods (surveys, observations, and interviews).

Organizational records and reports contain the information for doing this. Conducting a comparative analysis of these items is usually the final assessment step in the climate assessment process. Doing this completes the puzzle and brings the entire climate picture into focus. This guide will provide you with some considerations as you complete this important part of the organizational assessment process. Let's look at some common questions regarding this step.

What does analyzing records and reports mean and what is the purpose?

Analyzing records and reports is the process of examining the hard, unchangeable, factual data about the command. The purpose of analyzing records and reports is to find evidence which may prove or disprove, support or fail to support, validate, or quantify the information from the other assessment sources. When we review records and reports we are looking for indicators that may imply more compelling issues. This analysis can also provide a commander an unbiased snapshot of their unit's practices as it is based on actual unit data and results, not perceptions. Appendix A showcases types of records and reports that might be reviewed and questions that might be used to explore them. Each of these items can provide specific data points which can later be used for comparison.

Who conducts a records and reports analysis?

Anyone can analyze the organization's records and reports. However, to ensure the process is carried out properly, a unit member skilled and experienced with understanding, analyzing, and interpreting various types of records and reports data and information should be involved.

How do I get the information I need for this comparison?

It is important to understand that the commander will "own" most of the data that will be needed for comparison. Still, the information or data may be difficult to acquire and will be kept or maintained by different organizational staff elements within the command. These elements are also sometimes reluctant to provide this information to perceived "outsiders." The equal opportunity advisor (EOA) or command climate specialist (CCS) who builds relationships with the commander's staff can foster the collaborative environment essential for getting the necessary information. However, in some cases, the commander's direct authorization by letter, memorandum, or directive may be necessary to spur a supporting staff member's assistance.

What are the advantages of conducting a records and reports analysis?

- Data found in records and reports is unchangeable.
- Data is easily accessible if filed correctly.
- Data is easily expressed for comparison.
- Data is easily interpreted and compared with other data sources.

> Note: Analyzing records and reports may be a time consuming and arduous process. Remaining patient and focused throughout the analysis is critical.

What are the disadvantages of conducting a records and reports analysis?

- Data may not be available because it was not maintained according to Service requirements.
- Data may be difficult to obtain because it was not filed according to Service requirements.
- Data may not be accurate.
- Data may be missing.
- Varying report formats may hinder the availability of comparable information.

How do I know if something is important? What do I use for comparison?

One of the first steps in conducting a thorough analysis is determining how you are going to compare the information. When looking at things from a human relations standpoint, a typical method of comparison is to see how various groups of people are treated. Are people treated fairly and equitably across groups or are some members from one group favored or disfavored more than others? How do you know? What are the differences and how do we account for them? Does anything indicate people are being treated differently (policies, programs, etc.)? Are Service-designated requirements being conducted/followed (e.g. mandated training, policies, reporting, etc.) to foster a more positive human relations climate?

One way to explore these questions is to compare results/trends seen in your records and reports to the demographics in the unit. If all things are fairly and equitably applied without bias or discrimination, then groups of people should share fairly closely alike in the successes and failures of the organization. For example, if one group of members makes up 65% of the organization, then one would expect that roughly 65% of these members would receive positive actions, such as awards or promotions, and roughly 65% of these members would receive negative actions, such as uniform code of military justice (UCMJ) action. Rarely will a group's results be an exact match to their demographics. But all things considered, the group's results should be within a few points right or left of their group makeup.

There can be many reasons, some valid, which can cause a group's result to be outside of expectations. You should use caution and not jump to conclusions if you suddenly see a significant shift in one direction or another. This is especially true when working with very small groups or populations. A very small change in one individual's status can appear to be a significant deviation when doing a statistical group comparison. However, any major deviation should cause you to pause and ask, "How do I account for this? What is the reason it happened? Is there a logical explanation for the result?" Further exploration and analysis may be necessary to truly identify if a problem exists.

> Example: In the late 1990's, U.S. Forces were deployed to Bosnia for peacekeeping operations. During a semi-annual review of unit data, it was noted that one group had received a disproportionately and significantly higher number of Field Grade Article 15s when compared to other groups. It was immediately identified as an area of concern. However, a closer examination revealed that each of the members receiving an Article 15 had violated General Order #1, No Use of Alcohol. Further investigation reflected that members of the family support group had sent their deployed troops 1 ounce bottles of alcohol in their gift packages. The troops received them with much applaud. Even though they knew it wasn't proper, the members decided to drink-just as the platoon sergeant walked in. Busted! In this real-life example, an uneducated observer could have easily implied from the initial result that discrimination existed within the unit or that there was a biased leader. Only further examination revealed the true and valid reasons for the differences in UCMJ administration.

Using the aforementioned premise as a way to compare your records and reports information, one of your first steps should be to acquire the demographic profile of the organization. This demographic profile can be provided in a variety of ways and categories. It will usually depict the unit makeup in regards to the sex, race, ethnicity, etc., for unit members and be reflective of rank/grade as well. Depending on the record or report data you are examining, this information may need to be re-categorized to ensure you are examining the correct data points. For example, if I am looking at the local promotion rates for junior enlisted, then I will need to ensure I am using the demographics for those specific ranks and not using the larger, total unit demographic profile

for all members in my comparison. Not addressing this element could cause me to skew results in a manner that leads to a false interpretation.

It is important that relevant and various levels within the data be compared. If the wrong level of data is reviewed you may find or fail to find indicators necessary to support, fail to support, or refute other data sources. For example, if you are looking at concerns in a company/flight level of command, use only data for that element. Don't use the data from a higher level of command (battalion/squadron) for the comparison. If you do so, trends that might have been identified in the lower level data may be diffused or hidden in the larger numbers and may not be obvious or prevalent.

Types of Data

There are two types of data that might be reviewed as part of your analysis. These are qualitative data and quantitative data.

Qualitative data is data that is not numerically based about the command and is not amenable to numerical analysis. Qualitative data can include items such as policy letters, programs, Service requirements, unit logs, training requirements, etc. In some cases it may be easy to decipher the information. For example, if we are trying to determine if a policy is in place it is fairly easy to determine in the commander has one, if it is posted, and if members know about it. On the other hand, it is much harder to determine if the policy is followed, if it is effective, or if it makes a difference. If attending specific related training is a requirement, it is usually easy to tell if members went to it or did not (if accurate attendance logs are available). Whether the training was effective, relevant, or made a change is difficult to discern.

When looking at these types of information look for cause and effect relationships. One way to determine the effectiveness of these types of data is to inquire further with unit members on the policy's applicability or training use/effectiveness, or where possible, compare the results to related quantitative (numerical) information. For example, if the commander has a policy about equal treatment, and it is followed, then "fairness and equitability" should be evidenced in other numerical based areas such as, rates of local promotion, rates of UCMJ actions, rates of selection to key jobs/training, etc. Another way is to compare and look for commonality with information reflected in the DEOCS, observations, or in focus group/interview data. While a "shooting gun" may never be clearly identified, enough "like" indicators may signal that one area or another is the specific source of the concern/problem.

Quantitative data is usually numerically based and fairly easily comparable in most contexts. It is data that is susceptible to being measured. Evaluated to the demographic profile this data can be fairly easily interpreted and used in a comparable analysis.

3-Step Records and Reports Analysis Process

The ability to understand and interpret information can allow you to more accurately advise a commander on the unit's practices. The following three-step process can assist you in this analysis.

Step 1: Prepare for the Analysis
- Obtain clear guidance on the intent of the analysis and identify any specific information the commander may be seeking.
- Analyze the DEOCS, focus groups, and observations data (if available) to identify areas of concern, potential issues, themes, and trends upon which to focus your attention. As you do this, you should start to categorize similarities. You should also begin to consider and list what records and reports might be necessary and useful in providing data points for comparison.
- Determine the level of authorization needed to view required records and reports. If you do not have the appropriate clearance, coordinate with your commander.
- Identify a location that is private and allows for the space needed to conduct the analysis.
- Obtain supplies required to complete the task. (See Appendix B)
- Reserve time on the commander's schedule for the out brief. Ensure you provide yourself ample time to prepare and rehearse your briefing.
- Determine the preferred format to present information during the out-brief (ex. PowerPoint, executive summary).

Step 2: Gather Information

Information needed for a records and reports analysis is recorded in a variety of formats.
- Submit a request to department supervisors to acquire the types of records and reports necessary (see appendix A) to complete a thorough analysis based on the themes identified in Step 1. Ensure you allow time for locating/gathering information as some of it may not be immediately available.

> Note: You will find some data to be qualitative (unit logs / policy letters), and other data to be quantitative (awards / retention rates, etc.).

- Acquire the demographical profile for the organization. Ensure it provides the breakdowns you need for further comparison/analysis. You may need to transform your data into useable percentages/rates per thousand if it is not already reflected this way.

Step 3: Analyze Data

For the purposes of a command climate assessment, the information you gather should focus mainly on Equal Opportunity (EO) and Organizational Effectiveness (OE) areas. Below are EO and OE categories identified in the DEOCS, which could be used as comparison points, as well as some other categories which could be included and examined in your analysis:

(A) Unwanted Workplace Exp.	(K) Inclusion at Work	(U) Retaliation-Sexual Assault
(B) Sexual Harassment	(L) Connectedness	(V) Bystander Intervention-SA
(C) Sex Harassment Retaliation	(M) Engagement	(W) Other Sexual Assault Prev.
(D) Discrimination - Sex	(N) Senior Leadership	& Response Items
(E) Discrimination - Race	(O) Trust in Leadership	
(F) Discrimination - Disability	(P) Job Satisfaction	(Z1) Other Areas/Concerns
(G) Discrimination - Age	(Q) Group Cohesion	(Z2) Family Concerns
(H) Discrimination - Religion	(R) Organizational Commitment	(Z3) Communication Concerns
(I) Bullying	(S) Organizational Process	
(J) Hazing	(T) Organizational Performance	

This is not an all-inclusive list and other areas may be added based on the commander's emphasis/guidance. At Appendix C is a worksheet that can assist you in sorting relevant information to the above categories as you compare it and decide to what area it relates. When analyzing records and reports you should:

- Compare qualitative data. To gain a clear picture and identify if any disparities exist, this type of data may need to be compared over time to the same or similar data. Additionally, the below areas might also be examined as you acquire this information:
  - Does the information follow service regulations/guidelines?
  - Does the information encourage the fair treatment of all unit members?
  - Does the information depict occurrences of unfair treatment towards a specific group(s) of unit members?
  - Is there historical data?
  - Is the current information up to date?
  - Is the information posted where members can find and review it? Are they aware it exists? Are leaders following it?
- Compare quantitative data. For numerically based data, two methods of analysis are recommended: percentages and rates per thousand. These methods are useful in depicting institutional practices that may reflect trends towards specific groups of people.
  - Percentages
    - This method is useful to depict changes in what happens to individuals as a result of normal functions of unit systems.
    - To compute a percentage, take the population you are reviewing and divide it by the total population, and multiply it by 100. (example in Appendix D)
    - Note: percentages do not say anything about what caused the differences, only that they exist. Data from other sources needs to be collected and analyzed to identify trends and arrive at conclusions.
  - Rate per thousand
    - This method is useful in comparing specific groups, comparing data during a given point in time, or comparing data within large unit populations (Flag-level commands with large populations).

- This method is useful in comparing specific groups over time to other groups when the overall population has been significantly changing or fluctuating. For example, use this method to compare data in an organization that has been downsized over time or which grew substantially.
- To compute rate per thousand, take the population you are analyzing, divide it by the total population of that group, and multiply it by 1,000 (example in Appendix E).

Once you determine which computation method you will use, you should compare the unit demographics to the demographics of the members represented in the various reports. Remember, you are trying to use records and reports data to validate information from your other climate assessment sources. Identify patterns and trends that link your analyses to perceptions identified in the unit's DEOCS, focus groups/interviews, observations, and any additional focus areas the commander may have requested. Does the data prove or disprove, support or fail to support, validate, or quantify the information from the themes identified in these sources (cause and effect)? If you identify a disparity, ask yourself:

- In what area is the disparity?
- Who is affected by the disparity?
- What possibly caused the disparity?
- Is the disparity reflected into other areas? For example, is the disparity caused by a policy or program flaw that could be driving the results?
- Do any external factors negatively affect members?
- Do any non EO-related impact command climate, e.g., communication issues, personnel/ equipment shortages, training deficiencies, etc.?

Be sure to identify and document any disparities that cannot be explained. Then assemble similar trends/findings from the different records/reports into a comprehensive package of findings. Plotting these data into graphs or charts can help exemplify these disparities.

> Reminder: Identifying questionable information does not necessarily mean there is an EO, OE, or other issue/concern. You need to determine whether any extenuating or logical circumstances exist that may be the cause.

Depicting Data

Providing information to the commander in a usable, easily comparable way is essential. Data can be visually depicted in a variety of ways. However, some styles may be more effective than others. Showing data graphically helps commanders visualize areas of concern. Showing data together on one chart can help you directly compare two or more things at once. Charts should also be used as part of the Executive Summary to help you relay the critical information. Below are examples of how data can be shown effectively.

- Line charts. Line charts can be used to show changes over time, values measured as specific points in time, and when multiple groups are included, can simultaneously compare them on a single graph.
- Pie charts. Pie charts can be used to show the entire population while also providing information about how much each group is represented in the population (e.g., men and women). Showing two pie charts side-by-side allows one to effectively and easily compare the unit demographics with another measure that affects the unit members. For example, the first chart shows the racial makeup for the organization while the second chart can show the proportion of total awards each group received.
- Bar charts. Bar charts can be used to display values either vertically or horizontally. They are valuable for comparing the respective measures for different groups, units, or actions side-by-side for easier visualization.
- Other charts. Each leader/commander has a preference. Know what it is and use it where it works best.

Prepare your report

Once your analysis is complete, compile the data in the format the commander requests. There are many formats available; however, most organizations use standard templates and the commander may prefer you use their template. Remember to provide facts and not assumptions that could be derived from incomplete information.

If you are preparing your records and reports out-brief only, discuss only what you analyzed. If you are preparing a complete organizational assessment out-brief, gather all of your data and present it in a way the commander can easily read and understand. Ensure you show the commander patterns and themes identified between the DEOCS, focus groups/interviews, observations, and records and reports analysis and how they relate to one another (supporting/refuting).

> Note: Be sure to address any areas the commander raised in the preparation phase of your assessment.

After you have annotated the facts, prepare recommendations (as needed) that will assist the commander in improving the identified concerns. These recommendations may come from various sources to include individuals within the organization, regulations, or guidelines.

Do not compare this assessment to another organization's assessment. You are there to assist the commander with their organization. Remember, the commander may not know how to address the concerns that are identified. Or, they may be so invested in their organizations that it

may be difficult to get them to accept the findings. You may need to advise leaders on how to view this tool as a means to improve their climate. You are the subject matter expert. The individuals in the briefing will be looking to you for advice and assistance on the next steps.

Finally, rehearse for your briefing. If you state anything in your briefing, be prepared to back it up with facts and correlations to the data. Never underestimate a commander's knowledge, especially of their own organization.

Conduct the out-brief

When conducting the out brief, arrive early and be prepared to supply copies of your report to all participants. Be flexible and report only the facts. If you don't know an answer to a question, don't be afraid to say so. Inform the commander know you will find out the answer and then report back to them.

> Note: Depending on the size of the organization, the findings, or the individuals attending the briefing, it may take 30 minutes to many hours to complete.

Additionally, be prepared to provide recommendations that you prepared in response to the analysis. Together you, the commander, and anyone else present should determine a plan of action addressing any EO or OE issues or concerns. Taking the time to determine a plan of action during this step ensures the commander focuses on the future and provides measurable steps for improving their unit climate.

Finally, ensure you end your briefing on a positive note. Highlight accomplishments and/or positive behaviors and thank the commander for allowing you to come to their organization. Reassure them you are there to assist them in with any EO/OE concerns.

Follow Up

At some point, you should conduct a follow-up with the commander to determine if their implemented plan of action was successful. Depending upon the result, you may find yourself providing additional support/training, or even performing additional analyses to further clarify initial or follow-up concerns. Above all else, remain flexible to the needs of the command.

Summary

A records and reports analysis can be conducted as a stand-alone method of gaining insight into an organization's practices or as a part of a complete organizational assessment. Either way, it is an effective tool in assisting commanders in maintaining or improving their organization's climate.

Appendix A

Types of Records and Reports You Might Collect and Review

There are various types of records and reports available at different levels within the command. Below are some that you should consider reviewing. Items with an asterisk "*" might only be available/used for an assessment at a senior organizational level. *Note: Services look at and report data differently. Your Service may not have a specific record available or it may not be within your purview to review.*

Policy Letters
Equal Opportunity
Sexual Harassment
EO Reporting, Complaint/Grievance Procedures
Sexual Assault
Open Door
Hazing/Bullying
*No FEAR Act
*Diversity Statement/Leadership Philosophy
*Human Resource Council

> Evaluation Considerations:
> - Does a policy letter exist?
> - Are policy letters published/posted?
> - Do unit members know of the policy?
> - Are the policies followed/enforced?

Training Record and Reports
School Selection and Attendance (Order of Merit Lists (OMLs))
Local key leader/functionality training
Equal Opportunity Leader/MEO/Unit Civil Rights Officer Training
Senior Leader/Executive Training
EO related training for Soldiers/Airmen/Sailors/Marines
*Newcomers Briefing/Training
Special/Ethnic Observances

> Evaluation Considerations:
> - Are OML's kept/current?
> - How are attendees selected?
> - Are selectees reflected by race/ethnicity/sex?
> - Is required training being conducted?
> - Do appropriate leaders attend?
> - Are observances conducted/attended?

Key Leadership/Duty Positions
Commander
Executive Officer
S-3/Operations Officer
First Sergeant/Lead Chief Petty Officer
Operations Sergeant
EOL/CMEO/Unit Civil Rights Officers
HR Council Members

> Evaluation Considerations:
> - Who makes the selection for the various leadership positions?
> - What are the selection criteria? Is it posted/identified?
> - Are individuals aware of the process for selection?
> - Are key duty positions reflected by race/ethnicity/sex?
> - Are key EO personnel designated in writing (appointment orders)?

**Equal Opportunity/
IG Complaints**
   Informal
   Formal

Evaluation Considerations:
- Who has filed a complaint by race/ethnicity/sex?
- Does one group file complaints more than others? Why?
- Are there similarities/consistencies within complaints filed?
- Are corrective actions taken to resolve complaint issues?
- Are complaints being resolved to the satisfaction of the complainants?
- Are complaints processed within timelines?
- What are the complaint trends? Are there positive/negative indicators?

UCMJ/Discipline Records/Command Punishment Log
   Summary Article 15
   Company- level Article 15/Captain's Mast
   Field Grade Article 15/Captain's Mast
   *Courts Martial
      Summary
      General
      Special

Evaluation Considerations:
- Who receives disciplinary action?
- Is it representative by race/ethnicity/sex?
- Is punishment applied equitably by race/ethnicity/sex for like offenses?

Awards
   Local Recognition
   Quarterly/Annual Recognition
   Service Achievement Awards (by category)
   End-of-tour Awards

Evaluation Considerations:
- Who receives recognition/awards?
- Is it representative by race/ethnicity/sex?
- Are procedures followed for downgrading awards (i.e. proper level commander)

***Armed Forces Disciplinary
Control Board**

Evaluation Considerations:
- Are issues before the Board EO-related?
- Are positive actions taken to resolve EO- related issues?
- Who are the AFDCB members? (AR 190–24, OPNAVINST 1620.2, AFI 31-213, MCO 1620.2D and COMDTINST 1620.1E)

Local Promotions
   E-6 and Below

Evaluation Considerations:
- Are local promotions reflective by race/ethnicity/sex?
- Who sits on the local selection board? Is it reflective of race/ethnicity/sex? Is it possible to attain representative membership?
- Are there any complaints against the process? What were the results?
- Are promotion waivers for E-2 through E-6 reflective?
- What are the procedures for a waiver/promotion recommendation?

Unit Logs, Reports, and Records
    Staff Duty Logs/Watch
        Standards Logs
    Commanders Report
        BAQ, Separate Rations
    Daily Personnel Status Reports
        Absences/AWOLs
        Sick call
        Tardiness

Evaluation Considerations:
- Do any findings reflect upon the EO climate? (i.e., graffiti, fights/disputes, inappropriate music, etc.)
- Was action taken to address areas of EO concern?
- Who has been sick, late, absent on a recurring basis? Is it always the same people? Do reasons appear valid?

Billeting/Barracks
    Room Assignments

Evaluation Considerations:
- Who makes room assignments?
- Are the personnel in the barracks satisfied with assignments/roommates?
- Are there issues within the barracks? Are they EO-related?
- Is the standard/quality of quarters equal across race/ethnicity/sex?
- What about housing assignments (on post and off post)?

Staff Assistance Visit/
  Organizational Inspection Program
    EO Issues
    Other Related Issues

Evaluation Considerations:
- When was the last unit SAV/OIP?
- What were the identified issues/deficiencies?
- Were any EO-related issues/deficiencies identified?
- Were identified issues/deficiencies corrected?

Law Enforcement Reports (MP/ SP/Master at Arms, Other)
    Accidents
    Infractions
    Criminal Activity
    Bullying/Hazing
    Gang/Extremist Activity

Evaluation Considerations:
- What were the reported violations?
- Were the issues EO-related?
- Who were the violators? Are they representative by race/ethnicity/sex?
- Have bullying/hazing/gang/extremist activities been reported? Is the command aware of them?

Retention
    Separations
    Reenlistments
    *Medical Elimination Review Board
    *Medical Reclassification Review Board
    Departure Surveys

Evaluation Considerations:
- Do eligible candidates reenlist? Are reenlistees representative of race/ethnicity/sex?
- What reasons do candidates give for not reenlisting?
- Who is boarded for removal? What are the reasons?
- Are any issues EO-related?

Alcohol & Drug Abuse Records

Evaluation Considerations:
- Are those referred to the program reflected by race/ethnicity/sex?

Unit Status Reports
    Personnel
    Equipment
    Training

Evaluation Considerations:
- Is the unit properly manned to conduct the mission?
- Is the unit properly equipped to perform the mission?
- Are personnel appropriately trained to operate equipment?
- Do deficiencies in the above areas impact upon the organizational climate, morale, etc.

Command Climate Surveys
    Conducted
    Findings
    Action Plans
    Command Sensing
      Sessions/Focus Groups

Evaluation Considerations:
- When was the last command climate survey conducted?
- What written comments came out of the survey?
- What were the results of command sensing sessions/focus groups? Were there EO concerns? Were they addressed and were actions effective?
- Were these perceptions validated?
- Were action plans implemented to address discrepancies/personnel concerns?
- If negative areas were identified, what actions were taken?
- Were the actions effective?

EO Action/Affirmative Action/Management Directive 715 Plans

Evaluation Considerations:
- Are EO Action/Affirmative Action /MD 715 plans current?
- Do appropriate staff elements conduct periodic progress reviews of trends/data?
- Were positive or negative trends identified?
- Were corrected actions developed/implemented?
- Were these effective?

EO/Command Climate Specialist Program Equal Opportunity Leaders/Command Military Equal Opportunity Officers Budget

Evaluation Considerations:
- Are key EOAs/CCSs and EOLs/CMEOs identified, appointed, trained?
- Does the EO program have a budget?
- Is the local EOA/CCS visible within the unit and accessible?
- Is the local EO program effective?

Unit Safety Records
    Accidents
    Injuries

Evaluation Considerations:
- Are there any EO implications/connections to accidents/injuries?
- Are accidents/injuries reflective to race/ethnicity/sex?
- Are some groups disproportionately affected more than others?

Appendix B

Records and Reports Analysis Items List. The below items may be necessary for you to conduct your records and review analysis:

- Records and Reports Analysis Guide
- Records and Reports Analysis worksheets with multiple copies
- Approval notifications for authorization to review records and reports
- POCs for individuals responsible for maintaining required records and reports
- Calculator or computer programs (Excel) for use in data computations
- Pencils/pens, highlighters, notepads
- Folders, for use in consolidating and collating items by concerns/themes, etc.
- Survey (DEOCS), Observations, and Interview (focus group) data (if available)

Appendix C

Records and Reports Analysis Worksheet	
Unit:	**Date:**
Record/Report Reviewed:	

Discrepancy Identified	EO/OE Category

Appendix D

Percentages Example. As part of your analysis, you want to determine the percentage of the total population for Hawaiian/Pacific Islander (HI/PI) males for comparison in promotions data. What is the HI/PI male percentage?

	Female	Male
AI/AK	0	0
Asian	12	41
Black	39	215
HI/PI	1	9
White	57	502
Total Population	876	

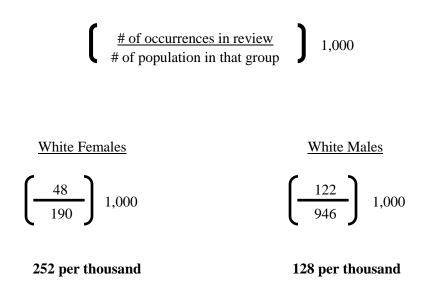(# of HI/PI Males / Total Population) 100

$$(9 / 876) \ 100 \ f$$

$$(.01) \ 100$$

1%

After determining the HI/PI males represent 1% of the unit's population, you can now use the formula to compute the promotion percentage. Compute the data for other groups and compare results to ensure the unit is promoting its members equitably.

Appendix E

Example Rates per 1000. During your analysis of UCMJ reports, 48 of 190 white females were reported as receiving UCMJ discipline. During that same year, 122 of 946 white males received UCMJ discipline. How do these two groups compare?

$$\left(\frac{\text{\# of occurrences in review}}{\text{\# of population in that group}} \right) 1,000$$

White Females

$$\left(\frac{48}{190} \right) 1,000$$

252 per thousand

White Males

$$\left(\frac{122}{946} \right) 1,000$$

128 per thousand

   After completing the computation, you determine white females are receiving nearly twice as many UCMJ actions as white males. This information should be used in conjunction with other assessment data, if available, to further assess whether discrimination or some other influence is occurring.