



# DEPARTMENT OF DEFENSE SEXUAL ASSAULT PREVENTION AND RESPONSE

## Annual Report on Sexual Harassment and Violence at the Military Service Academies

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Academic Program Year 2013– 2014

February 2015





**UNDER SECRETARY OF DEFENSE**  
4000 DEFENSE PENTAGON  
WASHINGTON, D.C. 20301-4000

**PERSONNEL AND  
READINESS**

**FEB 10 2015**

The Honorable John McCain  
Chairman  
Committee on Armed Services  
United States Senate  
Washington, DC 20510

Dear Mr. Chairman:

Section 532 of the John Warner National Defense Authorization Act for Fiscal Year 2007 (Public Law 109-364) requires an annual report during each Academic Program Year (APY) on the effectiveness of the policies, training, and procedures of each Military Service Academy (MSA) with respect to sexual harassment and violence involving Academy personnel.

The enclosed "Department of Defense Annual Report on Sexual Harassment and Violence at the Military Service Academies, Academic Program Year 2013-2014" provides an assessment of the Academies in the areas of prevention, investigation, accountability, victim advocacy/assistance, and assessment with regards to sexual harassment and assault, as well as data and analysis on reported cases of sexual harassment and assault involving Academy personnel occurring between June 1, 2013 and May 31, 2014. Also enclosed, as part of this year's report, is the Defense Manpower Data Center's "2014 Service Academy Gender Relations Survey Overview Report."

Our Armed Forces rely on our MSAs to develop future officers of the highest character. As such, it is essential that we train and develop our young men and women to foster a climate of dignity and respect, where sexual assault, sexual harassment, and inappropriate behavior and attitudes are not condoned, tolerated, or ignored. This commitment notwithstanding, sexual assault remains an underreported crime in our society, in our military, and at our nation's MSAs. Results from this year's report demonstrate that estimated instances of sexual assault and sexual harassment at the MSAs greatly outnumber reports made to authorities. We must redouble our efforts at the MSAs to encourage victims to report and ensure our cadets and midshipmen share a common understanding of healthy relationships and appropriate conduct.

To this end, Secretary Hagel is directing my office to host a senior summit each APY for Service Academy leadership and others as appropriate, and to incorporate senior Service Academy leadership into the Sexual Assault Prevention and Response (SAPR) Executive Integrated Product Team forum to facilitate collaboration and exchange of best practices. My office is also directed to develop and deploy an anonymous, self-guiding educational program to help restore resiliency of cadets, midshipmen, and other military members who have been victims of sexual assault or abuse. Furthermore, the Secretary of Defense is directing the Secretaries of the Military Departments to develop and conduct specific prevention programming and initiatives for cadets and midshipmen at the conclusion of their first APY in order to address professional relationship expectations and the higher rates of sexual assault experienced during

the Academy third-class year. To encourage greater reporting of sexual assault, the Secretary is directing the Superintendents of the Military Service Academies, in collaboration with the my office and the Military Departments' SAPR Program offices, to assess their individual Academy climates and develop a plan to promote greater reporting of these crimes by cadets and midshipmen.

I am sending a similar letter, with the Department's report, to the Chairman and Ranking Member of the House Committee on Armed Services.

Sincerely,

  
Jessica L. Wright

Enclosures:  
As stated

cc:  
The Honorable Jack Reed  
Ranking Member



**UNDER SECRETARY OF DEFENSE**  
4000 DEFENSE PENTAGON  
WASHINGTON, D.C. 20301-4000

PERSONNEL AND  
READINESS

FEB 10 2015

The Honorable Mac Thornberry  
Chairman  
Committee on Armed Services  
U.S. House of Representatives  
Washington, DC 20515

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Sincerely,

  
Jessica L. Wright

Enclosures:  
As stated

cc:  
The Honorable Adam Smith  
Ranking Member



# **Department of Defense Annual Report on Sexual Harassment and Violence at the Military Service Academies Academic Program Year 2013-2014**

***Section 532 of  
the John Warner National Defense Authorization Act  
for Fiscal Year 2007  
(Public Law 109-364)***

The estimated cost of report or study for the Department of Defense is approximately \$920,000 in Fiscal Years 2014-2015. This includes \$755,000 in expenses and \$165,000 in DoD labor.

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## Table of Contents

<b>EXECUTIVE SUMMARY</b> .....	7
Summary for the Military Service Academies .....	9
United States Military Academy .....	9
United States Naval Academy.....	10
United States Air Force Academy .....	10
Assessment of Progress .....	11
<b>WAY AHEAD</b> .....	12
<b>INTRODUCTION</b> .....	14
<b>REPORT REQUIREMENT</b> .....	14
<b>DEFINITION OF SEXUAL HARASSMENT AND SEXUAL VIOLENCE (ASSAULT)</b> .....	14
<b>ASSESSMENT PROCESS</b> .....	15
<b>DMDC 2014 SAGR</b> .....	16
Prevalence of Unwanted Sexual Contact.....	17
Prevalence of Perceived Sexual Harassment .....	17
<b>ASSESSMENT OF MSA SAPR AND POSH PROGRAMS</b> .....	18
<b>INTRODUCTION: APY 12-13 ASSESSMENT AND FINDINGS</b> .....	18
<b>UNITED STATES MILITARY ACADEMY</b> .....	20
<b>DoD ASSESSMENT OF USMA</b> .....	20
Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13 .....	20
Areas for Improvement Identified in APY 12-13 .....	28
Assessment of Recommendations from Previous Reports .....	31
USMA Prevalence and Reporting Data Highlights .....	32
<b>USMA SELF-ASSESSMENT HIGHLIGHTS</b> .....	38
Line of Effort 1: Prevention.....	38
Line of Effort 2: Investigation.....	38
Line of Effort 3: Accountability.....	39
Line of Effort 4: Advocacy/Victim Assistance .....	39
Line of Effort 5: Assessment .....	40
Self-Assessment Conclusion .....	40
<b>UNITED STATES NAVAL ACADEMY</b> .....	41
<b>DoD ASSESSMENT OF USNA</b> .....	41

Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13 .....	41
Areas for Improvement Identified in APY 12-13 .....	47
Assessment of Recommendations from Previous Reports .....	51
USNA Prevalence and Reporting Data Highlights.....	51
<b>USNA SELF-ASSESSMENT HIGHLIGHTS</b> .....	57
Line of Effort 1: Prevention.....	57
Line of Effort 2: Investigation.....	58
Line of Effort 3: Accountability.....	58
Line of Effort 4: Advocacy/Victim Assistance .....	59
Line of Effort 5: Assessment .....	59
Self-Assessment Conclusion .....	60
<b>UNITED STATES AIR FORCE ACADEMY</b> .....	61
<b>DoD ASSESSMENT OF USAFA</b> .....	61
Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13 .....	61
Areas of Improvement Identified in APY 12-13 .....	67
Assessment of Recommendations from Previous Reports .....	72
USAFA Prevalence and Reporting Data Highlights.....	73
Inspector General Investigations at USAFA.....	79
<b>USAFA SELF-ASSESSMENT HIGHLIGHTS</b> .....	79
Line of Effort 1: Prevention.....	79
Line of Effort 2: Investigation.....	80
Line of Effort 3: Accountability.....	81
Line of Effort 4: Advocacy/Victim Assistance .....	81
Line of Effort 5: Assessment .....	82
Self-Assessment Conclusion .....	82
<b>COMMON ACTIONS AT THE MSAs DURING APY 13-14</b> .....	83
<b>OBSERVANCE OF SEXUAL ASSAULT AWARENESS MONTH</b> .....	83
<b>OBSERVANCE OF SAPR STAND-DOWN</b> .....	85
<b>FUTURE ACTIONS FOR APY 14-15: IT'S ON US!</b> .....	86
<b>CONCLUSION AND WAY FORWARD</b> .....	88
<b>APPENDIX A: STATISTICAL DATA ON SEXUAL HARASSMENT AND ASSAULT</b> .....	90
<b>BACKGROUND: WHAT IT CAPTURES</b> .....	90
Reports of Sexual Assault.....	90



Subject Dispositions.....	91
Whom It Describes.....	93
When It Happened .....	93
How It Is Gathered .....	94
Why It Is Collected .....	95
<b>AGGREGATE STATISTICAL DATA ON SEXUAL HARASSMENT AND ASSAULT .....</b>	<b>95</b>
<b>SEXUAL ASSAULT .....</b>	<b>95</b>
<b>APY 13-14 UNRESTRICTED REPORTS OF SEXUAL ASSAULT .....</b>	<b>102</b>
Disposition of Completed Investigations .....	104
Disposition of Sexual Assault Reports Received in APY 13-14 .....	105
Demographics of Unrestricted Reports .....	105
APY 13-14 Restricted Reports of Sexual Assault.....	106
Demographics of Restricted Reports of Sexual Assault.....	107
APY 13-14 Service Referral Information .....	108
2014 SAGR Results .....	109
<b>SEXUAL HARASSMENT .....</b>	<b>111</b>
<b>SUMMARY OF SEXUAL ASSAULT AND SEXUAL HARASSMENT DATA .....</b>	<b>111</b>
<b>APPENDIX B: ACRONYM DICTIONARY .....</b>	<b>113</b>
<b>APPENDIX C: LAW REQUESTING REPORT .....</b>	<b>116</b>
<b>APPENDIX D: POLICY AND REPORT REFERENCES .....</b>	<b>125</b>
<b>APPENDIX E: DATA MATRICES.....</b>	<b>126</b>
<b>APPENDIX F: OVERVIEW OF SEXUAL HARASSMENT COMPLAINT PROCESS .....</b>	<b>145</b>
<b>APPENDIX G: LINES OF EFFORT.....</b>	<b>147</b>

## LIST OF EXHIBITS

Exhibit 1: Estimated Cadets and Midshipmen Experiencing Unwanted Sexual Contact Based on Academic Program Year Prevalence Rates versus Number of Cadet and Midshipman Victims in Reports of Sexual Assault Made during the Academic Program Year, for Incidents Occurring During Military Service, Academic Program Year 2005-2006 to 2013-2014 .....	12
Exhibit 2: Estimated USMA Cadets Experiencing Unwanted Sexual Contact during APY 13-14 versus Number of USMA Cadet Victims in Reports of Sexual Assault Made during APY 13-14 for Incidents Occurring during Military Service .....	36
Exhibit 3: Estimated USNA Midshipmen Experiencing Unwanted Sexual Contact during APY 13-14 versus Number of USNA Midshipman Victims in Reports of Sexual Assault Made during APY 13-14 for Incidents Occurring during Military Service .....	55

Exhibit 4: Estimated USAFA Cadets Experiencing Unwanted Sexual Contact during APY 13-14 versus Number of USAFA Cadet Victims in Reports of Sexual Assault Made during APY 13-14 for Incidents Occurring during Military Service ..... 77

Exhibit 5: Reports of Sexual Assault and Investigations Completed in APY 13-14 ..... 97

Exhibit 6: Reports of Sexual Assault to the MSAs by Report Type, APY 05-06 to 13-14 ..... 98

Exhibit 7: Reports of Sexual Assault to the MSAs by Report Type and by Number of Reports of Sexual Assault that Occurred Prior to Military Service, APY 05-06 to 13-1499

Exhibit 8: Reports of Sexual Assault by Academy, APY 05-06 to 13-14. .... 100

Exhibit 9: Estimated Cadets and Midshipmen Experiencing Unwanted Sexual Contact Based on APY Prevalence Rates versus Number of Cadet and Midshipman Victims in Reports of Sexual Assault Made during the APY, for Incidents Occurring During Military Service, APY 05-06 to 13-14..... 101

Exhibit 10: Sexual Assault Crimes Investigated in Unrestricted Reports of Sexual Assault, APY 13-14 ..... 103

Exhibit 11: Unrestricted Reports of Sexual Assault by Victim and Subject Status, APY 13-14 ..... 103

Exhibit 12: Reports Initially Made Restricted, the Reports Remaining Restricted, and Restricted Reports Converted to Unrestricted, APY 06-07 to 13-14 ..... 107

Exhibit 13: Categories of Restricted Reports of Sexual Assault, APY 13-14..... 108

### LIST OF TABLES

Table 1: USMA Sexual Harassment Prevalence Rate ..... 33

Table 2: USMA Unwanted Sexual Contact Prevalence Rate ..... 33

Table 3: Total APY 13-14 Reports Of Sexual Assault at USMA ..... 35

Table 4: Top Three Reasons For Not Reporting Sexual Harassment – USMA Cadets Who Experienced Sexual Harassment And Did Not Report It..... 36

Table 5: Top Three Reasons For Reporting Unwanted Sexual Contact – USMA Women Who Experienced USC And Reported It ..... 37

Table 6: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USMA Women Who Experienced USC And Did Not Report It ..... 37

Table 7: Top Four Reasons For Not Reporting Unwanted Sexual Contact – USMA Men Who Experienced USC And Did Not Report It ..... 37

Table 8: USNA Sexual Harassment Prevalence Rate..... 52

Table 9: USNA Unwanted Sexual Contact Prevalence Rate..... 52

Table 10: Total APY 13-14 Reports Of Sexual Assault At USNA..... 54

Table 11: Top Three Reasons For Not Reporting Sexual Harassment – Midshipmen Who Experienced Sexual Harassment And Did Not Report It..... 55

Table 12: Top Three Reasons For Reporting Unwanted Sexual Contact – USNA Women Who Experienced USC And Reported It ..... 56

Table 13: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USNA Women Who Experienced USC And Did Not Report It ..... 56

Table 14: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USNA Men Who Experienced USC And Did Not Report It ..... 56

Table 15: USAFA Sexual Harassment Prevalence Rate..... 73

Table 16: USAFA Unwanted Sexual Contact Prevalence Rate..... 74

Table 17: Total APY 13-14 Reports Of Sexual Assault At USAFA..... 76

Table 18: Top Three Reasons For Not Reporting Sexual Harassment – USAFA Cadets Who Experienced Sexual Harassment And Did Not Report It..... 77

Table 19: Top Three Reasons For Reporting Unwanted Sexual Contact – USAFA Women Who Experienced USC And Reported It ..... 78

Table 20: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USAFA Women Who Experienced USC And Did Not Report It ..... 78

Table 21: Top Four Reasons For Not Reporting Unwanted Sexual Contact – USAFA Men Who Experienced USC And Did Not Report It ..... 78

Table 22 – Total Restricted and Unrestricted Reports of Sexual Assault at MSAs ..... 99

Table 23 – Gender of Victims and Subjects in Completed Investigations of Unrestricted Reports, APY 13-14 ..... 106

Table 24 – Age of Victims and Subjects in Completed Investigations of Unrestricted Reports, APY 13-14 ..... 106

Table 25 – Gender of Victims Initially Making Restricted Reports in APY 13-14..... 107

Table 26 – Age of Victims Initially Making Restricted Reports in APY 13-14 ..... 108

Table 27: Behaviors Associated with USC Experienced by Male Cadets/Midshipmen 109

## LIST OF FIGURES

Figure 1: Midshipmen attending a SHAPE Session in APY 13-14 ..... 57

Figure 2: Cadets and Midshipmen at USMA’s colloquium during SAAM in April 2014.. 83

Figure 3: USAFA cadets and staff members gather around a bonfire in observance of SAAM for the “Take Back the Night” event April 17 ..... 85

Figure 4: Public Law 105-85 Sexual Harassment Complaint Process..... 146

Figure 5: The Lines of Effort That Organize the 2013 DoD-wide Strategic Plan ..... 148

## EXECUTIVE SUMMARY

Section 532 of the John Warner National Defense Authorization Act for Fiscal Year 2007 (Public Law 109-364) requires the Department of Defense to conduct an annual assessment of the Military Service Academies to determine the effectiveness of policies, training, and procedures with respect to sexual harassment and sexual violence involving Academy personnel. Also included are self-assessment reports from each Academy covering academic program year June 1, 2014 through May 31, 2014.<sup>1</sup> This year, the report contains results from the *2014 Service Academy Gender Relations Survey* of cadets and midshipmen conducted by the Defense Manpower Data Center.<sup>2</sup>

The Defense Manpower Data Center conducted the anonymous *2014 Service Academy Gender Relations Survey* during the spring of 2014. According to the survey, 48% of Academy women and 10% of Academy men indicated perceiving some form of sexual harassment in academic program year 2013-2014.<sup>3</sup> Overall, the rates of sexual harassment for Academy women decreased from 51% in 2012. It should be noted, the overall decrease in prevalence for female cadets stems from a large decline in prevalence for Naval Academy women.<sup>4</sup> The perceived sexual harassment prevalence rate for Academy men in 2014 is the same as 2012.

The *2014 Service Academy Gender Relations Survey* also showed that 8.2% of Academy women and 1.1% of Academy men experienced unwanted sexual contact<sup>5</sup> in academic program year 2013-2014.<sup>6</sup> This is a decrease from academic program year 2012-2013 in which 12.4% of Academy women and 2.0% of Academy men experienced unwanted sexual contact. Each Military Service Academy is showing a statistically

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<sup>1</sup> The Academies' complete self-assessments are included as enclosures to this report.

<sup>2</sup> In academic program years beginning in odd-numbered years, the annual assessment consists of the Academies' self-assessments and the biennial *Service Academy Gender Relations Survey* conducted by the Defense Manpower Data Center. In academic program years beginning in even-numbered years, the Department reviews the Academies' self-assessments from the previous year, conducts site visits to each Academy, and analyzes data call submissions consisting of the Academies' policies, trainings, and outreach materials. Also included in even-numbered academic program year reports are the results of the biennial *Service Academy Gender Relations Focus Group Report* covering topics such as sexual assault, sexual harassment, reporting, leadership response, training, and bystander intervention. The *Service Academy Gender Relations Survey* is conducted every 2 years, as directed by Section 532 of Public Law 109-364. Given the high number of surveys administered to cadets and midshipmen each year on a wide variety of topics, Congress agreed to help the Department minimize survey fatigue by alternating surveys with focus groups, every other year. The assessment in the academic program year 2012-2013 report included focus group feedback. The current report's assessment includes a survey to update prevalence rates of USC and sexual harassment.

<sup>3</sup> Margins of error range for men and women from  $\pm 1\%$  to  $\pm 2\%$ .

<sup>4</sup> The sexual harassment prevalence rate for Naval Academy women decreased significantly from 61% in 2012 to 44% in 2014.

<sup>5</sup> Although the term "unwanted sexual contact" does not appear in Articles 120, 125, or 80 of the Uniform Code of Military Justice, for the purposes of the *Service Academy Gender Relations Survey* and this report, it is used to refer to a range of activities that the Uniform Code of Military Justice prohibits. These offenses include completed or attempted oral, anal, or vaginal penetration by a body part or an object, and the unwanted touching of genitalia, buttocks, breasts, or inner thighs when the victim did not or could not consent. Respondents to the survey are asked about their experiences of USC in the 12 months that constitute the academic program year (June 1 to May 31). The definition of unwanted sexual contact used in the *Service Academy Gender Relations Survey* is behaviorally based and not intended to designate specific UCMJ offenses.

<sup>6</sup> Margins of error range from  $\pm 0.2\%$  to  $\pm 0.7\%$ . It should be noted that the timeframe covered by the *Service Academy Gender Relations Survey* question pertains to unwanted sexual contact experienced in the academic program year. While the *Service Academy Gender Relations Survey* victim numbers are only estimates, the Department uses these data to gauge the extent of victimization at each of the Academies.

significant decrease in its unwanted sexual contact rate or is at least trending downwards from the rates in 2012.<sup>7</sup>

During academic program year 2013-2014, the Academies received 20 complaints of sexual harassment, comprised of 1 formal complaint and 19 informal complaints.<sup>8</sup> The United States Military Academy received 1 formal complaint, the Naval Academy received 15 informal complaints, and the Air Force Academy received 4 informal complaints. This represents an overall increase in reporting of sexual harassment complaints from academic program year 2012-2013, during which the Academies received 11 informal complaints.

In academic program year 2013-2014, there were a total of 61 reports of sexual assault, comprised of 36 Unrestricted Reports<sup>9</sup> and 25 Reports remaining Restricted.<sup>10</sup> Initially, the Military Service Academies received 27 Restricted Reports, but 2 converted to Unrestricted Reports at the victims' request. Furthermore, 2 of the 61 reports were for incidents that occurred prior to the victims' military service. The 61 reports represent a decrease of 9 reports from the 70 reports received in academic program year 2012-2013. The increase in sexual assault reporting seen in the active force in Fiscal Years 2013 and 2014 did not occur at the Military Service Academies during academic program year 2013-2014.<sup>11</sup> The recent trend has been a decrease in reporting since the academic program year 2011-2012. Given that sexual assault is one of the most underreported crimes in the United States, the Department encourages all victims to report sexual assault. The Academies need to strengthen their efforts to improve victim reporting and participation in the military justice process.

Sixteen percent, or about 1 in 6 of the estimated 327 cadet/midshipman victims who experienced unwanted sexual contact made a Restricted or Unrestricted Report. In academic program year 2011-2012, 11%, or about 1 in 10 of the estimated cadets and midshipmen who experienced the crime reported it. The estimated 16% reporting rate in academic program year 2013-2014 is the highest ever recorded for the Military Service Academies. In other words, the gap between reporting and prevalence among cadets/midshipmen has decreased to its lowest point in academic program year 2013-2014. When cadets and midshipmen who experienced sexual assault come forward to make a report, the Department can provide victims with support and hold offenders appropriately accountable.

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<sup>7</sup> Each Military Service Academy's unwanted sexual contact rate is discussed in further detail below. A comprehensive discussion of all statistical data on sexual harassment and assault can be found in Appendix A and Appendix E of this report.

<sup>8</sup> Please see Appendix F of this report for the definitions of formal and informal sexual harassment complaints.

<sup>9</sup> An Unrestricted Report of sexual assault is a report that is provided to command and/or law enforcement for investigation.

<sup>10</sup> Restricted Reporting allows victims to confidentially access medical care and advocacy services without triggering an investigation.

<sup>11</sup> There was an increase of 50% in reports received by the active force in Fiscal Year 2013 over what was received in Fiscal Year 2012. Reports of sexual assault in Fiscal Year 2014 increased 8% over what was received in Fiscal Year 2013.

Furthermore, while overall sexual assault reporting decreased, Unrestricted Reports increased from 29 in the previous academic program year to 36 in academic program year 2013-2014. Reports remaining Restricted decreased from 41 in academic program year 2012-2013 to 25 in 2013-2014. The increase in Unrestricted Reports indicates that more victims at the Military Service Academies chose to participate in the military justice process, suggesting greater confidence in the system. Furthermore, among the victims who do report, satisfaction with the response process is generally high. Specifically, according to the *2014 Service Academy Gender Relations Survey*, of the cadets and midshipmen who experienced unwanted sexual contact and made a Restricted or Unrestricted Report, 84% indicated that they would make the same decision again.

## Summary for the Military Service Academies

### United States Military Academy



This year, the United States Military Academy experienced a statistically significant decrease in past year prevalence of unwanted sexual contact among women. The unwanted sexual contact prevalence rate for Academy women decreased from 10.7% in 2012 to 6.5% in 2014. The unwanted sexual contact prevalence rate for men in 2014 is 0.8%, which is statistically unchanged from 2012.<sup>12</sup>

The sexual harassment prevalence rate for Academy women increased from 49% in 2012 to 55% in 2014. The sexual harassment prevalence rate for Academy men also increased from 8% in 2012 to 12% in 2014.<sup>13</sup> Increases in the sexual harassment prevalence rate are statistically significant for Academy men and women.

In academic program year 2013-2014, the Academy received 11 total reports of sexual assault (9 Unrestricted Reports and 2 Restricted Reports), which is an increase of 1 report from the last academic program year. The Academy received one formal complaint and zero informal complaints of sexual harassment.

The Academy's self-assessment indicated that leadership took action to advance dignity and respect among cadets. For example, the Superintendent along with his Board of Directors have made the prevention and elimination of sexual harassment and assault their number one priority and have communicated this through the chain of command. Additionally, the Academy has fostered a sense of cadet ownership in the sexual harassment and assault response and prevention program by soliciting cadet feedback through a command climate survey and a cadet club assessment. The Cadets Against Sexual Harassment/Assault program also hosted a colloquium for their counterparts at other Military Service Academies to discuss and share best practices in programs to enhance student development.

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<sup>12</sup> Margins of error for women and men range from  $\pm 0.2\%$  to  $\pm 0.9\%$ .

<sup>13</sup> Margins of error for women and men range from  $\pm 1\%$  to  $\pm 2\%$ .

Thirteen of the Academy's 18 pending actions were completed in academic program year 2013-2014. Of the remaining five pending actions, there are two directives from the Secretary of Defense that require additional work.

### United States Naval Academy



The United States Naval Academy also experienced a statistically significant drop in the past year prevalence of unwanted sexual contact. The unwanted sexual contact prevalence rate for female midshipmen decreased from 15.1% in 2012 to 8.1% in 2014. The unwanted sexual contact prevalence rate for male midshipmen decreased from 2.6% in 2012 to 1.3% in 2014.<sup>14</sup> The sexual harassment prevalence rate for Naval Academy women decreased significantly from 61% in 2012 to 44% in 2014. The sexual harassment prevalence rate for Naval Academy men in 2014 is 9%, which is statistically unchanged from the rate in 2012.<sup>15</sup>

In academic program year 2013-2014, the Naval Academy received 23 total reports (14 Unrestricted Reports and 9 Restricted Reports) of sexual assault, which represents an increase of 8 reports from the previous academic program year. The Academy received 15 informal complaints of sexual harassment.

USNA's self-assessment indicated that the Academy infused structure and oversight into its sexual assault and harassment prevention and response programs by creating a Sexual Assault Prevention and Response Advisory Panel. This group is comprised of a diverse group of faculty, staff, chaplains, coaches, and midshipmen. The panel developed the Academy's strategic plan, as directed by the Secretary of Defense in 2014, and remains in an advisory role to oversee the execution of the plan.

Fifteen of the Academy's 19 pending actions were completed in academic program year 2013-2014. Of the remaining four pending actions, there is one directive from the Secretary of Defense that requires additional work.

### United States Air Force Academy



The unwanted sexual contact prevalence rate for Air Force Academy women trended downward from 11.2% in 2012 to 9.7% in 2014, but this decrease did not reach statistical significance. The unwanted sexual contact prevalence rate for Academy men also trended downward from 1.7% in 2012 to 1.4% in 2014, but this difference was not statistically significant.<sup>16</sup> The sexual harassment prevalence rate for Air Force Academy women rose from 44% in

<sup>14</sup> Margins of error for women and men range from  $\pm 0.4\%$  to  $\pm 1.3\%$ .

<sup>15</sup> Margins of error for women and men range from  $\pm 1\%$  to  $\pm 2\%$ .

<sup>16</sup> Margins of error for women and men range from  $\pm 0.4\%$  to  $\pm 1.3\%$ .

2012 to 48% in 2014, a statistically significant increase. The rate of sexual harassment prevalence for Air Force Academy men in 2014 (9%) have remained statistically unchanged from the rate in 2012.<sup>17</sup>

In academic program year 2013-2014, the Air Force Academy received 27 total reports (13 Unrestricted Reports and 14 Restricted Reports) of sexual assault, which represents a decrease of 18 reports from the previous academic program year. The Academy received four informal complaints of sexual harassment.

USAFA's self-assessment indicated that the Superintendent took a significant measure in academic program year 2013-2014 to combat sexual harassment, sexual assault, and any form of violence by creating the Directorate for Culture, Climate, and Diversity. The director of this organization is charged with coordinating agencies and programs active in the Academy's culture, climate, and diversity arenas in an effort to streamline reporting, leverage resources, document efforts, and institutionalize outcomes. This directorate also worked to develop the Academy's strategic plan and reports directly to the Superintendent.

Fourteen of the Academy's 25 pending actions were completed in academic program year 2013-2014. Of the remaining 11 pending actions, there are 3 directives from the Secretary of Defense that require additional work.

### Assessment of Progress

As reflected in Exhibit 1, cadet and midshipman reporting for incidents that occurred during military service remained about the same from academic program year 2012-2013 to academic program year 2013-2014. The 53 cadet/midshipman victims who reported a sexual assault in academic program year 2013-2014, for an incident that occurred while they were in military service, is the same number as in academic program year 2012-2013.<sup>18, 19</sup> However, overall reporting of sexual assault at the Academies decreased during the past academic program year.

While sexual assault reporting decreased in academic program year 2013-2014, the unwanted sexual contact prevalence rate for both Academy men and women also decreased to the lowest levels seen since 2005. Estimates suggest that nearly 200

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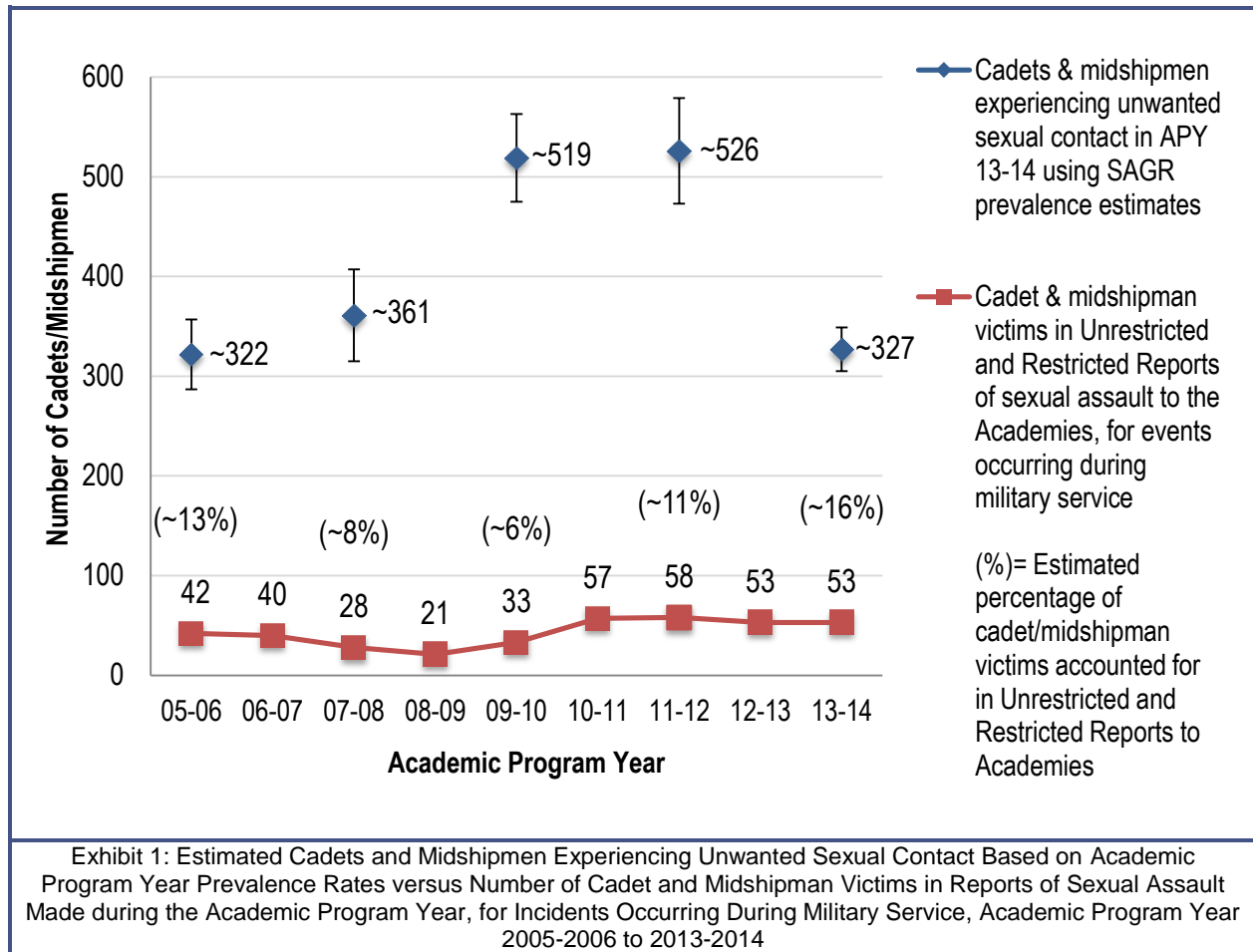
<sup>17</sup> Margins of error for women and men range from  $\pm 1\%$  to  $\pm 2\%$ .

<sup>18</sup> A total of 70 Unrestricted and Restricted reports were actually received in academic program year 2012-2013, but 11 of the reports were for events that occurred to cadets and midshipmen before they entered military service. An additional five reports involved civilian victims who reported being sexually assaulted by a cadet or midshipman, and one cadet was the victim in two separate Unrestricted Reports. Civilian victim reports that involve a cadet or midshipman as the alleged offender are fully investigated, but are not included in this analysis so as to better provide an understanding of the victimization of cadets and midshipmen at the Military Service Academies.

<sup>19</sup> A total of 61 Unrestricted and Restricted reports were actually received in academic program year 2013-2014, but two of the reports were for events that occurred to cadets and midshipmen before they entered military service. An additional four reports involved civilian victims who reported being sexually assaulted by a cadet or midshipman, and two cadets each made two Unrestricted Reports for different incidents. Civilian victim reports that involve a cadet or midshipman as the alleged offender are fully investigated, but are not included in this analysis so as to better provide an understanding of the victimization of cadets and midshipmen at the Military Service Academies.



fewer sexual assaults occurred in academic program year 2013-2014 than in academic program year 2011-2012.



## WAY AHEAD

Preventing sexual harassment and sexual assault at the Military Service Academies, as well as across the total force, remains a priority for the Department. Throughout academic program year 2013-2014, the Military Service Academies worked towards meeting the essential measures outlined in the Secretary of Defense's January 2014 memorandum. However, fully implementing these measures and assessing their effectiveness will take time. The Department expects the Academies to make further progress in implementing the initiatives directed by the Secretary of Defense, complete outstanding action items and recommendations from previous academic program years, and implement and consider new solutions for addressing areas of concern identified through the *2014 Service Academy Gender Relations Survey*.

The Department's dual goals are to use prevention initiatives to reduce the number of incidents of sexual harassment and assault, and at the same time, encourage reporting, so that reports of sexual harassment and assault to the DoD account for a greater proportion of the survey-estimated incidents.

To further support the Department's dual goals and the Academies' efforts to make further progress, the Secretary of Defense is directing the Under Secretary of Defense for Personnel and Readiness to host a senior summit each academic program year for Service Academy leadership and others to facilitate collaboration and exchange of best practices and lessons learned in prevention and response policies. Service Academy leadership will also be incorporated into the Sexual Assault Prevention and Response Executive Integrated Product Team forum. Furthermore, the Secretary of Defense is directing the Secretaries of the Military Departments to develop and conduct specific prevention programming and initiatives for cadets and midshipmen at the conclusion of their first academic program year. This training will address professional relationship expectations and the factors behind higher rates of sexual assault experienced during the Academy third-class year. The Department of Defense Sexual Assault Prevention and Response Office is directed to develop and deploy an anonymous, self-guided education program designed to address and support those cadets, midshipmen, and other military members who may have been victims of sexual assault or abuse prior to military service. To encourage greater reporting of sexual assault, the Secretary is directing the Superintendents of the Military Service Academies, in collaboration with the Under Secretary of Defense for Personnel and Readiness and Military Department Sexual Assault Prevention And Response program offices, to assess their individual Academy climates and develop a plan to promote greater reporting of these crimes by cadets and midshipmen.

Onsite assessments are planned for the spring of 2015 to be conducted by a team from the Department of Defense Sexual Assault Prevention and Response Office and the Office of Diversity Management and Equal Opportunity. During the assessment, the team will follow up on the Military Service Academies' sexual assault prevention and response and prevention of sexual harassment programs to track implementation and assess effectiveness. Additionally, the Defense Manpower Data Center will conduct focus groups to follow up on items identified in the *2014 Service Academy Gender Relations Survey*.

## INTRODUCTION

### REPORT REQUIREMENT

Section 532 of the John Warner National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2007 (Public Law 109-364), requires an assessment of the MSAs during each APY. This assessment is to determine the effectiveness of the policies, training, and procedures of the Academy with respect to sexual harassment and violence involving Academy personnel at the:

- United States Military Academy (USMA);
- United States Naval Academy (USNA); and
- United States Air Force Academy (USAFA).

### DEFINITION OF SEXUAL HARASSMENT AND SEXUAL VIOLENCE (ASSAULT)

In accordance with DoD Directive (DoDD) 1350.2, “*Department of Defense Military Equal Opportunity Program*,” sexual harassment is a form of sex discrimination that involves unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of a person’s job, pay, or career;
- Submission to or rejection of such conduct by a person is used as a basis for career or employment decisions affecting that person; or
- Such conduct has the purpose or effect of unreasonably interfering with an individual’s work performance or creates an intimidating, hostile, or offensive working environment.<sup>20</sup>

The term “sexual violence,” herein referred to as “sexual assault,” is defined by policy<sup>21</sup> as intentional sexual contact characterized by use of force, threats, intimidation, or abuse of authority or when the victim does not or cannot consent. The crime of sexual assault includes a broad category of sexual offenses consisting of the following specific Uniform Code of Military Justice (UCMJ) offenses: rape, sexual assault, aggravated sexual contact, abusive sexual contact, forcible sodomy (forced oral or anal sex), or attempts to commit these offenses. “Consent” means words or overt acts indicating a freely given agreement to the sexual conduct at issue by a competent person. An expression of lack of consent through words or conduct means there is no consent.

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<sup>20</sup> The process DoD uses to respond to sexual harassment complaints is distinct from the response process to sexual assault reports. While neither behavior is acceptable, sexual assault is a crime and may require law enforcement response and victim assistance. The response to sexual harassment, which can also rise to the level of a crime, encourages resolution of inappropriate gender-related behaviors at the lowest level. Those experiencing such behavior may resolve the matter personally or report the matter formally or informally for command involvement and assistance.

<sup>21</sup> DoD Directive 6495.01, *Sexual Assault Prevention and Response Program*, 23 January 2012.

Lack of verbal or physical resistance or submission resulting from the accused's use of force, threat of force, or placing another person in fear does not constitute consent. A current or previous dating relationship or the manner of dress of the person involved with the accused in the sexual conduct at issue shall not constitute consent. There is no consent where the person is sleeping or incapable of lawful consenting, such as due to age, alcohol or drugs, or mental incapacity.

## ASSESSMENT PROCESS

As directed by the FY07 NDAA, the MSA assessment consists of different activities in odd and even APYs:

- In APYs beginning in odd-numbered years (e.g., APY 13-14), the annual assessment consists of the Academies' self-assessment and an anonymous survey of cadets and midshipmen. This survey, the biennial Defense Manpower Data Center (DMDC) *Service Academy Gender Relations Survey (2014 SAGR)*, covers topics such as prevalence of unwanted sexual contact and harassment, reporting and training, and characteristics of the unwanted sexual and gender-related behaviors.
- In APYs beginning in even-numbered years (e.g., APY 12-13), the DoD Sexual Assault Prevention and Response Office (SAPRO) and the Office of Diversity Management and Equal Opportunity (ODMEO) review the Academies' self-assessments from the previous year, conduct site visits to each MSA, and analyze the MSAs' policies, trainings, and outreach materials. Also included in even-numbered APY reports are the results of the biennial DMDC *SAGR Focus Group Report* covering topics such as sexual assault, sexual harassment, reporting, leadership response, training, and bystander intervention.

This report includes the aggregated reports of sexual harassment and assault; updates on the MSAs' implementation of initiatives directed by the Secretary of Defense, outstanding action items, and recommendations from previous APY reports; the Department's highlights of each Academy's self-assessment; and the results from the *2014 SAGR*.<sup>22</sup> This document serves as the Department's *Annual Report on Sexual Harassment and Violence at the Military Service Academies covering APY June 1, 2013 through May 31, 2014*.

DoD SAPRO and ODMEO use this annual assessment as an oversight tool to monitor improvement of the Department's sexual assault prevention and response and prevention of sexual harassment programs at the Military Service Academies. To that end, the assessment of the programs was organized by the lines of effort (LOE) established in the *DoD Sexual Assault Prevention and Response (SAPR) Strategic Plan*

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<sup>22</sup> The consolidated DoD matrices, containing the sexual assault and harassment reports received by the MSAs during APY 13-14 are in Appendix D of this report. The *2014 SAGR Report* is posted at <http://www.sapr.mil/index.php/research>.

approved by the Secretary of Defense in May 2013. The strategy provides a proactive and multi-disciplinary approach to achieve Department-wide unity of effort and purpose on sexual assault prevention and response across five LOEs, as follows:

- Prevention – focused elements at multiple levels to prevent the crime
- Investigation – competent investigations to yield timely and accurate results
- Accountability – offenders held appropriately accountable
- Advocacy/Victim Assistance – first-class victim services and care provided
- Assessment – qualitative and quantitative measures to inform programs/policies

The five LOEs, combined with a comprehensive sexual assault prevention and response system, are aligned across the MSAs in their respective strategies and programs. This provides a coordinated approach to sustain progress and implement requisite organizational change, leveraging the Department's enduring culture of dignity and respect. The Assessment line of effort allows for continuous evaluation and feedback to inform improvements to ongoing programs, as well as identify areas for improvement.

### **DMDC 2014 SAGR**

The *2014 SAGR* is the sixth in a series of surveys mandated by sections 4361, 6980, and 9361 of title 10, United States Code. This year's *SAGR* was a census of all cadets and midshipmen at the three MSAs, meaning that all cadets and midshipmen were invited to take the survey. The *2014 SAGR* includes data on:

- The APY 13-14 year prevalence rates of sexual assault (referred to on the survey as USC), perceived sexual harassment and sexist behavior, and stalking-related behaviors;
- A discussion of students' perceptions of Academy culture with respect to sexual assault and sexual harassment;
- The administration and perceived effectiveness of sexual assault and sexual harassment training; and
- Perceptions of program effectiveness in reducing or preventing sexual assault and sexual harassment.

The Defense Manpower Data Center conducted the *2014 SAGR* during the spring of 2014. The weighted response rate for the MSAs was 66%. For the first time, DMDC conducted a census of all cadets and midshipmen at the three MSAs. DMDC surveyed all cadets and midshipmen in order to obtain maximum reliability of results for survey questions that applied to a small subset of students (e.g., questions asking details of an unwanted gender-related behavior).<sup>23</sup>

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<sup>23</sup> Historically, DMDC has surveyed all female cadets and midshipmen in order to produce reliable results. In addition to surveying all female students, the decision was made in 2014 to conduct a census of male students in order to better understand specific incidents in which male cadets/midshipmen experienced USC and/or sexual harassment.

## Prevalence of Unwanted Sexual Contact

Overall, 8.2% of female cadets/midshipmen experienced USC. The following provides breakdowns of the specific behaviors female cadets/midshipmen experienced:

- 3.3% experienced attempted sexual intercourse, anal or oral sex<sup>24</sup>
- 2.4% experienced unwanted sexual touching only
- 2.3% experienced completed sexual intercourse, anal or oral sex<sup>25</sup>
- 0.2% did not specify the behaviors experienced

Overall, 1.1% of male cadets/midshipmen experienced USC. The following provides breakdowns of the specific behaviors male cadets/midshipmen experienced:

- 0.6% experienced unwanted sexual touching only
- 0.3% experienced completed sexual intercourse, anal or oral sex
- 0.2% experienced attempted sexual intercourse, anal or oral sex
- 0.1% did not specify the behaviors experienced

## Prevalence of Perceived Sexual Harassment

Overall, the *SAGR* indicated that the 2014 prevalence of perceived sexual harassment for female cadets/midshipmen decreased from 51% in 2012 to 48% in 2014. It should be noted that this overall decrease in prevalence for female cadets/midshipmen stems from a large decline in prevalence at USNA (61% in 2012 to 44% in 2014). Among female cadets at USMA and USAFA, the prevalence of perceived sexual harassment increased. At USMA, the prevalence rose from 49% in 2012 to 55% in 2014 and at USAFA the prevalence rose from 44% in 2012 to 48% in 2014.

Overall, the 2014 *SAGR* found that the prevalence of perceived sexual harassment among male cadets and midshipmen was 10%<sup>26</sup>, the same figure reported in the 2012 *SAGR*. There was no statistically significant difference in the prevalence rates among male cadets at USAFA (11% in 2012 and 9% in 2014) and USNA (10% in 2012 and 9% in 2014%). Comparatively, for male cadets at USMA, there was a statistically significant increase in sexual harassment from 8% in 2012 to 12% in 2014.

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<sup>24</sup> Attempted sexual intercourse, anal or oral sex can occur with or without unwanted sexual touching.

<sup>25</sup> Completed sexual intercourse, anal or oral sex can occur with or without attempted sex or attempted sexual touching.

<sup>26</sup> Margin of error range is +/- 1% to +/- 2%.

## ASSESSMENT OF MSA SAPR AND POSH PROGRAMS

### INTRODUCTION: APY 12-13 ASSESSMENT AND FINDINGS

The assessment for the APY 12-13 Report found that all of the MSAs' prevention of sexual harassment (POSH) and SAPR policies, procedures, and training programs complied with the Department's directives and instructions. Compliance, however, is not enough as sexual harassment and assault continue to exist to varying degrees at each of the MSAs.

In order to foster a cadet/midshipman culture that embraces dignity and respect for all and one in which future officers demonstrate the social courage to challenge those who do not, the Secretary of Defense issued a memorandum that was released with the APY 12-13 Report. The memorandum contains five essential measures, which are:

- Enhance Strategic Planning
- Enhance Program Effectiveness
- Advance and Sustain Appropriate Culture
- Enhance Comprehension
- Expand Alcohol Policies

The January 2014 Secretary of Defense memorandum directs the following actions:

*Enhance Strategic Planning:* To ensure unity of effort and purpose, the service Academy Superintendents will ensure implementation of Academy-focused sexual assault and sexual harassment prevention and response strategic plans, aligned with their respective Department or Service SAPR strategic plans.

*Enhance Program Effectiveness:* To improve the overall effectiveness of policies and programs, the Superintendents will involve cadets and midshipmen in command climate assessments and implement appropriate metrics and assessment tools, consistent with Department-wide methodologies, to evaluate and regularly report progress in sexual harassment and assault prevention and response.

*Advance and Sustain Appropriate Culture:* To advance the values and behaviors required of a military officer and to increase victim confidence associated with reporting, the Superintendents will innovate and implement solutions that address concerns of social retaliation among peers; employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other cadet/midshipman organizations; and provide cadet and midshipman influencers with the skills and knowledge to strengthen their ongoing mentorship programs.

*Enhance Comprehension:* To further increase awareness and understanding of the impact of disrespectful and criminal behaviors, the Superintendents will develop sexual harassment and sexual assault learning objectives and incorporate them in related classes within academic curricula.

*Expand Alcohol Policies:* To improve safety of cadets and midshipmen and reduce the risks posed by alcohol, the Superintendents will review and systematically expand institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers, alcohol availability, and community outreach.

#### *Additional Recommendations from the APY 12-13 Report*

The APY 12-13 Report provided two additional recommendations common to the MSAs based on findings from the onsite assessment observations, sexual assault reporting data, focus group feedback, and past *SAGR* findings. These two recommendations were:

- Provide an MSA-modified version of its Service's pre-command training for all faculty, company/squadron officers, and senior enlisted leaders.
- Submit locally produced sexual harassment related training plans to the Defense Equal Opportunity Management Institute (DEOMI) for review.

The MSAs were required to submit updates on their implementation of the Secretary of Defense Initiatives and the additional two recommendations common to all MSAs. Based on the input they provided, the Department determined if each MSA has completed its implementation of the initiatives.

The APY 12-13 Report also provided areas for improvement by LOE and an assessment of each MSA's implementation progress of past recommendations. The MSAs submitted updates on addressing the areas of improvement and any past recommendations that were considered "In Progress." The implementation of the Secretary of Defense initiatives, recommendations common to all MSAs, areas of improvement, incomplete past recommendations, and current *SAGR* findings serve as the basis of the Department's assessment of each MSA's SAPR and POSH programs.



## UNITED STATES MILITARY ACADEMY

### DoD ASSESSMENT OF USMA

In the following section, the Department assesses all of USMA’s pending action items entering into APY 13-14. These actions include the Secretary of Defense initiatives, additional recommendations from last year’s report, and areas for improvement identified in previous reports.

Of USMA’s 18 pending actions, 13 were completed this year.

- Five actions are in progress:
  - Two of the five 2014 Secretary of Defense initiatives remain in progress.
  - Of the two additional recommendations from last year’s report, one remains in progress.
  - Two of 11 areas for improvement from the APY 12-13 and earlier years’ reports remain in progress.

#### Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13

The following section provides the actions that USMA has taken to implement the Secretary of Defense Initiatives. While not all actions are complete, USMA is working towards meeting the requirements and is implementing promising practices to further dignity and respect.

2014 Secretary of Defense Initiatives – USMA Progress at a Glance		
	Action	Status
Enhance Strategic Planning	Complete	●
Enhance Program Effectiveness	Complete	●
Advance and Sustain Appropriate Culture	In Progress	⇒
Enhance Comprehension	Complete	●
Expand Alcohol Policies	In Progress	⇒

● Complete   
 ⇒ In progress   
 ● No Progress

#### *Enhance Strategic Planning*

- **Requirement:** Academies were to implement strategic plans for sexual assault and harassment that aligned with their Service and Department strategic plans.

- **USMA Action:** USMA has aligned and will continue to align its sexual harassment and assault prevention program along the five LOEs established by the Department of the Army.<sup>27</sup>
  - o USMA is in the process of updating the published USMA Strategic Plan for 2013-2019 based on the Superintendent's vision for the Academy.
  - o The USMA Sexual Assault Response Coordinator (SARC) is a member of the subcommittee focused on cadet development with regard to honorable living with focus on a culture of dignity and respect. The integration of the USMA SARC into this subcommittee results in a better integration of the Sexual Harassment/Assault Response and Prevention (SHARP) program<sup>28</sup> into the written strategic plan and allows for transparency when USMA addresses character development in terms of honor, respect, and dignity.
- **Status: Complete.** During the assessment for the APY 12-13 Report, the Department determined that the USMA Strategic Plan 2013-2019 incorporated SAPR and POSH initiatives. USMA should ensure that the SAPR and POSH initiatives remain in the updated USMA Strategic Plan.

### *Enhance Program Effectiveness*

- **Requirement:** Academies were to conduct climate assessments that involved cadets and midshipmen, consistent with Department-wide methodologies.
- **USMA Action:** USMA's Equal Opportunity (EO) Office coordinated with DEOMI to execute a command climate survey for staff, faculty, and cadets. The survey was conducted from November 2013 to January 2014. The Superintendent briefed the results of the survey to staff and faculty in April 2014. USMA will comply with the annual requirement to conduct a command climate survey, which includes cadets.
- **Status: Complete.** USMA should ensure that, going forward, the climate assessment administered to cadets is conducted annually using an Academy-customized version of the DEOMI Equal Opportunity Climate Survey (DEOCS). This action is being funded by DoD SAPRO, but requires USMA personnel's continued participation in development action.

### *Advance and Sustain Appropriate Culture*

- **Requirement:** Academies were to:
  - o Implement solutions that address concerns of social retaliation among peers;

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<sup>27</sup> The five LOEs established by the Department of the Army are the same LOEs in the *DoD SAPR Strategic Plan*

<sup>28</sup> The Department of the Army's SHARP program aims to eliminate sexual offenses, including both sexual harassment and sexual assault, within the Army (For more information, please see: <http://www.sexualassault.army.mil/index.cfm>).

- Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other cadet/midshipman organizations; and
  - Provide cadet and midshipman influencers with the skills and knowledge to strengthen their ongoing mentorship programs.
- **USMA Action:**
- In February 2014, USMA conducted a comprehensive cadet climate survey developed by USMA's Office of Institutional Research (OIR) for all 118 cadet clubs, including sports teams, which enabled USMA to sharpen its focus on changing culture. The overall results were positive. However, it found that cadets might have a problem with bystander intervention, which must be overcome in order to uphold the values of USMA and the Army. Results of the survey were briefed to multiple groups, including cadets, staff and faculty, coaches, mentors, and sponsors. Results from the club assessment also contributed to the future revised character development strategy as well as the update to the USMA Strategic Plan.
  - The Superintendent and senior leaders met with all National Collegiate Athletic Association (NCAA) coaches and Director of Cadet Activities (DCA) coaches (who lead club sport activities) to discuss standards, values, and the integration of the athletic teams in the Corps of Cadets. The Superintendent also met with all NCAA athletic team Officer Representatives (OR) and all DCA Officers in Charge (OIC) to articulate acceptable standards of behavior and review roles and responsibilities of teams or clubs in maintaining a proper and professional culture and command climate. The ORs and OICs instill the Army ethic as representatives of the Superintendent.
  - The Faculty Athletic Representative (FAR) meets with ORs throughout the year to share best practices; for example, the rugby mentors recently shared lessons learned with all the Head ORs.<sup>29</sup> USMA also changed the process for selecting Head ORs, which now includes meeting with the FAR, Dean, Director of Intercollegiate Athletics, and Commandant before being submitted to the Superintendent for approval. Finally, ORs regularly speak to cadets during practice to discuss the adverse impact that negative team cultures can produce. These actions promote open dialogue with the intent to promote a positive culture.
  - For APY 14-15, focus on retaliation and bystander intervention has been key components of Cadets Against Sexual Harassment/Assault (CASH/A)<sup>30</sup> training as well as leadership discussions. An integral

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<sup>29</sup> As noted in the APY 12-13 Report, members of USMA's men's rugby team circulated a number of emails that illustrated a culture of disrespect towards women. This email chain was only discovered when one of the women discussed in the emails inadvertently discovered the material and reported it to USMA officials.

<sup>30</sup> Instituted in APY 12-13, the CASH/A program is a cadet initiative with oversight provided by USCC SARC. The CASH/A Cadets are peer advisors and trainers assisting in their tactical leadership teams by providing timely information on prevention and response to sexual harassment complaints and sexual assault reports. Caring for one another is a basic function of the CASH/A Program—an extension of the Cadet Respect Creed.

program associated with this effort was the “It’s On Us!” campaign, which was presented to the Corps of Cadets and community in September 2014. Additionally, as part of the SHARP summit training in September 2014, the recently released Standing Strong: Confronting Unethical Conduct case study was presented and discussed among the cadets. This video, featuring a former USMA cadet, discussed the criticism the cadet received for reporting a well-liked non-commissioned officers (NCO) for unprofessional conduct, and the importance of supporting those who come forward with an allegation of wrong doing. Also, during senior leader presentations to the Corps of Cadets, staff and faculty, and competitive teams, bystander intervention and social retaliation are addressed in detail. Besides explaining what both are, the message was that neither will be tolerated as it has an adverse impact on the command climate of an organization and violates the principles of dignity and respect. Finally, cadet company representatives include training in preventing retaliation and in encouraging bystanders to intervene to safeguard each other. As part of the cadet program, the cadet chain of command fully supported and encouraged all cadets to participate in the "It's on Us!" campaign and took the lead on it. They encouraged everyone to sign up and take the pledge. The CASH/A sessions at the unit level (without senior leaders in the room) have allowed cadets to get the right information, kill rumors, and support seeking assistance and standing up for one another. There have been three official reports made that were encouraged by a bystander telling the victim that you have to say something.

- **Status: In progress.** The Department considers this action to be in progress because only two of three requirements appeared to be addressed by USMA. USMA must further demonstrate that it is responding appropriately to address concerns about social retaliation<sup>31</sup> and identify its actions taken to address cadets’ “problem” with bystander intervention.

### *Enhance Comprehension*

- **Requirement:** Academies were to develop sexual harassment and sexual assault learning objectives and incorporate them in related classes within academic curricula.
- **USMA Action:** Approximately 2 years ago, the Superintendent formed a special committee to develop a comprehensive SHARP curriculum for the Academy. One of the committee’s primary recommendations was to identify areas in the

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<sup>31</sup> In the January 2014 Secretary of Defense memorandum, the Superintendents were directed to “innovate and implement solutions that address concerns of social retaliation” in the Advance and Sustain Appropriate Culture initiative.

core curriculum where USMA was teaching concepts integral to understanding and preventing sexual harassment and assault.

Eight courses, which are interspersed throughout all four years of a cadet's career, were identified as including relevant material. These courses include:

- Five academic program courses:
  - Introductory Psychology (PL100)
  - Philosophy (PY201)
  - American Politics (SS202)
  - Military Leadership (PL300)
  - Constitutional/Military Law (LW403)
- Two physical program courses:
  - Personal Fitness (PE215)
  - Army Fitness Development (PE450)
- One military program course (Officership [MX400])

Course directors in the participating courses form a team that discusses ways to integrate the SHARP concepts across the curriculum. Course directors annually assess the SHARP lesson objectives to monitor the cadets' comprehension and awareness. The team leader consolidates all of the courses' assessments to make modifications to core content as necessary.

Incorporating SHARP into core courses has increased cadet exposure to SHARP in the curriculum and addresses the topic in a more intentional and formal manner in the classroom. In assessments received from the cadets, a solid majority of the cadets correctly answered the questions related to SHARP. Additionally, course feedback for all the courses indicated a solid majority of the cadets agreed that the courses reinforced the importance for leaders at all levels to create an environment that is free of sexual assault and sexual harassment. Using disciplinary perspectives, cadets are discussing the topic in their courses; instructors are also linking these discussions to cadets' role as leaders.

- **Status:** **Complete.**

#### *Expand Alcohol Policies*

- **Requirement:** Academies were to review and systematically expand institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers, alcohol availability, and community outreach.
- **USMA Action:** During APY 13-14, USMA implemented 21<sup>st</sup> birthday training that all cadets must undergo before they are permitted to consume alcohol on post. In addition, current policy for each class is as follows:
  - Cadet Privates (Freshman/Plebes who are 21 years or older):
    - Not authorized to drink at any location at any time on the West Point campus.
    - Can consume alcohol only while on pass or leave **if** of legal age.

- Cadet Corporals (Sophomores/Yearlings who are 21 years or older and completed 21st birthday training):
  - Only authorized to drink at the Hotel Thayer or West Point Club when physically sitting down and eating a meal, no more than three drinks (beer and wine only). May drink at sponsor's home.
  - May participate in company wine tasting (no hard liquor).
- Cadet Sergeants (Juniors/Cows who are 21 years or older and completed 21st birthday training):
  - Authorized to drink beer and wine at the West Point establishments and sponsor's house and an authorized picnic or post-game tailgate site (must be in uniform at tailgates).
  - May drink hard liquor at company brandy/whiskey tasting.
- Cadet Officers (Seniors/Firsties who are 21 years or older and completed 21st birthday training):
  - Authorized same privileges as Cadet Sergeants but are permitted to drink hard liquor at West Point establishments.

USMA also established cadet company-specific incentives for companies with zero alcohol-related offenses. These incentives typically involved less intensive inspection schedules for companies that demonstrated zero offenses in a given period.

Additionally, the brigade tactical department leadership met with the mayor, restaurant owners, and other town officials to share best practices on the prevention of alcohol abuse among cadets.

Informal agreements and the exchange of contact information have been executed with each of the four bars in Highland Falls (HF), which is the only town in the vicinity of West Point. Leadership continues to maintain good relations with all the establishments downtown. In addition to meetings, the duty driver has distributed emergency contact cards for West Point in case there have been incidents that locals want to report or if a cadet needs assistance. Since Highland Falls is a very small hamlet, it has more direct contact with West Point than other towns outside of military bases. The local residents know who to contact if there are issues to report or if they observe inappropriate activity. The Brigade Tactical Officer (BTO) and the Cadet First Captain (1CPT) have met the mayor to receive feedback and discuss local issues, the mayor knows who and how to contact USMA if he must. In addition, the BTO and 1CPT met with the HF Police Chief, to share ideas on mutual support. All incidents reported by the local jurisdiction have resulted in investigations or disciplinary actions if the situation warrants such action.

- **Status: In Progress.** The actions taken by USMA are helpful but largely focus on individual use of alcohol. Future efforts should include expanded institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers and alcohol availability.

*Additional Recommendations from the APY 12-13 Report*

<b>Additional Recommendations from APY 12-13 – USMA Progress at a Glance</b>		
	Action	Status
Implement MSA-Modified Pre-Command Training	Complete	●
Submit Sexual Harassment Training for Approval	In progress	➔
● Complete   ➔ In progress   ● No Progress		

*MSA-Modified Version of Service’s Pre-Command Training*

- **Requirement:** Academies were to provide an MSA-modified version of its Service’s pre-command training for all faculty, company/squadron officers, and senior enlisted leaders.
  
- **USMA Action:**
  - Incoming Tactical Officers (TAC) earn a master’s degree from Columbia University as part of the Eisenhower Leadership Development Program. The TACs are essentially the company commanders of a unit consisting of 120 cadets from all 4 classes. Their role is to develop, mentor, and counsel a cadet on all aspects of cadet life including character development. The incoming leaders receive SHARP training from the United States Corps of Cadets (USCC) SARC as part of their program of instruction. Their education includes a discussion on internal and external SHARP resources, SHARP organization at West Point, and initiatives unique to the Academy like CASH/A.<sup>32</sup>
  - The TAC officers attend both the Eisenhower Leadership Development Program at Columbia University and a "TAC University" led by the brigade tactical department and hosted at USMA prior to assuming duties as a TAC officers. The Eisenhower program has a very intensive session of the course dedicated to counseling. The TAC University program covers all of the policies and procedures to be a successful TAC at USMA. The classes provided include topics like equal opportunity, SHARP, disciplinary procedures, and reporting procedures. The USCC SARC conducts group sessions with the TACs once a semester. There are special training sessions in the case of large events to keep everyone in the loop and to be as transparent with processes at USMA. Each Regimental TAC team, under lead of its Lieutenant Colonel Regimental Tactical Officer, holds weekly TAC huddles where they are able to provide

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<sup>32</sup> Instituted in APY 12-13, the CASH/A program is a cadet initiative with oversight provided by USCC SARC. The CASH/A Cadets are peer advisors and trainers assisting in their tactical leadership teams by providing timely information on prevention and response to sexual harassment complaints and sexual assault reports. Caring for one another is a basic function of the CASH/A Program—an extension of the Cadet Respect Creed.

mentorship, issue guidance, and provide resources to the TAC teams (as required). To ensure USMA is covering all required material for pre-command courses, the USMA SARC has requested through the USMA G3 to obtain any pre-command related materials from U.S. Army Training and Doctrine Command and the Combined Arms Center that may not have already been included in the training designated for tactical teams as well as staff and faculty.

- At USMA, training is adjusted based on the population of personnel receiving the training. This training is designed for military, civilian, and contractor personnel. SHARP training is incorporated into newcomers' training as well as the Ready and Resilient Program.
  - All current and newly assigned personnel must participate in annual training (including TAC Officers and TAC NCOs). This year's training directive signed by the Superintendent stated that the subordinate units would conduct annual SHARP training in order to promote an environment of dignity and respect for all personnel.
  - According to the training directive, organizations are to conduct refresher training in two parts. Part one consists of face-to-face training using training support materials provided and part two consists of the online training titled "Team Bound." USMA will host multiple sessions of "Got Your Back" training. The "Got Your Back" training is an acceptable substitute for the Team Bound online training.
  - Subordinate units are to conduct annual refresher SHARP training in order to reinforce USMA's goal to eliminate sexual harassment and assault. As part of the discussions, candid dialogue about uncomfortable topics related to sexual harassment and assault occur in order to lessen misunderstandings among employees thus enhancing organizational climates characterized by dignity and respect where all are valued members of the team.
  - All training will be completed no later than September 15, 2014.

- **Status:** **Complete.**

#### *Submission of Sexual Harassment Training Plans to DEOMI*

- **Requirement:** In January 2014, the Academies were directed to comply with DoD policy by submitting their sexual harassment training programs to DEOMI for approval.
- **USMA Action:** USMA is working toward submitting a copy of its sexual harassment training through the USMA EO Office to DEOMI no later than January 15, 2015.
- **Status:** **In progress.** USMA should submit its sexual harassment training during APY 14-15 in order for the Department to consider this action to be complete.



### Areas for Improvement Identified in APY 12-13

During the APY 12-13 assessment, the Department identified areas of improvement, organized by LOE, for USMA. For this report, USMA was instructed to provide an update of the actions taken in APY 13-14 to make these improvements. This section provides the Department’s assessment of USMA’s actions to correct its areas of improvements.

<b>Areas for Improvement Identified in APY 12-13 and Previous Reports – USMA Progress at a Glance</b>		
	Action	Status
Review and Strengthen Leadership Oversight of Cadet Groups, Teams, and Clubs	Complete	●
Develop Mechanism to Quickly Inform USMA of Crime Incidents	In Progress	⇒
Conduct Outreach to Alumni and Others Re: USMA Standards	Complete	●
Ensure Legal Assistance Attorneys Receive Specialized Training	Complete	●
Correct Errors on Corps of Cadets Intranet Website	Complete	●
Implement Army-Approved Practical Exercises for SARC/VA	Complete	●
Identify and Provide Response Training to USMA Representatives	Complete	●
Develop, Implement, and Track Metrics	In Progress	⇒
Conduct Small-Unit Climate Assessments	Complete	●
Develop Outcome-Based Metrics for Prevention and Trends	Complete	●
Request One or More Full-Time SAPR VA(s)	Complete	●
● Complete    ⇒ In progress    ● No Progress		

#### *LOE 1: Prevention Items for Improvement:*

- **Improve:** Review and strengthen leadership oversight of cadet groups, teams, and clubs that allow for mentoring and consultation between leaders and ensure all formal cadet group communications include coach or faculty sponsor on the distribution list.
- **USMA Action:** Leadership oversight was strengthened through the Superintendent’s discussions with coaches, team captains, ORs for NCAA teams, and officers in charge of cadet clubs in March 2014 and August 2014. The Superintendent reiterated his expectations regarding maintaining a command climate grounded in dignity and respect as well as the USMA and Army values to these groups. Coaches and faculty sponsors are on formal distribution lists. The challenge is the informal distribution lists that cadets may create. USMA is addressing this through dialogue and expectation management.

- **Status: Complete.** USMA leadership should monitor the distribution lists created by cadets and clearly articulate behavior expectations and consequences if USMA and the Army's values are not upheld to its teams, cadet clubs, and other groups.
- **Improve:** Develop a mechanism that quickly informs the Corps of Cadets and West Point community of crime incidents, while respecting victims' need for confidentiality.
- **USMA Action:** This feedback is continually received by cadets, staff, and faculty. USMA SARC will coordinate with the staff judge advocate (SJA) and public affairs office (PAO) to discuss the best way ahead for use of social media for information sharing to include lessons learned. This item will be included as part of a "due out" tracking system to back brief the senior leadership monthly.
- **Status: In progress.** The coordination between the USMA SARC and SJA and PAO should be completed in the APY 14-15 to improve information sharing to cadets.
- **Improve:** Conduct outreach to the alumni, cadet parents groups, and athletic communities to ensure that all USMA sanctioned or private activities involving cadets align with USMA standards of conduct.
- **USMA Action:** The Superintendent's message regularly appears in the community newspaper as well as the Association of Graduates (AOG) quarterly magazine, which is sent to USMA alumni. The USMA sponsorship guidebook was recently updated with standards of conduct expectations, including SHARP and alcohol use. The parents' club is contacted through the West Point Facebook page and other blogs. The Founder's Day Circuit provides opportunities for updating graduates and friends of the Academy regarding expectations of professionalism for cadets. The USMA SARC provided a class to the AOG this year, and the OICs and ORs brief cadets on the standards of conduct prior to departure from the Academy and as part of team/club mentoring. This year, USMA will look at a "grey talk" capability similar to YouTube to share information.
- **Status: Complete.** USMA should ensure that these outreach efforts continue and explore new information sharing options.

*LOE 2: Investigation Items for Improvement:*

- No deficient areas requiring improvement identified

*LOE 3: Accountability Items for Improvement:*

- **Improve:** Ensure all legal assistance attorneys receive specialized sexual assault training.

- **USMA Action:** USMA will establish a tracking mechanism to ensure that routine personnel changes are projected/tracked and do not result in a loss of capability. All legal personnel have received appropriate and required training in order to execute their duties in support of the SHARP program.
- **Status: Complete.**

*LOE 4: Advocacy/Victim Assistance Items for Improvement:*

- **Improve:** Remove the chaplains from the Corps of Cadets intranet website that erroneously includes them in a list of personnel who can take Restricted Reports.
- **USMA Action:** USMA removed chaplains from the list of personnel who can take Restricted Reports.
- **Status: Complete.**
- **Improve:** The Department of the Army implements the recommendation from the *DoD Observation of SARC/SAPR VA SAPR Training Report* to enhance existing practical exercises to provide greater opportunities for practice and application of new knowledge and skills.
- **USMA Action:** USMA utilizes Department of the Army approved practical exercises for periodic training with assigned SARCs and VAs.
- **Status: Complete.**
- **Improve:** Identify appropriate level of sexual assault response training and procedures and provide on an annual basis to officer, enlisted, and civilian club and sports team representatives (to include those leading off-campus activities).
- **USMA Action:** USMA performs quarterly Sexual Assault Response Team (SART)<sup>33</sup> training with first responders. First responders participate in Sexual Assault Review Board (SARB) meetings. The garrison SARC has a memorandum of understanding with Orange County for assistance as needed. While USMA has multiple personnel who have taken the 80-hour course, USMA limits the number of people who can act as collateral SARCs and VAs with the responsibility of taking sexual assault reports for processing.

USMA provides annual training and procedures for those leading off-campus activities. All staff and faculty participate in mandatory annual SHARP training. Additionally, all coaches, OICs, and ORs for any athletic or non-competitive team

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<sup>33</sup> SART is comprised of SARCs, SAPR VAs, health care providers, SJA, and CID.

receive additional training from a representative from the Office of the Director of Athletics (ODIA) or DCA depending on the level of competition. Both ODIA and DCA have written policy for those who sponsor/supervise off-post activities for cadets. Furthermore, USMA has a robust foreign academy exchange program. Cadets receive information briefings prior to departure to ensure they have the most updated information on reporting incidents of sexual harassment or assault. Upon return, cadets provide feedback for future exchange programs.

- **Status: Complete.**

#### *LOE 5: Assessment Items for Improvement:*

- **Improve:** Appoint an office of primary responsibility at USMA to develop, implement, and track metrics.
- **USMA Action:** The USMA SARC worked with OIR to develop the club assessment survey and interpret the results and assist with the strategic plan assessment.
- **Status: In progress.** USMA should develop and implement a dashboard of metrics to assess the overall effectiveness of its SAPR and POSH program and cadets' understanding of SAPR and POSH concepts.
- **Improve:** Consider conducting command climate assessment surveys at the small unit level (for cadets and Prep School cadet candidates) and provide results of the survey to the cadet leadership and to the next level up the chain of command.
- **USMA Action:** This was completed this year and will occur annually as directed by Headquarters, Department of the Army.
- **Status: Complete.**

#### **Assessment of Recommendations from Previous Reports**

The Department provided 32 actions items from the APY 08-09 and APY 10-11 Reports. Entering into APY 13-14, two recommendations were still in progress. For this report, the Department assessed the status of these two and found sufficient evidence to close both recommendations.

- **Action:** Develop outcome-based metrics for prevention efforts and trend analysis around changes to the SAPR Program.
- **USMA Action:** This APY, USMA used results from DEOMI's command climate survey, club assessment survey developed by the USMA OIR, rugby team investigations/recommendations, and the OIR-produced assessment for the USMA Strategic Plan. The results, both anecdotal and statistical, provided the

foundation for conclusions and recommended courses of action. USMA intends to coordinate with OIR to see if metrics can be developed for the five LOEs with priority for prevention and advocacy.

USMA uses multiple forms of outcome-based metrics for trend analysis, including sensing session feedback, command climate surveys, an internally developed club assessment survey, and the OIR research-produced assessment of character development, including measuring respect, a quality that is directly related to the prevention of sexual harassment and assault. Surveys used as part of character development assessment included Army War College input on USMA graduates, a survey for recently hired instructors who had worked with USMA graduates, an internal inspector general assessment, and input from end of year course feedback. These assessments helped USMA shape training topics like bystander intervention and retaliation, emphasizing the need to treat all with dignity and respect so that everyone feels like a valued member of the team, and facilitated communication as the assessment became the foundation for leader discussions.

- **Status: Complete.**
- **Action:** USMA should request resources to support the employment of one or more full-time SAPR VA(s) who will exclusively focus on providing advocacy services to the cadet population.
- **USMA Action:** USMA has hired both a SARC and VA for support to the USMA community.
- **Status: Complete.**

### USMA Prevalence and Reporting Data Highlights

The 2014 SAGR asked USMA cadets to provide feedback on a wide variety of topics relating to the Academy's SHARP program. These topics ranged from perceptions of sexual harassment and experiences of USC to opinions of program effectiveness in reducing or preventing sexual harassment and sexual assault. The following section discusses the prevalence rates of sexual harassment and sexual assault at USMA and incident reporting trends.

#### *Prevalence of Sexual Harassment and Unwanted Sexual Contact*

The 2014 SAGR reported that 55% of USMA women and 12% of USMA men perceived some form of sexual harassment during the APY. For USMA women and men, these 2014 prevalence rates are higher than the rates in 2012, 2010, and 2008 (Table 1).

Table 1: USMA Sexual Harassment Prevalence Rate			
Percent of USMA Women <sup>34</sup>		Percent of USMA Men <sup>35</sup>	
2008	49%	2008	9%
2010	51%	2010	9%
2012	49%	2012	8%
2014	55%	2014	12%

Additionally, 6.5% of USMA women and 0.8% of USMA men experienced USC in APY13-14 (Table 2). For USMA women, this prevalence rate is significantly lower than the rates observed in 2012, 2010, and 2008. However, there has been no statistically significant change in the USC prevalence rate for male cadets from the rates reported in 2012, 2010, and 2008. Moreover, USC prevalence rates varied by class year. Among USMA women, sophomores experienced the highest rate of USC (10.6%), whereas, among USMA men, freshmen experienced the highest rate of USC (1.3%).

Table 2: USMA Unwanted Sexual Contact Prevalence Rate			
Percent of USMA Women <sup>36</sup>		Percent of USMA Men <sup>37</sup>	
2008	8.6%	2008	0.6%
2010	9.1%	2010	1.2%
2012	10.7%	2012	1.7%
2014	6.5%	2014	0.8%

The decrease in USMA’s USC prevalence rates for women in 2014 is encouraging. However, the USC prevalence rate for male cadets has not changed in recent years (the differences from year to year are not statistically significant). The increase in the sexual harassment prevalence rates for both women and men indicate that more attention must be given to preventing sexual harassment.

The 2014 SAGR also showed that, of the female cadets who experienced USC in 2014, a little more than half (53%) indicated that their offender sexually harassed, stalked, or assaulted them before the assault. Of the USMA men who experienced USC in 2014, 42% indicated that their offender sexually harassed, stalked, or assaulted them before the assault.<sup>38</sup> Sexual harassment and assault fall within the continuum of harmful behavior, and sexual harassment has the potential to escalate into an assault.<sup>39</sup>

<sup>34</sup> Margins of error range from ±2% to ±3%.

<sup>35</sup> Margins of error range from ±1% to ±2%.

<sup>36</sup> Margins of error range from ±0.8% to ±0.9%.

<sup>37</sup> Margins of error range from ±0.2% to ±0.9%.

<sup>38</sup> Margins of error for men and women range from ±6% to ±13%.

<sup>39</sup> The “continuum of harm,” in the context of sexual violence, refers to inappropriate actions (such as sexist jokes, hazing, cyber bullying) that are used before or after the assault and/or supports an environment which tolerates these actions.

Additionally, women and men who experienced USC prior to entering the Academy or Preparatory School had a higher prevalence rate of USC in APY 13-14 (11.4% for women and 9.3% for men), compared to the overall prevalence rate for their gender. These findings are consistent with other research and *SAGR* results that identified prior sexual victimization as a risk factor for future victimization. Further, these findings indicate that the development of a targeted, voluntary, confidential prevention program for cadets with a personal history of sexual victimization might be helpful.

Of the 6.5% of USMA women who experienced USC, 41% indicated either they and/or the offender had been drinking before the assault. Of the 0.8% of male cadets who experienced USC, 47% indicated either they and/or the offender had been drinking before the assault.<sup>40</sup> During APY 13-14, the Secretary of Defense directed USMA to review and expand its alcohol policies. Since alcohol consumption was likely involved in nearly half of the survey-estimated number of sexual assaults at USMA, implementation of new alcohol policies and outreach strategies must continue.

Training is an essential part of the SAPR program at the MSAs. The *2014 SAGR* asked cadets if they received sexual assault program training in the last year. At USMA, 99% of women<sup>41</sup> and 99% of men<sup>42</sup> indicated receiving sexual assault training in the past year. Overall, half of respondents (both men and women) rated the training as at least moderately to very effective in reducing or preventing sexual assault or harassment. In 2014, 15% of USMA women who had received sexual assault training indicated that the training was *very effective* in reducing/preventing sexual assault, statistically unchanged from 2012. Furthermore, a lower percentage of USMA women (7%) indicated the training was *not at all effective*, compared to 2012.<sup>43</sup> Among male cadets who received training, 19% indicated that the training was *very effective* in reducing/preventing sexual assault, unchanged from 2012. However, a greater percentage of men indicated that their training was *not at all effective* in 2014 (14%), compared to 2012.<sup>44</sup>

A focus of sexual assault prevention training is bystander intervention. In the *2014 SAGR*, cadets were asked if they observed a situation, during APY 13-14, where they believed a sexual assault was about to occur. Four percent of USMA women and 4% of USMA men indicated they had observed a situation at risk for sexual assault during the APY.<sup>45</sup> Of the 4% of women who observed a situation that could have led to a sexual assault, 92% reported that they took some form of action to prevent the sexual assault. Of the 4% of men who observed a situation that could have led to a sexual assault, 91% reported that they took some form of action to prevent the sexual assault.<sup>46</sup>

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<sup>40</sup> Margins of error for men and women range from  $\pm 6\%$  to  $\pm 13\%$ .

<sup>41</sup> Margin of error  $\pm 1\%$ .

<sup>42</sup> Margin of error  $\pm 1\%$ .

<sup>43</sup> Margins of error range from  $\pm 1\%$  to  $\pm 2\%$ .

<sup>44</sup> Margins of error range from  $\pm 1\%$  to  $\pm 3\%$ .

<sup>45</sup> Margin of error  $\pm 1\%$ .

<sup>46</sup> Margins of error range from  $\pm 4\%$  to  $\pm 5\%$ .

### *Sexual Harassment and Assault Reporting Trends*

During APY 13-14, USMA received one formal complaint and no informal complaints of sexual harassment.<sup>47</sup> According to the 2014 SAGR, 55% of female cadets perceived sexual harassment during the APY. However, the majority (82%) of female cadets did not believe the incident was important enough to report. Approximately 12% of USMA men perceived sexual harassment during the APY, with 72% also indicating they did not believe the incident was important enough to report.

The total numbers of sexual assault reports at USMA during APY 13-14 are as follows:

Number of Unrestricted Reports of Sexual Assault	9
Number of Reports of Sexual Assault Remaining Restricted	2
<i>Number of Total Reports of Sexual Assault - Unrestricted and Restricted</i>	11

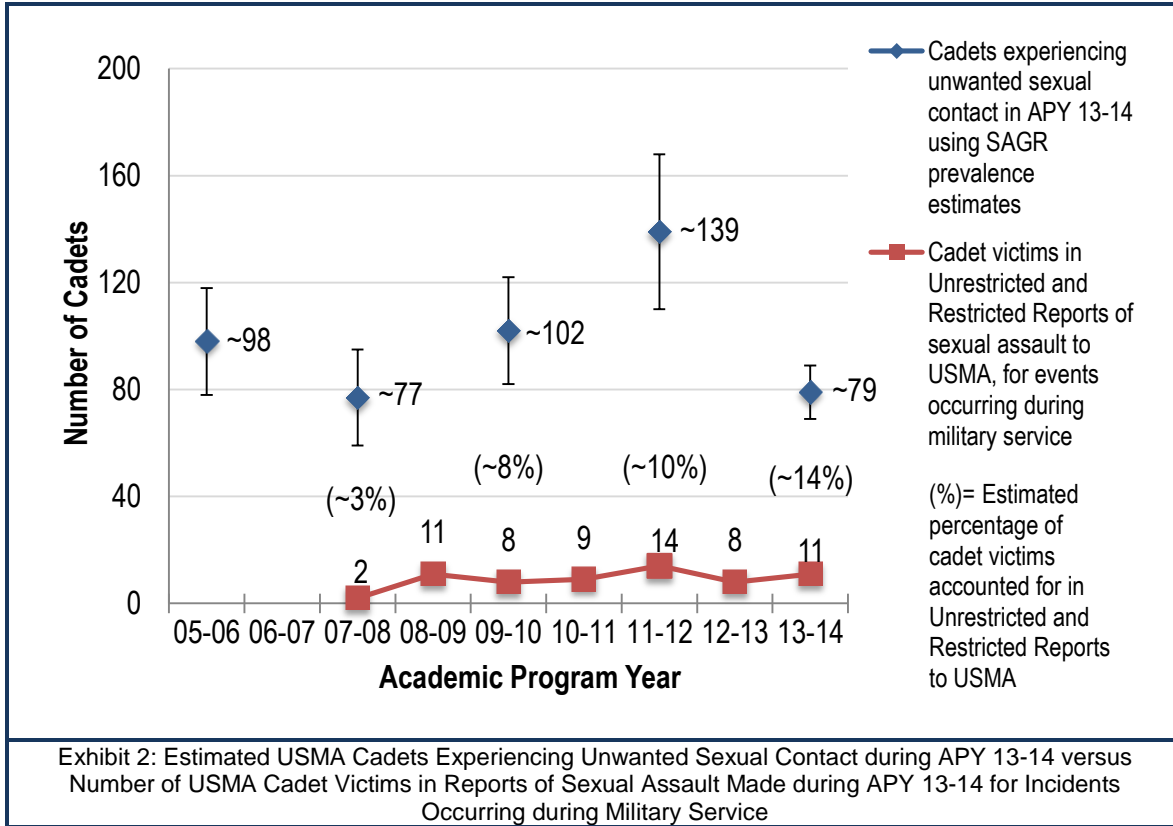
During APY 13-14, USMA received nine Unrestricted Reports. This is an increase from APY 12-13, during which USMA received seven Unrestricted Reports. During APY 13-14, three Restricted Reports were received, one of which converted to an Unrestricted Report at the victim's request. The two remaining Restricted Reports represent a decrease from the three Restricted Reports remaining in APY 12-13. Overall, sexual assault reporting increased by one report from APY 12-13.

Exhibit 2 illustrates the difference between the estimated number of USMA cadets who experienced USC and the number of cadet victims who made reports of sexual assault for incidents that occurred during military service. The "gap" in reporting narrowed this year, given the decrease in prevalence of USC at USMA and the increase in reports of sexual assault from APY 12-13. The Department estimates that in APY 13-14, one report was made for every seven incidents of sexual assault at USMA. Decreases in USC prevalence are achieved through prevention initiatives, while increases in cadet reporting stem from efforts to address victim confidence and improvements in the response system.

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<sup>47</sup> During the previous APY, no formal or informal complaints of sexual harassment were received.





Drawn from the 2014 SAGR, Table 4 provides the top three reasons respondents selected for not reporting sexual harassment. Within their respective gender groupings, women and men at each Academy identified the same top three reasons for not reporting sexual harassment.<sup>48</sup>

Reason	Women	Men
Thought it was not important enough to report	82%	77%
Took care of it themselves by confronting the person who harassed them	50%	36%
Took care of it themselves by forgetting about it and moving on	48%	36%

USMA should emphasize that sexual harassment falls on the continuum of harm, does not have to be tolerated as part of the USMA experience, and runs counter to the values of the Academy and the Army. Therefore, sexual harassment is, in fact, important enough to be addressed when it occurs.

<sup>48</sup> The top three reasons for reporting sexual harassment are not presented in this report because so few cadets reported sexual harassment.

<sup>49</sup> Margin of error  $\pm 2$ .

Also drawn from the 2014 SAGR, Table 5, Table 6, and Table 7 contain the top reasons respondents selected for reporting and for not reporting USC. Due to the small number of male survey respondents who experienced USC and reported the assault, the reasons for reporting a sexual assault are not reportable for male respondents.

Table 5: Top Three Reasons <u>For</u> Reporting Unwanted Sexual Contact – USMA Women Who Experienced USC And Reported It <sup>50</sup>	
It was the right thing to do	80%
Stop the offender from hurting them again	59%
Seek help dealing with an emotional incident	41%

Table 6: Top Three Reasons <u>For Not</u> Reporting Unwanted Sexual Contact – USMA Women Who Experienced USC And Did Not Report It <sup>51</sup>	
Took care of it themselves by avoiding the person who assaulted them	69%
Did not want people gossiping about them	63%
Did not want anyone to know	63%

Table 7: Top Four Reasons <u>For Not</u> Reporting Unwanted Sexual Contact – USMA Men Who Experienced USC And Did Not Report It <sup>52</sup>	
Thought it was not important enough to report	86%
Took care of it themselves by forgetting about it and moving on	56%
Thought reporting would take too much time and effort	51%
Did not want to hurt the offender’s career	51%

The choice to report a sexual assault is highly personal and may never be considered by some victims, especially when the victim does not believe the situation was “important enough” to report. While the Department respects victims’ reporting decisions, cadets may benefit from a greater understanding of the potential physical and psychological consequences of a sexual assault.<sup>53</sup> However, it is clear that cadets need

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<sup>50</sup> Margin of error ±18.

<sup>51</sup> Margin of error ±7.

<sup>52</sup> Margins of error range from ±14 to ±15.

<sup>53</sup> As presented by the Centers for Disease Control, potential consequences of a sexual assault include migraines and other frequent headaches, back pain, anxiety, withdrawal, guilt, and depression. For more information, please see:

additional assurance that their desire for privacy and confidentiality can be respected through the Restricted Reporting option. Making a report of sexual assault can allow them access to victim services to help them deal with the immediate and future consequences of sexual victimization.

## USMA SELF-ASSESSMENT HIGHLIGHTS



The sections below, organized by LOE from the 2013 SAPR Strategic Plan, provide an overview of actions the Academy is taking in support of that LOE. For a comprehensive description of USMA's SHARP program and initiatives, the complete USMA report is provided as an enclosure to this report.

### Line of Effort 1: Prevention

In the 2013 SAPR Strategic Plan, the Prevention LOE's end state is "cultural imperatives of mutual respect and trust, professional values, and team commitment are reinforced to create an environment where sexual assault or sexual harassment is not tolerated, condoned, or ignored." To work towards this end state in APY 13-14, the Superintendent's number one priority was to build a command climate based on dignity and respect that eliminates sexual harassment and sexual assault at West Point. USMA has taken several efforts to instill this priority into the cadets as future leaders. USMA understands that subordinates pay attention to what their leader considers to be a priority. The Superintendent along with his Board of Directors, including the Commandant, the Dean of the Academic Board, the Directorate of Collegiate Athletics, and the Command Sergeants Major, have made the prevention and elimination of sexual harassment and assault their number one priority. Multiple forums, including town hall meetings, directorate meetings, policy letters, training, small group discussion, and daily actions, pass down this message through the chain of command. Their leadership permeates throughout the organization to the lowest levels.

In April 2014, USMA hosted a National Conference on Ethics in America, which focused on Honorable Living. Included in this conference were numerous cadet forums focused on living an honorable life while addressing a variety of ethical issues at West Point, including athletic subcultures, toleration, bystander inaction, and how the SHARP program ties directly into character development and living honorably.

### Line of Effort 2: Investigation

The Investigation end state is "investigative resources yield timely and accurate results." To work towards obtaining this end state, the CID office that supports USMA accommodates the needs of the victim of sexual assault, understanding that each individual will respond to the situation differently. The investigative process is

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<http://www.cdc.gov/violenceprevention/sexualviolence/consequences.html>. Victims of sexual assault are also known to experience higher rates of depression, anxiety, PTSD, and substance abuse compared to non-victimized persons.

thoroughly explained to the victim and the agent allows the victim to take the time needed to process and answer questions. CID coordinates with the supporting SJA beginning with the initiation of the investigation. CID also conducts an internal review process, which concentrates on timely reporting, timely investigative efforts, and thoroughness of the entire investigation. During the investigative process, CID provides investigative updates to the SJA, including statements, and the identification of subjects, suspects, or witnesses. At the conclusion of each investigation, CID provides the entire case file to the SJA and briefs the attorney, before requesting a final legal opinion. During this process, if the SJA identifies additional leads for CID to investigate, CID will investigate. CID and SJA work together to ensure timely case investigation and prosecution as supported by evidence.

### **Line of Effort 3: Accountability**

The Accountability end state is “achieve high competence in holding offenders appropriately accountable.” Coordination throughout the investigative process occurs among CID, SJA, and the command. Senior Leadership is advised by the SJA before any decisions are made. All decisions are coordinated between the appropriate senior leadership and SJA. USMA has two trained Special Victims’ Counsel (SVC) available to all victims of sexual assault. Currently, one SVC is dedicated full time to victim advocacy and participates in monthly SARB meetings and in quarterly SART training. USMA is in compliance with the requirement mandating judge advocates serve as investigating officers for all Article 32 hearings on sexual assault offense charges.

USMA abides by the guidance established in regulations for both informal and formal sexual harassment complaints. Again, coordination among the commander, investigating officer, SHARP personnel, and SJA occurs throughout the process. Senior leadership makes all final decisions with the benefit of advice from the SJA.

### **Line of Effort 4: Advocacy/Victim Assistance**

The Advocacy/Victim Assistance end state is “high quality services and support to instill confidence and trust, and strengthen resilience, and inspire victims to report.” To work toward this end state, the West Point Community has an outstanding working relationship among all key officers associated with advocacy support for victims of sexual violence. The first responders perform quarterly training with each other, attend the monthly SARB meetings, and reach out to each other as necessary to ensure quality advocacy. At USMA, there is continual education on Restricted and Unrestricted Reporting. Senior leader discussions with the staff and faculty, community, and cadets are very transparent. Any questions on the outcome of a case of sexual assault are discussed as appropriate in order to dispel rumors. Many times, the rumors associated with a case hurt future reporting. Open, honest communications enhances confidence in the system.

USMA routinely offers Medical Leave of Absence (MLOA) to any cadet who is recovering from an assault. Coordination among the appropriate offices, like the Dean, tactical department, Center for Personal Development, and SARC occurs confidentially

and swiftly upon request. While on MLOA, cadets can seek counseling at an off-post location. The USCC SARC will periodically check on the cadet to ensure all needs are being met.

Because sexual harassment complaints can be either formal or informal, USMA recognizes that sexual harassment procedures are not well understood and need further attention. A flow chart for sexual harassment reporting will be developed and posted in cadet barracks and other common areas no later than November 30, 2014, which falls into the APY 14-15 reporting cycle.

### **Line of Effort 5: Assessment**

The Assessment end state is “responsive, meaningful, and accurate systems of measurement and evaluation into every aspect of the SAPR program.” During APY 13-14, USMA conducted a cadet club assessment. USMA performed an extensive review of its club activities, which included 118 athletic teams and non-athletic clubs. In order to perform this review, USMA coordinated with OIR to develop surveys for both cadet club participants and OICs to evaluate their dedication to USMA and Army values. The survey was vetted through the Superintendent, Chief of Staff, Equal Opportunity Office, SARC, and the Department of Sociology to ensure the survey focused on the objectives. Objectives included finding out if clubs harbor an atmosphere of non-adherence to Army and USMA values, determining whether club culture promotes or resists adherence to such values and why, obtaining feedback from club members and OICs on how clubs contribute to cadet leader development, and receiving input from survey respondents on how USMA can help improve cadets’ club experience. One-thousand six-hundred seventy (1,670) of 3,104 cadets (54%) and 176 of 313 faculty/OICs (56%) provided feedback. This assessment among other tools helps with updating training requirements for the Prevention LOE. Another assessment tool used by USMA in APY 13-14 was a command climate survey. The USMA EO Office coordinated with DEOMI to execute a command climate survey for staff, faculty, and cadets. The survey was conducted from November 2013 through January 2014. The Superintendent briefed the results of the survey to staff, faculty, and cadets in April 2014. USMA will continue to comply with the annual requirement to conduct a command climate survey, which includes cadets.

### **Self-Assessment Conclusion**

During APY 13-14, USMA has taken significant steps to solicit feedback from cadets, to educate cadets on the importance of eliminating sexual harassment and assault, and to engage in community outreach.

The Department encourages continued senior leadership focus on the elimination of sexual harassment and assault. However, more needs to be accomplished on a timely schedule. USMA needs to develop solutions to address concerns of social retaliation and the problem with bystander intervention identified by the cadet club assessment. The findings and results from completed assessments should continue to be utilized to inform the way forward for the USMA SHARP program.

## UNITED STATES NAVAL ACADEMY

### DoD ASSESSMENT OF USNA

In the following section, the Department assesses all of USNA’s pending action items entering into APY 13-14. These actions include the Secretary of Defense initiatives, additional recommendations from last year’s report, and areas for improvement identified in previous reports.

Of 19 pending actions, 15 were completed this year.

- Four actions are in progress.
  - One of the five 2014 Secretary of Defense initiatives remains in progress.
  - Of the two additional recommendations from last year’s report, both remain in progress.
  - One of 12 areas for improvement from the APY 12-13 and earlier years’ reports remains in progress.

#### Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13

The following section provides the actions that USNA has taken to implement the Secretary of Defense Initiatives. While not all actions are complete, USNA is working towards meeting the requirements and is implementing promising practices to further dignity and respect.

<b>2014 Secretary of Defense Initiatives – USNA Progress at a Glance</b>		
	Action	Status
Enhance Strategic Planning	Complete	●
Enhance Program Effectiveness	Complete	●
Advance and Sustain Appropriate Culture	Complete	●
Enhance Comprehension	Complete	●
Expand Alcohol Policies	In Progress	⇒

● Complete   
 ⇒ In progress   
 ● No Progress

#### *Enhance Strategic Planning*

- **Requirement:** Academies were to implement strategic plans for sexual assault and harassment that aligned with their Service and Department strategic plans.
- **USNA Action:** In November 2013, USNA completed a comprehensive Sexual Assault and Sexual Harassment Prevention and Response Strategic Plan, aligned with DoD SAPRO’s Strategic Plan, employing a multi-disciplinary use of the five DoD SAPR LOEs – prevention, investigation, accountability, advocacy

and victim assistance, and assessment. USNA's Strategic Plan defines priorities, objectives, and ongoing and future initiatives.

- USNA SAPR Advisory Panel, created in August 2013, and comprised of a diverse group of faculty, staff, chaplains, coaches, and midshipmen, developed the strategic plan, and remains in an advisory role, overseeing implementation and execution.
- USNA's SAPR Program Manager is the Superintendent's centralized point for SAPR programming.

- **Status: Complete.**

### *Enhance Program Effectiveness*

- **Requirement:** Academies were to conduct climate assessments that involved cadets and midshipmen, consistent with Department-wide methodologies.
- **USNA Action:**
  - An annual DEOMI command climate survey was given to the midshipmen in May 2014, asking for feedback on the sexual harassment and assault prevention training program. This survey was conducted to provide feedback at the battalion and company-level, giving senior officers and company officers feedback on perceptions and climate within their small units. Company officers are also evaluated on their ability to lead small-unit discussions on conduct, sexual harassment and sexual assault, and leadership.
  - Brigade SAPR Focus Groups were conducted in November 2013 by Department of Navy (DoN) SAPRO and USNA SAPRO to provide a "pulse check" on overall SAPR efforts since January 2013. A total of 940 midshipmen participated in groups of 20. Findings were assessed and lessons learned have been incorporated into the USNA SAPR program, including handing intercessional SAPR training to the company officers/senior enlisted leaders so that midshipmen can hear from these leaders, something they felt was lacking. The training received overwhelmingly positive endorsement from the midshipmen and was a clear demonstration that their feedback is taken into consideration.
- **Status: Complete.** USNA should ensure that, going forward, the climate assessment administered to midshipmen is conducted annually using an Academy-customized version of DEOMI's Equal Opportunity Climate Survey (DEOCS). This action is being funded by DoD SAPRO, but requires USNA personnel's continued participation in development action.

### *Advance and Sustain Appropriate Culture*

- **Requirement:** Academies were to:
  - Implement solutions that address concerns of social retaliation among peers;

- Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other cadet/midshipman organizations; and
- Provide cadet and midshipman influencers with the skills and knowledge to strengthen their ongoing mentorship programs
  
- **USNA Action:**
  - USNA employs purposeful and direct engagement with leaders and supervisors of teams, clubs, and other midshipman organizations to advance a climate of dignity and respect and provide influencers with the skills and knowledge to strengthen ongoing mentorship programs. The Commandant of Midshipmen's redline position, clearly articulated to the Brigade, is that retribution towards any midshipman making a lawful report can lead to appropriate disciplinary sanctions, possibly including separation.
  - The Gettysburg Leadership Retreat began in the summer of 2012 and was expanded during the summer of 2013, bringing together sports team captains, company commanders, and Brigade leaders to discuss attributes and expectations of a leader, with sexual harassment and sexual assault one of several central themes. The Superintendent, Commandant, and Athletic Director participate in reinforcing concepts. This program was expanded in January 2014 to include a session for Brigade leadership assuming their roles for the spring semester 2014. Both programs included the *Midnight Teachable Moment*, wherein recent graduates acted out various scenes at a rented bar or a "house party." Each scene was created to provide a framework for discussion on recognizing destructive behavior and employing various bystander intervention tactics.
  - In APY 13-14, the Commandant of Midshipmen launched his "Be Excellent" campaign to shape the attitudes and focus of the Brigade. The message is to be excellent to yourself, your shipmates, and the institution and emphasizes reinforcing positive midshipmen behaviors and inspiring other to do the right thing. Additionally, leadership has specifically addressed retribution with the Brigade, and emphasized that any acts of reprisal will be appropriately disciplined.
  
- **Status: Complete.** The importance of treating fellow midshipmen with dignity and respect should continue to be a central theme when Academy leadership addresses the Brigade.

### *Enhance Comprehension*

- **Requirement:** Academies were to develop sexual harassment and sexual assault learning objectives and incorporate them in related classes within academic curricula.
  
- **USNA Action:** Important SAPR topics have been incorporated into 10 credit hours of ethics and leadership classes within the Academy's academic curricula:



- 1<sup>st</sup> Class *Capstone Course* includes sexual harassment and sexual assault scenarios, specifically geared towards the junior officer.
  - 2<sup>nd</sup> Class *Advanced Leadership Theory and Application* course incorporated sexual harassment and sexual assault principles, including dignity and mutual respect, bystander intervention, and case studies.
  - 3<sup>rd</sup> Class *Moral Reasoning for the Naval Officer* course imported sexual harassment and sexual assault case studies into existing ethics lessons.
  - 4<sup>th</sup> Class *Intro to Naval Leadership* curriculum has been modified to include socialization, relationships, and naval culture.
  - Three elective courses: *Art and Science of Love and Intimacy*; *Sociology of Marriage and Families*; and *Gender Matters* include gender socialization, violence and inequality, sexual identity and behavior, intimate/sexual relationships, and creating positive healthy relationships.
- **Status: Complete.** USNA should continue providing these learning objectives and show what impact incorporating SAPR topics into core curriculum of these courses had on midshipmen awareness and understanding of the problems of sexual assault and sexual harassment.

### *Expand Alcohol Policies*

- **Requirement:** Academies were to review and systematically expand institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers, alcohol availability, and community outreach.
- **USNA Action:**
  - Weekly midshipmen-led training events focus on the repercussions of alcohol abuse, to focus on education on alcohol consumption and possible outcomes of excessive drinking.
  - The Commandant of Midshipmen sends a letter to both Sponsor families and local restaurant and bar owners detailing the expectations for midshipmen limitations and standards regarding alcohol consumption. Contact numbers, including Shore Patrol and Command Duty Officer, are provided and business owners are encouraged to contact USNA staff for any problems regarding midshipmen.
  - USNA is a member of the Maryland Collaborative to Reduce College Drinking, along with nine other universities. USNA participated in several meetings with the collaborative to discuss strategies and outcomes of policies in place. USNA also supports the Anne Arundel Coalition for Safe Communities, a local organization focused on decreasing the abuse of alcohol and drugs in the surrounding area.
- **Status: In Progress.** The actions taken by USNA are helpful but largely focus on individual use of alcohol. USNA's approach with local establishments to address midshipmen alcohol use and provide them with USNA contact information is well established. However, USNA will need to demonstrate how it

has expanded institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers and alcohol availability.

*Additional Recommendations from the APY 12-13 Report*

<b>Additional Recommendations from APY 12-13 – USNA Progress at a Glance</b>		
	Action	Status
Implement MSA-Modified Pre-Command Training	In Progress	➔
Submit Sexual Harassment Training for Approval	In Progress	➔

● Complete   
 ➔ In progress   
 ● No Progress

*MSA-Modified Version of Service’s Pre-Command Training*

- **Requirement:** Academies were to provide an MSA-modified version of its Service’s pre-command training for all faculty, company/squadron officers, and senior enlisted leaders.
  
- **USNA Action:** A Pre-Command training module was developed by USNA SAPRO, specifically for company officers, battalion officers, and senior enlisted leaders, modeled after the pre-command SAPR training at the Naval Leadership and Ethics Center. The 3-hour training provides an overview of USNA SAPR and Command Management Equal Opportunity (CMEO)<sup>54</sup>, discusses relevant challenges and best practices in the Brigade, and includes a break-out discussion of specific questions aimed to help them think about these issues as they apply to their leadership roles.

USNA’s SAPR office plans to ensure all Company Officers, Senior Enlisted Leaders and Battalion Officers receive a USNA-modified version of Navy’s Pre-Command SAPR training prior to beginning of classes. This SAPR training will better equip these groups with knowledge of pertinent definitions, policies and practices at USNA, thus creating a more supportive environment for midshipmen who may want to make a sexual assault report.

- **Status: In progress.** While the pre-command training has been developed and provided to Company Officers and Senior Enlisted Leaders, the USNA must ensure Faculty also receives this training.

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<sup>54</sup> This office handles USNA’s sexual harassment policies and complaints.

### *Submission of Sexual Harassment Training Plans to DEOMI*

- **Requirement:** In January 2014, the Academies were directed to comply with DoD policy by submitting their sexual harassment training programs to DEOMI for approval.
- **USNA Action:** USNA has not submitted training plans to DEOMI, but uses DEOMI-trained personnel to develop its training plans. The recently hired DEOMI-trained Command Climate Specialist will review sexual harassment training materials by December 1, 2014, which falls within the APY 14-15 reporting cycle. USNA coordinates with DEOMI for the Brigade-wide command climate surveys.
- **Status: In progress.** The Command Climate Specialist should review the sexual harassment training materials by December 1, 2014, which falls within the APY 14-15 reporting cycle.

### Areas for Improvement Identified in APY 12-13

During the APY 12-13 assessment, the Department identified areas of improvement, organized by LOE, for USNA. For this report, USNA was instructed to provide an update of the actions taken in APY 13-14 to make these improvements. This section provides the Department's assessment of USNA's actions to correct its areas of improvements.

<b>Areas for Improvement Identified in APY 12-13 and Previous Reports – USNA Progress at a Glance</b>		
	Action	Status
Define Additional Faculty/Staff Roles; Provide Requisite Training	Complete	●
Include Explanation in SAPR Training of USNA IG Role	Complete	●
Consider Implementing a Locked-Door Policy in Bancroft Hall	Complete	●
Ensure All Future VWAC Receive Training Prior to Assuming Duty	Complete	●
Publicize Victims' Bill of Rights and VWAC Contact Information	Complete	●
Ensure SARC and SAPR VA are Trained on the VWAC Role	Complete	●
Ensure All Sexual Assault Victims Have Access to a VWAC	Complete	●
Identify and Provide Response Training to USNA Representatives	Complete	●
Limit SAPR VA Positions to Those Outside Chain of Command	Complete	●
Ensure Personnel Working Sexual Harassment Receive Training	Complete	●
Develop and Execute Additional Metrics for SAPR Program	In Progress	➔
Conduct Command Climate Assessment at the Small Unit Level	Complete	●
● Complete   ➔ In progress   ● No Progress		

#### *LOE 1: Prevention Items for Improvement:*

- **Improve:** Define additional roles and provide requisite training to faculty and staff who want to participate in SAPR.
- **USNA Action:** Previous years' feedback indicated a desire by faculty and staff to learn more about the SAPR program and get more involved. The following enhancements were made to give faculty and staff the opportunity to learn more about the SAPR program:

- Formation of first USNA SAPR Advisory Panel, made up of a cross section of all USNA departments including faculty, staff and midshipmen. This diversity in perspective and representation has had a direct impact on increased participation and education in the SAPR and CMEO programs.
  - “SAPR Brown Bag Lunch Series” (Oct 13 – Apr 14) were offered twice a month to faculty and staff, providing a more in-depth discussion on topics ranging from victim empathy to bystander intervention.
  - Faculty and Staff Guest Speaker. Having benefitted from the SAPR stand-down, SAPR-Civilian stand-down, and SAPR Instructor training in summer 2013, faculty and staff were also afforded the chance to hear attorney Anne Munch speak to “Sexual Assault - The Unnamed Conspirator,” discussing commonly held beliefs about victims, offenders, and the meaning of consent.
  - Sexual Assault Awareness Month (SAAM) 2014. In addition to midshipmen and SAPRO, the SAAM 2014 Committee was comprised of faculty and staff volunteers.
- **Status: Complete.** USNA should ensure that these initiatives continue.
  - **Improve:** Consider including explanation of USNA IG role in SAPR training so midshipmen are aware of an important reporting channel for sexual harassment, reprisal, or violations of policy.
  - **USNA Action:** Completed and ongoing by the Brigade CMEO during training.
  - **Status: Complete.** USNA provided a copy of the Brigade’s training materials to DoD SAPRO and the Navy IG was listed as a resource.
  - **Improve:** As part of USNA’s overall approach to prevention, consider implementing a mandatory locked-door policy.
  - **USNA Action:** Locked doors are optional under current policy and will remain so. Door stickers were placed on all Bancroft Hall room doors during fall semester 2013 to remind midshipmen what their options are for locking doors.
  - **Status: Complete.** USNA should ensure that awareness of the policy remains in place.

*LOE 2: Investigation Items for Improvement:*

- No deficient areas requiring improvement identified.

*LOE 3: Accountability Items for Improvement:*

- **Improve:** Ensure all future Victim Witness Assistance Coordinators (VWAC) assigned receive training prior to assuming duty that equips them to perform victim-witness assistance responsibilities.
- **USNA Action:** New VWACs were trained prior to arrival at USNA in October 2013 and conduct monthly meetings at a minimum with the USNA SAPR Office.
- **Status: Complete.** USNA should ensure that the VWAC continues to meet monthly with USNA SAPR Office.
- **Improve:** Publicize Victims' Bill of Rights and VWAC contact information in appropriate locations and on required forms (i.e., Naval Criminal Investigative Service [NCIS] Initial Information for Victims and Witnesses of Crime Form).
- **USNA Action:** All information is contained on the USNA intranet and on Company SAPR bulletin boards, provided by the Victims' Legal Counsel, NCIS, and VWAC.
- **Status: Complete.** USNA provided a screenshot of the USNA intranet site to confirm completion.
- **Improve:** Ensure SARC and SAPR VA are trained on the VWAC role in accordance with DoDI 6495.02.
- **USNA Action:** Training conducted in October 2013 and remains ongoing.
- **Status: Complete.**
- **Improve:** Ensure all sexual assault victims have access to a VWAC throughout their case.
- **USNA Action:** Completed as of October 2013 with noticeable improvement in communications and understanding with victims and witnesses involved in Unrestricted Reports.
- **Status: Complete.**

*LOE 4: Advocacy/Victim Assistance Items for Improvement:*

- **Improve:** Identify appropriate level of sexual assault response training and procedures and provide to officer, enlisted, and civilian representatives (to include those leading off-campus activities).
- **USNA Action:** Completed and ongoing since July 2013 for coaches, officers, and enlisted representatives.

- **Status: Complete.** USNA should continue these sexual assault response training efforts and ensure that new coaches, officers, and enlisted representatives receive this training.
- **Improve:** Limit SAPR VA positions to those outside the chain of command, which would exclude Company Officers and Senior Enlisted Leaders; the Department continues to support those in the chain of command receiving victim advocacy training as it increases awareness and sensitivity to sexual assault victim needs.
- **USNA Action:** USNA transitioned to a fully dedicated, civilian response team in August 2013.
- **Status: Complete.** USNA should ensure that the SAPR VAs remain outside the chain of command.
- **Improve:** Ensure all personnel investigating sexual harassment complaints, providing sexual harassment prevention training or working in victims' assistance and support programs, receive the training necessary for them to carry out their Military Equal Opportunity-related duties.
- **USNA Action:** The Brigade CMEO is the first line investigator and has completed DEOMI training. Company officers and other staff officers who are assigned to investigate allegations of sexual harassment receive a briefing by the CMEO, who ensures each has an acceptable level of knowledge of the issue, the guiding regulations, and assistance options. USNA will discuss with the 21<sup>st</sup> Century Sailor Office the validity of having the CMEO trained as a victim advocate (VA). The CMEO would not act as a VA, but would receive training applicable to dealing with complaints. In the past, it was a noted Best Practice for the CMEO to have been a SAPR VA, equipped with unique skills that are required in dealing with issues along the Continuum of Harm and with expert knowledge of resource options.
- **Status: Complete.** USNA should ensure that the Brigade CMEO is not acting as a VA. Equal Opportunity Officers must be impartial advisors to commanding officers regarding sexual harassment or other unlawful discrimination complaint issues based on race, color, religion, national origin, and sex.

*LOE 5: Assessment Items for Improvement:*

- **Improve:** Develop and execute additional metrics for comprehensive program assessment to include prevention.
- **USNA Action:** Assessment is done in part through the Commandant's initiative of positive reinforcement in the Brigade, "Catching someone doing something right." Additionally, SAPR Focus Groups (last conducted in November 2013) organized by DoN SAPRO and USNA SAPRO have provided a means to check

the Brigade's current attitudes, concerns, and beliefs. Final tests were administered to midshipmen at the conclusion of the APY 13-14 Sexual Harassment and Assault Prevention Education (SHAPE) program to assess level of knowledge on material learned to date. Midshipmen Professional Comprehension Review exams, administered in the spring semester of APY 13-14 to each class, included a section on sexual harassment and sexual assault concepts. This section received the highest percentage of correct responses, compared to all other sections.

- **Status: In progress.** In the APY 12-13 Report, DoD SAPRO reported that, in APY 13-14, the USNA SAPR Advisory Panel would develop methods and metrics for measuring program progress and effectiveness. The SAPR Advisory Panel planned to review feedback and data covering the full spectrum of the SAPR program. Among the topics and issues to be assessed were: USNA-defined best practices in all aspects of the SAPR program; progress of previous recommendations; methods and/or metrics for measuring program progress and effectiveness; data collection, analysis, and reporting; and the proper utilization of the Defense Sexual Assault Incident Database (DSAID). In APY 14-15, USNA plans to ask the Advisory Panel to discuss a means to evaluate the SAPR program. This action should be completed in the next APY.
- **Improve:** Consider conducting command climate assessment surveys at the small unit level (for midshipmen and Prep School candidates) and provide results of the survey to the midshipmen leadership and to the next level up the chain of command.
- **USNA Action:** The command climate survey was completed in May 2014; results will be shared with midshipmen leadership upon the return of the Brigade in August 2014, which falls within the APY 14-15 reporting cycle. Naval Academy Preparatory School conducted a command climate survey and results were provided and discussed with the Naval Academy Superintendent.
- **Status: Complete.**

### Assessment of Recommendations from Previous Reports

The Department provided 22 action items from the APY 08-09 and APY 10-11 Reports. However, the Department determined that all were completed during the APY 12-13 assessment. Therefore, there are no recommendations from previous reports to discuss in this report.

### USNA Prevalence and Reporting Data Highlights

The 2014 SAGR asked USNA midshipmen to provide feedback on a wide variety of topics relating to the Academy's CMEO and SAPR program. These topics ranged from perceptions of sexual harassment and experiences of USC to opinions of program effectiveness in reducing or preventing sexual harassment and sexual assault. The



following section discusses the prevalence rate of sexual harassment and assault at USNA and incident reporting trends.

*Prevalence of Sexual Harassment and Unwanted Sexual Contact*

The 2014 SAGR found that 44% of USNA women and 9% of USNA men perceived some form of sexual harassment during the APY. For female midshipmen, this prevalence rate is lower than in 2012, 2010, and 2008. For male midshipmen, the prevalence rate is lower than in 2008 and 2010, but not statistically different from the rate in 2012 (Table 8).

Table 8: USNA Sexual Harassment Prevalence Rate			
Percent of USNA Women <sup>55</sup>		Percent of USNA Men <sup>56</sup>	
2008	56%	2008	14%
2010	63%	2010	17%
2012	61%	2012	10%
2014	44%	2014	9%

Additionally, the 2014 SAGR showed that 8.1% of USNA women and 1.3% of USNA men experienced USC in APY 13-14 (Table 9). For USNA women and men, these prevalence rates are significantly lower than the rates in 2012 and 2010, but not significantly different from the rates in 2008. Moreover, prevalence rates varied by class year. Among USNA women and men, sophomores experienced the highest rate of USC (12.4% for women and 1.7% for men).

Table 9: USNA Unwanted Sexual Contact Prevalence Rate			
Percent of USNA Women <sup>57</sup>		Percent of USNA Men <sup>58</sup>	
2008	8.3%	2008	2.4%
2010	16.5%	2010	3.4%
2012	15.1%	2012	2.6%
2014	8.1%	2014	1.3%

The survey also found that, of the female midshipmen who experienced USC in 2014, 36% indicated that their offender sexually harassed, stalked, or assaulted them before the assault. Of the USNA men who experienced USC in 2014, 35% indicated that their

<sup>55</sup> Margins of error range from ±1% to ±2%.

<sup>56</sup> Margins of error range from ±1% to ±3%.

<sup>57</sup> Margins of error range from ±0.9% to ±1.3%.

<sup>58</sup> Margins of error range from ±0.4% to ±1.1%.

offender sexually harassed, stalked, or assaulted them before the assault.<sup>59</sup> Sexual harassment and assault fall along a continuum of harmful, gender-based behaviors,<sup>60</sup> with prior research demonstrating a strong positive correlation between the experience of sexual harassment and the sexual assault of members within military units.<sup>61</sup>

Additionally, women and men who experienced USC prior to entering the Academy and/or Preparatory School also experienced higher prevalence rates of USC in APY 13-14 (10.1% for women and 9.0% for men), compared to the overall prevalence rate for women (8.1%) and men (1.3%) at USNA. These findings are consistent with other research and SAGR results that identified prior sexual victimization as a risk factor for future victimization. These findings also indicate that the development of a targeted, voluntary, confidential prevention program for cadets with a personal history of sexual victimization might be helpful.

Of the 8.1% of USNA women who experienced USC, 62% indicated either they and/or the offender had been drinking before the assault. Of the 1.3% of male midshipmen who experienced USC, 14% indicated either they and/or the offender had been drinking before the assault.<sup>62</sup> During APY 13-14, the Secretary of Defense directed USNA to review and expand its alcohol policies. Since alcohol consumption was involved in many sexual assaults at USNA, innovation of new alcohol policies and outreach strategies must continue.

Training is an essential part of the SAPR program at the MSAs. The 2014 SAGR asked midshipmen if they received sexual assault program training in the last year. At USNA, 99% of women<sup>63</sup> and over 99% of men<sup>64</sup> indicated receiving sexual assault training in the past year. Overall, approximately half of respondents rated the training as at least moderately to very effective in reducing or preventing sexual assault or harassment. In 2014, 13% of USNA women who received sexual assault training indicated that the training was *very effective* in reducing/preventing sexual assault, whereas 10% indicated the training was *not at all effective*. These percentages are statistically unchanged from 2012.<sup>65</sup> Among USNA men who received training, 19% indicated the training was *very effective* in reducing/preventing sexual assault, an increase from 2012. Furthermore, 15% of USNA men who received training indicated the training was *not at all effective*, which is statistically unchanged from 2012.<sup>66</sup>

A focus of sexual harassment and assault prevention training is bystander intervention. In the 2014 SAGR, midshipmen were asked if they observed a situation, during APY 13-

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<sup>59</sup> Margins of error for men and women range from  $\pm 6\%$  to  $\pm 14\%$ .

<sup>60</sup> The "continuum of harm," in the context of sexual violence, refers to inappropriate actions (such as sexist jokes, hazing, or cyber bullying) that are used before or after the assault and/or supports an environment that tolerates these actions.

<sup>61</sup> Harned, M., Ormerod, A., Palmieri, P., Collinsworth, L.; and Reed, M. (2002). Sexual assault and other types of sexual harassment by workplace personnel: A comparison of antecedents and consequences. *Journal of Occupational Health Psychology*, 7, 174-188.

<sup>62</sup> Margins of error for men and women range from  $\pm 6\%$  to  $\pm 14\%$ .

<sup>63</sup> Margin of error  $\pm 1\%$ .

<sup>64</sup> Margin of error  $\pm 1\%$ .

<sup>65</sup> Margins of error  $\pm 2\%$ .

<sup>66</sup> Margins of error range from  $\pm 1\%$  to  $\pm 2\%$ .

14, where they believed a sexual assault was about to occur. Eight percent of USNA women and 6% of USNA men indicated they observed a situation at risk for sexual assault during the APY.<sup>67</sup> Of the 8% of women who observed a situation that could have led to a sexual assault, 93% reported that they took some form of action to prevent the sexual assault. Of the 6% of men who observed a situation that could have led to a sexual assault, 95% reported that they took some form of action to prevent the sexual assault.<sup>68</sup>

### *Sexual Harassment and Assault Reporting Trends*

During APY 13-14, USNA received no formal complaints and 15 informal complaints of sexual harassment.<sup>69</sup> According to the 2014 SAGR, 44% of female midshipmen perceived sexual harassment during the APY. However, the majority (84%) of them did not believe the incident was important enough to report. Approximately 9% of USNA men perceived sexual harassment during the APY, with 79% also indicating they did not believe the incident was important enough to report.

The total numbers of sexual assault reports at USNA during APY 13-14 are as follows:

**Table 10: Total APY 13-14 Reports Of Sexual Assault At USNA**

Number of Unrestricted Reports of Sexual Assault	14
Number of Reports of Sexual Assault Remaining Restricted	9
<i>Number of Total Reports of Sexual Assault - Unrestricted and Restricted</i>	23

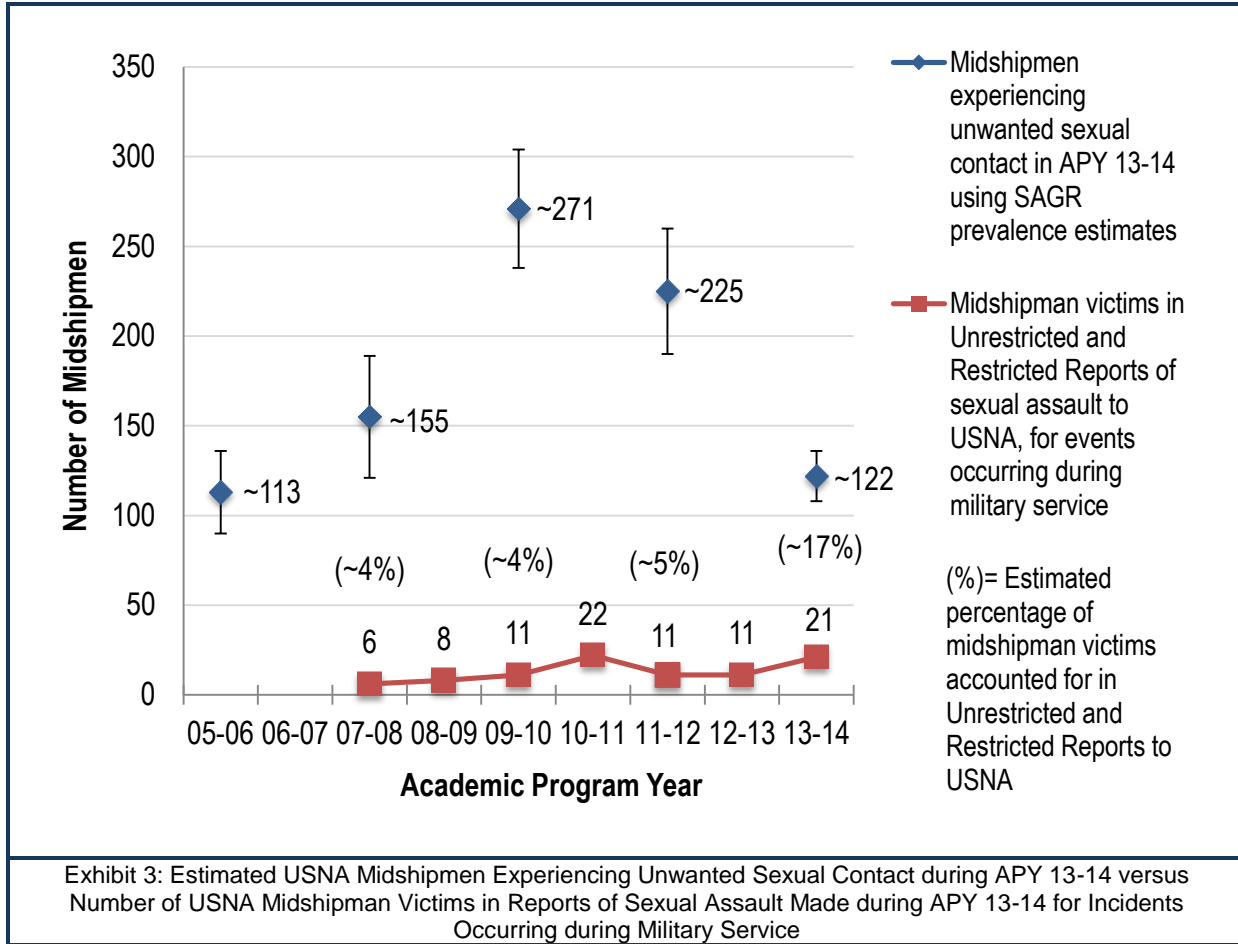
During APY 13-14, USNA received 14 Unrestricted Reports. This is an increase from APY 12-13, during which USNA received four Unrestricted Reports. During APY 13-14, 10 Restricted Reports were received, 1 of which converted to an Unrestricted Report at the victim's request. The 9 remaining Restricted Reports represent a decrease from APY 12-13, during which the number of Restricted Reports remaining was 11 at USNA. Overall, sexual assault reporting increased by eight from APY 12-13.

Exhibit 3 illustrates the difference between the estimated number of USNA midshipmen experienced USC and the number of midshipman victims who made reports of sexual assault for incidents that occurred during military service. The "gap" between prevalence and reporting narrowed this year, given the decrease in prevalence of USC at USNA and the increase of reports of sexual assault from APY 12-13. The Department estimates that in APY 13-14, one report was made for every six incidents of sexual assault at USNA. Decreases in USC prevalence are achieved through prevention initiatives, while increases in cadet reporting stem from efforts to address victim confidence and improvements in the response system.

<sup>67</sup> Margins of error ±1%.

<sup>68</sup> Margins of error ±4%.

<sup>69</sup> During the previous APY, no formal complaints and three informal complaints of sexual harassment were received.



Drawn from the 2014 SAGR, Table 11 provides the top three reasons respondents selected for not reporting sexual harassment. Within their respective gender groupings, women and men at each Academy identified the same top three reasons for not reporting sexual harassment.<sup>70</sup>

Reason	Women	Men
Thought it was not important enough to report	84%	79%
Took care of it themselves myself by confronting the person who harassed them	49%	38%
Took care of it themselves by forgetting about it and moving on	51%	39%

<sup>70</sup> The top three reasons for reporting sexual harassment are not reportable because so few midshipmen reported sexual harassment.

<sup>71</sup> Margins of error range from  $\pm 2$  to  $\pm 3$ .

USNA should emphasize that sexual harassment falls on the continuum of harm, does not have to be tolerated as part of the USNA experience, and runs counter to the values of the Academy and the Navy. Therefore, sexual harassment is, in fact, important enough to be addressed when it occurs.

Also drawn from the 2014 SAGR, Table 12, Table 13, and Table 14 contain the top reasons respondents selected for reporting and for not reporting USC. Due to the small number of male respondents who experienced USC and reported the assault, the reasons for reporting USC are not reportable for men.

Table 12: Top Three Reasons For Reporting Unwanted Sexual Contact – USNA Women Who Experienced USC And Reported It <sup>72</sup>	
It was the right thing to do	66%
Seek closure on the incident	55%
Seek help dealing with an emotional incident	45%

Table 13: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USNA Women Who Experienced USC And Did Not Report It <sup>73</sup>	
Thought it was not important enough to report	70%
Did not want anyone to know	68%
Took care of it themselves by avoiding the person who assaulted them	68%

Table 14: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USNA Men Who Experienced USC And Did Not Report It <sup>74</sup>	
Thought it was not important enough to report	90%
Took care of it themselves by forgetting about it and moving on	64%
Took care of the problem themselves by confronting the person who assaulted them	53%

The choice to report a sexual assault is highly personal and may never be considered by some victims, especially when the victim does not believe the situation was “important enough” to report. While the Department respects victims’ reporting decisions, midshipmen may benefit from a greater understanding of the potential

<sup>72</sup> Margins of error range from ±15 to ±16.

<sup>73</sup> Margins of error range from ±6 to ±7.

<sup>74</sup> Margin of error ±14.

physical and psychological consequences of a sexual assault.<sup>75</sup> However, it is clear that midshipmen need additional assurance that their desire for privacy and confidentiality can be respected through the Restricted Reporting option. Making a report of sexual assault can allow them to gain access to victim services to help them deal with the immediate and future consequences of sexual victimization.

## USNA SELF-ASSESSMENT HIGHLIGHTS



The sections below, organized by LOE from the 2013 SAPR Strategic Plan, provide an overview of actions the Academy is taking in support of that LOE. For a comprehensive description of USNA's CMEO and SAPR program and initiatives, please see the complete USNA report, which is provided as an attachment to this report.

### Line of Effort 1: Prevention

In the 2013 SAPR Strategic Plan, the Prevention LOE's end state is "cultural imperatives of mutual respect and trust,

professional values, and team commitment are reinforced to create an environment where sexual assault or sexual harassment is not tolerated, condoned, or ignored."

USNA is committed to an environment of dignity and mutual respect for all, where victims are supported and feel safe to report crimes, where these ideals are upheld, and where midshipmen, faculty, and staff are empowered to



Figure 1: Midshipmen attending a SHAPE Session in APY 13-14

take actions in cases where its ideals are violated. This is in line with USNA's mission, which serves to reinforce the absolute commitment by all that sexual assault and sexual harassment are not tolerated, condoned, or ignored. In APY 13-14, the Commandant of Midshipmen launched his "Be Excellent" campaign to shape the attitudes and focus of the Brigade. The message is to be excellent to yourself, your shipmates, and the

<sup>75</sup> As presented by the Centers for Disease Control and Prevention, potential consequences of a sexual assault include: migraines and other frequent headaches, back pain, anxiety, withdrawal, guilt, and depression. For more information please see: <http://www.cdc.gov/violenceprevention/sexualviolence/consequences.html>. Victims of sexual assault are also known to experience higher rates of depression, anxiety, PTSD, and substance abuse compared to non-victimized persons.

institution and emphasizes reinforcing positive midshipmen behaviors and inspiring others to do the right thing. Additionally, leadership has specifically emphasized that any acts of reprisal associated with reporting of sexual assault and/or sexual harassment will be appropriately disciplined. Sexual harassment and assault prevention concepts are also discussed in the Leadership and Ethics classrooms.

### **Line of Effort 2: Investigation**

The Investigation end state is “investigative resources yield timely and accurate results.” USNA personnel report all information to NCIS to investigate immediately and thoroughly all unrestricted allegations of sexual assault. NCIS makes sexual assault cases a top priority. USNA legal staff works closely with NCIS and prosecutors to ensure proper investigation. Coordination among NCIS, legal staff, SAPR, and VWAC promotes timely and accurate results. During APY 13-14, the Academy’s Victims’ Legal Counsel (VLC) and the USNA SAPRO have worked to build a relationship and a common understanding on how to best serve midshipmen seeking assistance and support with sexual assault. Referrals freely made from one office to the other are the goal. Lines of communication between the VLC and USNA SAPRO are improved by mutual respect for the services offered and the expertise brought to the respective missions. The addition of the VLC has been received well and indicates an ever-deepening understanding of the challenges that face victims as they contemplate coming forward to report sexual assault and sexual harassment.

The Superintendent chairs the multi-disciplinary Sexual Assault Case Management Group on a monthly basis to review individual cases of Unrestricted Reports, facilitate victim updates, and direct system coordination, accountability, and victim access to quality services. The SARC delivers timely invitations to all mandatory members to facilitate participation. Starting in APY 13-14, these meetings include the victim’s company officer or senior enlisted leader to ensure full transparency at the lowest levels of the chain of command.

### **Line of Effort 3: Accountability**

The Accountability end state is “achieve high competence in holding offenders appropriately accountable.” All sexual assault suspects are thoroughly investigated by NCIS with the full cooperation of USNA. USNA’s staff works with NCIS to facilitate investigations and interviews and works with Trial Counsel to assist in court-martial proceedings. To work towards achieving high competence in holding offenders appropriately accountable, USNA assigns Article 32 Investigating Officers obtained from Regional Legal Service Office, Naval District Washington. All Article 32 Investigating Officers are judge advocates.

For informal complaints of sexual harassment, complainants have several options for informal resolution. Options include, but are not limited to, using the Midshipmen Conduct System, Company-level training, and counseling. Midshipmen always have the option of making a formal report of sexual harassment at any time. The complaint is

considered resolved and the case closed when the complainant is satisfied with the resolution.

#### **Line of Effort 4: Advocacy/Victim Assistance**

The Advocacy/Victim Assistance end state is “high quality services and support to instill confidence and trust, and strengthen resilience, and inspire victims to report.” USNA SAPRO ensures high quality services and support instilling confidence and trust in the program by verifying all SARCs and SAPR VAs have complied with DoD Sexual Assault Advocate Certification Program (D-SAACP) requirements and are trained and understand the confidentiality requirements of Restricted Reporting and Military Rule of Evidence 514. The office strengthens resilience and inspires victims to report by recognizing the range of reactions and responding to the victim accordingly. USNA SAPRO also recognizes the impact of trauma on victims’ abilities to connect to assistance services and to assist in the military justice or administrative process. These practices along with respecting their rights and preserving dignity and respect for all lend to the ability for USNA SAPRO to achieve the Advocacy/Victim Assistance end state. In APY 13-14, the Midshipmen Development Center (MDC) created and now offers a Men’s Support Group for Sexual Violence Survivors. The support group is offered weekly, is confidential, and is meant to be a safe place for midshipmen to support each other without discussing their specific incident and is monitored by the MDC Clinical Social Worker specialized in gender violence.

#### **Line of Effort 5: Assessment**

The Assessment end state is “responsive, meaningful, and accurate systems of measurement and evaluation into every aspect of the SAPR program.” To achieve this end state, USNA formed the SAPR Advisory Panel,<sup>76</sup> conducted Brigade Focus Groups and a DEOMI Brigade-wide Command climate survey, and analyzed case information from Unrestricted Reports. USNA collaborated with DoN SAPRO to conduct the November 2013 Brigade Focus Groups. Nine-hundred forty (940) midshipmen participated in groups of 20, resulting in 48 focus groups total. The focus groups provided a “pulse check” on current attitudes regarding SAPR, climate, training, and impressions of sexual assault issues at USNA. Feedback provided insight to current attitudes, which will help shape training and discussion with company officers and SAPRO. Feedback from the May 2014 DEOMI Brigade-Wide Command Climate survey is being used to identify areas that require further consideration in potential changes to SAPR training. Red flag issues will be discussed and further investigated in upcoming focus groups.<sup>77</sup> Additionally, USNA reviews Unrestricted Reports case information for specific trends that can be used to enhance training in particular areas or to note any positive indications.

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<sup>76</sup> Please see USNA’s update for *Enhance Strategic Planning* to learn more about the SAPR Advisory Panel.

<sup>77</sup> Red flag issues are areas where midshipman survey responses were below fleet average.



### Self-Assessment Conclusion

During APY 13-14, USNA made significant efforts to emphasize the importance of its CMEO and SAPR programs. The importance of these programs was communicated to the Brigade through the Commandant's "Be Excellent" Campaign and was institutionalized by the SAPR Advisory Panel. The Department supports USNA's efforts to solicit feedback from the midshipmen to inform the SAPR program and provide midshipmen a sense of ownership over the program. The SAPR Advisory Panel should continue to examine the information that it has gathered and use this data to assess USNA-defined best practices in all aspects of the SAPR program; progress of previous recommendations; methods and/or metrics for measuring program progress and effectiveness; data collection, analysis, and reporting; and the proper utilization of DSAID.

## UNITED STATES AIR FORCE ACADEMY

### DoD ASSESSMENT OF USAFA

In the following section, the Department assesses all of USAFA’s pending action items entering into APY 13-14. These actions include the Secretary of Defense initiatives, additional recommendations from last year’s report, and areas for improvement identified in previous reports.

Of 25 pending actions, 14 were completed this year

- Eleven actions are in progress:
  - Three of the five 2014 Secretary of Defense initiatives remain in progress.
  - Eight of 18 areas for improvement from the APY 12-13 report and earlier years’ remain in progress.

#### Implementation Progress: Secretary of Defense Initiatives and Recommendations Common for All MSAs from APY 12-13

The following section provides the actions that USAFA has taken to implement the Secretary of Defense Initiatives. While not all actions are complete, USAFA is working towards meeting the requirements and is implementing promising practices to further dignity and respect.

<b>2014 Secretary of Defense Initiatives – USAFA Progress at a Glance</b>		
	Action	Status
Enhance Strategic Planning	In Progress	⇒
Enhance Program Effectiveness	Complete	●
Advance and Sustain Appropriate Culture	In Progress	⇒
Enhance Comprehension	Complete	●
Expand Alcohol Policies	In Progress	⇒

● Complete   
 ⇒ In progress   
 ● No Progress

#### *Enhance Strategic Planning*

- **Requirement:** Academies were to implement strategic plans for sexual assault and harassment that aligned with their Service and Department strategic plans.

- **USAFA Action:**
  - o The USAFA Directorate for Culture, Climate, and Diversity (CCD)<sup>78</sup> has produced a USAFA SAPR Strategic Plan currently under review and coordination. To date, the first Air Force SAPR Strategic Plan is under development along with an updated SAPR instruction (Air Force Instruction 90-6001) and it will incorporate the changes in DoDI 6495.02.
  - o The SAPR strategic plan represents the Commander's vision to eradicate sexual assault at the USAFA. Additionally, the plan reflects DoD strategic LOEs, policies, and guidance as they translate to USAFA's specific circumstances.
  - o The USAFA SAPR Strategic Plan framework is revisited and updated as circumstances, needs, and resources change. This dynamic approach to strategic planning is written into the document in the form of initiatives. USAFA's SAPR initiatives will be annexed to the plan to provide flexibility as they are updated or reach operational success and thus completion. In this manner, the initiatives annex can be changed or revised even while the plan itself remains intact; this aspect of the plan recognizes the dynamic human environment in which SAPR programs exist.
  
- **Status: In progress.** The Department considers this action to be in progress because the USAFA SAPR Strategic Plan is under review and has not been implemented.

### *Enhance Program Effectiveness*

- **Requirement:** Academies were to conduct climate assessments that involved cadets and midshipmen, consistent with Department-wide methodologies.
  
- **USAFA Action:** USAFA cadets undergo multiple surveys and assessments, such as the DMDC Gender Relations focus groups and survey.
  - o The 10th Air Base Wing (ABW)<sup>79</sup> EO and USAFA SAPR offices conducted cadet unit climate assessments (UCA) with approximately half of the cadet squadrons in APY 13-14.
  - o Use of electronic voting "clickers" will be implemented in training to facilitate participation, interaction, and program evaluation.
  - o Several cadet capstone projects analyzed DMDC SAGR data, SAPR stand-down day data, and other data involving gender relations.
  - o In APY 13-14, USAFA initiated a Dedicated Survey and Assessment Time when multiple surveys and assessments are administered during a specific period.

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<sup>78</sup> The CCD was created in APY 13-14 by merging several divisions: the SAPR office; the Culture, Climate and Diversity Analyst Division; and the Diversity Office. The CCD Director is a direct report to the Superintendent and is the chief diversity officer, charged with coordinating agencies and programs active in USAFA's culture, climate, and diversity arenas in an effort to streamline reporting, leverage resources, document efforts, and institutionalize outcomes.

<sup>79</sup> The 10th Air Base Wing is the host wing for USAFA.

- The 10th ABW/EO office administers the DEOCS and complies with the December 17, 2013 transition memo from HQ USAF. It states, “Air Force Academy Cadets and Prep School candidates will be excluded from participating in the DEOCS.”
- **Status: Complete.** USAFA should ensure that, going forward, a climate assessment administered to cadets is conducted annually using an Academy-customized version of the DEOCS. This action is being funded by DoD SAPRO, but requires USAFA personnel’s continued participation in development action. This directive from the Secretary of Defense overrides any Service guidance with regard to the DEOCS.

### *Advance and Sustain Appropriate Culture*

- **Requirement:** Academies were to:
  - Implement solutions that address concerns of social retaliation among peers;
  - Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other cadet/midshipman organizations; and
  - Provide cadet and midshipman influencers with the skills and knowledge to strengthen their ongoing mentorship programs
- **USAFA Action:**
  - In APY 13-14, one of the primary means to address social retaliation was the AF SAPR stand-down day, the focus of which was victim empathy. During the AF SAPR stand-down day:
    - Then-Superintendent Lieutenant General Mike Gould met with all cadets, preparatory school students, and permanent party in Clune Arena to address this topic. The SAPR office provided him de-identified examples of actual male and female victim experiences that he used to discuss how victims struggle with the decision to come forward, their challenges after the assault, how they can be assisted, and how cadets can avoid engaging in victim blaming.
    - Mr. Mike Domirtz presented a tailored program addressing victim blaming, victim support, and related topics.<sup>80</sup>

Other venues where victim support was discussed with the Cadet Wing include Cadet Bystander Intervention Training (CBIT) and Basic Cadet Training initial SAPR training. Venues where victim support was discussed with staff and faculty include first responder training (Air Force Office of Special Investigation [AFOSI], Judge Advocate [JA], Security Forces Squadron [SFS]), Air Officers Commanding (AOC) Masters

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<sup>80</sup> Mike Domirtz is the creator and founder of the Date Safe Project and the “May I Kiss You?” training program. He is an educator and has authored several books on sexual assault and healthy relationships.

Course, Academy Military Trainers (AMT) Schoolhouse, and a variety of others.

- USAFA's SARC, the Athletic Director Point of Contact for Culture and Climate, and the Athletic Director met and developed a strategy to promote a culture of respect among cadets. Dr. Jackson Katz was consulted, and a tailored Mentors in Violence Prevention (MVP) program was designed for the men's football team in April 2014.<sup>81</sup> This program took place over a 3-day period. The head football coach put together a player-leadership team. This group met with and received training from MVP for 4 hours. The MVPs then met with the remainder of the football team and provided specialized training. The coaches, staff, and trainers also underwent specialized training. Follow-on training will be conducted early in the fall 2014 semester.
- **Status: In Progress.** USAFA should ensure that the follow-on training for the MVP program is completed in APY 14-15, as well as provide the MVP training or other appropriate training to the leadership and members other teams, clubs, and cadet organizations.

### *Enhance Comprehension*

- **Requirement:** Academies were to develop sexual harassment and sexual assault learning objectives and incorporate them in related classes within academic curricula.
- **USAFA Action:**
  - USAFA SAPR is working with Col Packard, Dean of Faculty's Department of Behavioral Sciences and Leadership (DFBL), and Dr. Chris Kilmartin to incorporate sexual harassment and sexual assault learning objectives into related classes. USAFA SAPR has been under contract with "Green Dot Etc." since 2011 to develop CBIT. Culture, climate, and leadership objectives were integrated throughout the core curriculum within the USAFA Outcomes. Outcomes include Ethical Reasoning and Action, Respect for Human Dignity (RFHD), and Intercultural Competence and Involvement.
  - Behavioral Sciences core and majors courses addressed mutual respect and trust, and USAFA continued to examine how academic courses can incorporate the USAFA's RFDH lesson objective. As a prototype, USAFA included a nationally recognized distinguished professor to teach gender related issues. As part of the Gender Relations Integrated Platform (GRIP)<sup>82</sup>, feedback and assessment of academic courses will be

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<sup>81</sup> Dr. Jackson Katz founded the MVP program as a leadership training program focused on preventing all forms of men's violence against women.

<sup>82</sup> USAFA developed a first-of-its-kind draft set of metrics that assesses the gender relations culture, called the Gender Relations Integrated Platform (GRIP). The GRIP aims to achieve a better understanding of the gender relations culture at USAFA, monitor

monitored. CBIT curriculum was included in the Behavioral Science 310 course.

- **Status: Complete.** USAFA should continue to look for opportunities to further deploy sexual harassment and sexual assault learning objectives in its core academic curricula.

### *Expand Alcohol Policies*

- **Requirement:** Academies were to review and systematically expand institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers, alcohol availability, and community outreach.
- **USAFA Action:**
  - o The Cadet Wing Alcohol Working Group adapted USMA and USNA's monthly "responsible drinking" birthday celebration for those turning 21 during the academic program year.
  - o USAFA implemented policy requiring cadets to request the use of alcohol at official functions and include a mitigation plan.
  - o USAFA hosted the Area-3 BACCHUS Conference. BACCHUS is a university and community based network focused on comprehensive health and safety initiatives. It actively promotes student and young adults' leadership on healthy and safe lifestyle decisions concerning alcohol abuse, tobacco use, illegal drug use, unhealthy sexual practices, and other high-risk behaviors.
- **Status: In Progress.** The actions taken by USAFA are helpful but largely focus on individual use of alcohol. USAFA did not demonstrate how it expanded institutional alcohol policies to address risk factors *beyond the individual use of alcohol*, to include such matters as training of alcohol providers, alcohol availability, and outreach to the Colorado Springs community in the immediate vicinity of the USAFA campus.

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curricula, activities, and events across USAFA that influence gender relations, and measure their impact. The GRIP focuses on continuous improvement—information will be collected, synthesized, and used to improve and promote a positive gender relations culture.

*Additional Recommendations from the APY 12-13 Report*

<b>Additional Recommendations from APY 12-13 – USAFA Progress at a Glance</b>		
	Action	Status
Implement MSA-Modified Pre-Command Training	Complete	●
Submit Sexual Harassment Training for Approval	Complete	●

● Complete   
 ⇒ In progress   
 ● No Progress

*MSA-Modified Version of Service’s Pre-Command Training*

- **Requirement:** Academies were to provide an MSA-modified version of its Service’s pre-command training for all faculty, company/squadron officers, and senior enlisted leaders.
  
- **USAFA Action:**
  - During last year’s AF-Wide SAPR Stand-down, the USAFA SAPR office conducted “Pre-Command” training for all faculty, commanders and athletic department staff. As a part of the April/May preparation for the AF-Wide Stand-down, held in June 2013, USAFA SAPR included additional training for AOCs and AMTs. This supplemental training taught them how to lead discussions with cadets regarding what constitutes healthy relationships, healthy boundaries, dating, intimacy and healthy sexuality.
  - Sexual assault training is a critical component of USAFA’s AOC Master’s Course and the AMT Schoolhouse; both are pre-command courses. The SAPR staff facilitates two training sessions during the AOC Master’s Course and has a two hour training block at the AMT Schoolhouse.
  
- **Status: Complete.** Going forward, USAFA should ensure that all currently assigned faculty and AOCs continue to attend Enhanced Pre-Command SAPR Training prior to beginning of classes and all future faculty and AOCs receive the same within 30 days of reporting for duty.

*Submission of Sexual Harassment Training Plans to DEOMI*

- **Requirement:** In January 2014, the Academies were directed to comply with DoD policy by submitting their sexual harassment training programs to DEOMI for approval.
  
- **USAFA Action:**
  - USAFA uses the Air Force approved Sexual Harassment and Education lesson plan.
  - There are two EO practitioners assigned to USAFA Cadet Wing staff. They are DEOMI trained and any locally developed training plans for cadets would be originated and coordinated from their office.

- **Status: Complete.**

**Areas of Improvement Identified in APY 12-13**

During the APY 12-13 assessment, the Department identified areas of improvement, organized by LOE, for USAFA. For this report, USAFA was instructed to provide an update of the actions taken in APY 13-14 to make these improvements. This section provides the Department’s assessment of USAFA’s actions to correct its areas of improvements.

<b>Areas for Improvement Identified in APY 12-13 and Previous Reports – USAFA Progress at a Glance</b>		
	Action	Status
Establish Permanent Working Group Similar to CAIB/IDS	Complete	●
Incorporate Male Victimology in SAPR Training	Complete	●
Reinforce the Locked-Door Policy in the Dormitories	Complete	●
Encourage Investigator Attendance at Training Opportunities	Complete	●
Ensure Adequate Manpower for Sexual Assault Investigation	In Progress	⇒
Formalize EO Involvement in USAFA Working Groups	Complete	●
Establish SARC and VA Positions at 10th ABW	In Progress	⇒
Train and assign volunteer SAPR VAs at 10th ABW in interim	Complete	●
Fully Staff USAFA SAPR Office	In Progress	⇒
Ensure 24 Hour Victim Services/Publicize Safe Helpline	Complete	●
Appoint a Dedicated SAPR Training Resource	In Progress	⇒
Ensure Personnel Working Sexual Harassment Receive Training	Complete	●
Identify and Provide Response Training to USAFA Representatives	In Progress	⇒
Continue developing GRIP and align with strategic plan	In Progress	⇒
Conduct Command Climate Assessments at Small Unit-Level	Complete	●
Develop Outcome-Based Metrics to Address Prevention	In Progress	⇒
Address Collateral Misconduct Misperceptions in Training	Complete	●
Establish a Second SARC Position to Support Other Units	In Progress	⇒
● Complete    ⇒ In progress    ● No Progress		

*LOE 1: Prevention Items for Improvement:*

- **Improve:** Establishment of a permanent working group, similar in mission and composition to the Air Force Community Action and Information Board/Integrated Delivery Systems (CAIB/IDS), under the direction of the Superintendent or Commandant, and supported by members of the Department of Behavioral



Sciences and Leadership who will provide oversight and develop a synchronized strategy that addresses prevention.

- **USAFA Action:** There are now three working groups in place to accomplish this recommended improvement.
  - o The Center for Character and Leadership Development Integration Working Group
  - o The DFBL RFHD Workgroup and
  - o An integrated 10th ABW and Cadet Wing CAIB.<sup>83</sup>

Through these three permanent working groups, coordinated prevention and teaching messages will be addressed and implemented throughout all of USAFA.

- **Status: Complete.**
- **Improve:** Incorporate male victimology in SAPR training.
- **USAFA Action:** The AF SAPR stand-down day, held on June 24, 2013, intentionally used male victim scenarios/stories in trainings to illustrate that males are also victimized. Examples of male victimology are incorporated into the CBIT training course, which will be implemented soon. In addition to scenario-based trainings, cadets and permanent party leadership/first responders will receive training on male victimology using metrics and statistics as well as descriptions and education regarding male victimology.
- **Status: Complete.** USAFA should ensure that the examples of male victimology continue to be provided in CBIT training courses and leadership/first responder training courses in APY 14-15.
- **Improve:** Reinforce the locked-door policy in the dormitories.
- **USAFA Action:** A locked-door policy is in place via the Cadet Sight Picture. Enforcement of this policy will be reviewed and discussed by leadership, SFS, OSI, JA, Cadet Wing (CW) and ABW.
- **Status: Complete.** The continued enforcement of the locked-door policy should occur with the cadet population throughout the APY.

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<sup>83</sup> An installation CAIB promotes cross-organizational collaboration in addressing individual, family, and community concerns. The CAIB is a Commander's tool that allows the Commander to assess the health of the community and to enact positive programs and services to foster resiliency. For more information, please see: [http://static.e-publishing.af.mil/production/1/af\\_a1/publication/afi90-501/afi90-501.pdf](http://static.e-publishing.af.mil/production/1/af_a1/publication/afi90-501/afi90-501.pdf)

*LOE 2: Investigation Items for Improvement:*

- **Improve:** Encourage attendance at training opportunities similar to the Region 8 sexual assault investigators training course.
- **USAFA Action:** Due to budget cuts, Region 8 is unable to provide an investigators training course locally. USAFA's SAPR office provided local training opportunities to OSI and JA from Russell Strand<sup>84</sup>, Veraunda Jackson<sup>85</sup>, and Anne Munch.<sup>86</sup>
- **Status: Complete.**
- **Improve:** As reports of sexual assault increase, ensure manpower is adequate to meet mission demands.
- **USAFA Action:** The SVC Program currently has two Special Victims' Counsels assigned to Peterson AFB and in January 2015 will be adding another full-time SVC on the USAFA campus whose primary mission will be to serve clients from USAFA and the surrounding military installations. The additional SVCs in this region will assist in timeliness and availability of services to victims.
- **Status: In progress.** In the APY 12-13 Report, the Department found that sexual assault investigations conducted by AFOSI agents at USAFA increased. AFOSI also assumed investigative responsibility for felony-level and misdemeanor-level sexual assault allegations. Despite the increase in the number of investigations, AFOSI manpower resources remained static but did not affect the quality of investigations. However, the Department recommended that AFOSI ensures it has enough resources dedicated to USAFA to continue providing thorough and timely investigations.

*LOE 3: Accountability Items for Improvement:*

- **Improve:** Formalize EO involvement at USAFA, i.e., Academy Response Team (ART) and other formal working groups.
- **USAFA Action:** The SARC attends all EO UCA in and out briefs for commanders and directors. EO does not currently attend the Case Management

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<sup>84</sup> Russell Strand is the US Army Family Advocacy Programs Criminal Division Training Director who specializes in offender behavior.

<sup>85</sup> Veraunda Jackson is the founder and Chief Executive Officer of EHAP (Everything Has a Price) Inc., a professional and personal development company. She previously was a prosecutor in the specialized sex crimes and child abuse unit in Florida.

<sup>86</sup> Anne Munch is an attorney with extensive experience as a career prosecutor and advocate for victims of domestic violence, sexual assault, and stalking.

Group (CMG), and this will be discussed with senior leadership. EO is a member of the CW/ABW integrated CAIB and IDS.<sup>87</sup>

- **Status: Complete.** USAFA should continue to include MEO representatives during the ART Case Management Group meeting every month.

*LOE 4: Advocacy/Victim Assistance Items for Improvement:*

- **Improve:** Establish SARC and VA positions at 10th ABW.
- **USAFA Action:** AF SAPR Director, Major General Gina Grosso, visited USAFA during July and the need for a separate SARC at the 10th ABW was elevated to her level for review and action.
- **Status: In progress.**
- **Improve:** In accordance with applicable regulations, train and assign volunteer SAPR VAs as an interim solution.
- **USAFA Action:** USAFA SAPR has recruited and trained, and D-SAACP-certified four volunteer active Uniformed VAs. There are 12 additional volunteers trained and in early stages of applying to be a VA. The goal is to have 10-15 volunteer VAs.
- **Status: Complete.**
- **Improve:** Fully staff the SAPR office.
- **USAFA Action:** The USAFA SAPR office has filled two vacant civilian VA positions and has a new Deputy SARC on staff. There is one remaining civilian VA position that is in recruit/fill status.
- **Status: In progress.** All vacant positions should be filled in order for the Department to consider this item to be complete.
- **Improve:** Ensure 24-hour access to victim services and publicize/utilize the DoD Safe Helpline.
- **USAFA Action:** The DoD Safe Helpline is publicized in common areas (magnets, posters) and is posted on the revamped USAFA SAPR web page.

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<sup>87</sup> The IDS functions as the action arm of the CAIB and develops a comprehensive, coordinated plan for integrating and implementing community outreach and prevention programs (e.g., financial, relationship, family maltreatment, sexual assault, equal opportunity, suicide prevention, substance abuse, health promotion, tobacco cessation, etc.), with the goal of enhancing resilience in military communities. For more information, please see: [http://static.e-publishing.af.mil/production/1/af\\_a1/publication/afi90-501/afi90-501.pdf](http://static.e-publishing.af.mil/production/1/af_a1/publication/afi90-501/afi90-501.pdf).

Cadets will receive a monthly SAPR update, which includes marketing the Safe Helpline and new on-line group.

- **Status: Complete.** The Department commends USAFA's efforts to publicize the DoD Safe Helpline. USAFA should continue to ensure that USAFA SAPR staff is available 24 hours to provide victim services.
- **Improve:** Appoint a dedicated SAPR training resource that would allow the SARC and SAPR VAs to focus on victim advocacy.
- **USAFA Action:** During Major General Gina Grosso's visit to USAFA, a request for this position was made. USAFA continues to follow up with Major General Grosso.
- **Status: In progress.**
- **Improve:** Ensure all personnel investigating sexual harassment complaints, providing sexual harassment prevention training, or working in victims' assistance and support programs receive the training necessary for them to carry out their MEO-related duties.
- **USAFA Action:** All 10th ABW EO personnel attend DEOMI training prior to assignment to USAFA. USAFA SAPR and EO programs are collaborating training efforts for provision of victim advocacy for sexual harassment clients.
- **Status: Complete.** USAFA should continue to ensure only properly trained EO personnel conduct sexual harassment investigations.
- **Improve:** Identify appropriate level of sexual assault response training and procedures and provide on an annual basis to officer, enlisted, and civilian club and sports team representatives (to include those leading off-campus activities).
- **USAFA Action:** USAFA is working to resolve this issue.
- **Status: In progress.** USAFA should identify the appropriate level of sexual assault response training and procedures for those leading off-campus activities and ensure these individuals receive this training on an annual basis. This training should include instruction on SAPR-related responsibilities of individuals leading off-campus activities and protocol to connect a victim of sexual assault with SAPR personnel and other first responders.

*LOE 5: Assessment Items for Improvement:*

- **Improve:** Continue developing the draft USAFA GRIP and align with the USAFA SAPR Strategic Plan.

- **USAFA Action:** USAFA personnel drafted a comprehensive set of metrics as part of the GRIP, but the metrics have not been implemented in an assessment process. This is still in progress. CCD is in the final stages of hiring a SAPR Analyst, and this will be a part of his or her responsibilities. GRIP is now under the management of CCD.
- **Status: In progress.** USAFA should implement the comprehensive set of metrics identified for GRIP or another comparable set of metrics in the next APY.
- **Improve:** Consider conducting command climate assessment surveys at the small unit-level (for cadets and Prep School candidates) and provide results of the surveys to the cadet leadership and to the next level up the chain of command.
- **USAFA Action:** The AF requires use of DEOCs within 120 days of a new commander assuming command and annually thereafter. USAFA complies with that directive.
- **Status: Complete.** As noted earlier in this report, the 10th ABW EO and USAFA SAPR offices conducted cadet UCAs with approximately half of the cadet squadrons in APY 13-14. USAFA should ensure that the UCAs continue in order to inform the SAPR and POSH programs.

### Assessment of Recommendations from Previous Reports

The Department provided 28 action items from the APY 08-09 and APY 10-11 Reports. Entering into APY 13-14, three recommendations were still in progress. For this report, the Department assessed the status of these three and found that it had sufficient evidence to close one of three recommendations.

- **Action:** Develop outcome-based metrics to address all prevention efforts.
- **USAFA Action:** As part of the GRIP, USAFA personnel drafted a comprehensive set of metrics but the metrics have not been implemented in an assessment process. CCD is in the final stages of hiring a SAPR Analyst, and this will be a part of his or her responsibilities. GRIP is now under the management of CCD.
- **Status: In progress.** USAFA should implement the comprehensive set of metrics identified for GRIP or another comparable set of metrics in the next APY.
- **Action:** Address collateral misconduct misperceptions in training.
- **USAFA Action:** Collateral misconduct is addressed during pre-command training. It is specifically addressed by the SARC and JA during the AOC Master's course "just in time" training, which occurs the week before the new AOCs assume command. USAFA SAPR is publishing a new handout that has

information specifically addressing/defining “collateral misconduct” that will be distributed to all commanders.

- **Status: Complete.** USAFA should continue to address the assumption regarding collateral misconduct during trainings with the cadets.
- **Action:** Establish a second SARC position to support other units.
- **USAFA Action:** A second SARC position has not been filled. We have engaged with the new AF SAPR Director, Major General Grosso; she is working this issue to secure funding.
- **Status: In progress.** This recommendation has existed since the APY 10-11 Report and was recommended again in the APY 12-13 assessment. It has not been adequately addressed for DoD to update its status for the past three years.

### USAFA Prevalence and Reporting Data Highlights

The 2014 SAGR asked USAFA cadets to provide feedback on a wide variety of topics relating to the Academy’s POSH and SAPR program. These topics ranged from perceptions of sexual harassment and experiences of USC to opinions of program effectiveness in reducing or preventing sexual harassment and sexual assault. The following section discusses the prevalence rate of sexual harassment and assault at USAFA and incident reporting trends.

#### *Prevalence of Sexual Harassment and Unwanted Sexual Contact*

The 2014 SAGR found that 48% of USAFA women and 9% of USAFA men perceived some form of sexual harassment during the APY (Table 15). For USAFA women, this prevalence rate is higher than the rate in 2012, but lower than the 2010 rate and statistically unchanged from 2008. For male cadets, this prevalence rate is lower than the 2012, 2010, and 2008 rates, but none of the differences are statistically significant.

Percent of USAFA Women <sup>88</sup>		Percent of USAFA Men <sup>89</sup>	
2008	48%	2008	10%
2010	53%	2010	10%
2012	44%	2012	11%
2014	48%	2014	9%

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<sup>88</sup> Margins of error range from ±1% to ±2%.

<sup>89</sup> Margins of error range from ±1% to ±2%.

Additionally, the 2014 SAGR found that 9.7% of USAFA women and 1.4% of USAFA men experienced USC in APY 13-14 (Table 16). For USAFA women, the prevalence rate in 2014 is statistically unchanged from 2012 and 2008 but higher than the rate in 2010. For USAFA men, there are no statistically significant differences between the prevalence rates in 2014 compared to 2012, 2010, and 2008. Moreover, prevalence rates varied by class year. Among USAFA women, sophomores experienced the highest rate of USC (16.8%), whereas, among USAFA men, juniors and seniors experienced the highest rate of USC (1.8% and 1.9%, respectively).

Percent of USAFA Women <sup>90</sup>		Percent of USAFA Men <sup>91</sup>	
2008	9.7%	2008	1.4%
2010	11.9%	2010	1.1%
2012	11.2%	2012	1.7%
2014	9.7%	2014	1.4%

The survey also showed that, of the female cadets who experienced USC in 2014, a little less than half (48%) indicated that their offender sexually harassed, stalked, or assaulted them before the assault. Comparatively, of the USAFA men who experienced USC in 2014, a little more than half (55%) indicated that their offender sexually harassed, stalked, or assaulted them before the assault.<sup>92</sup> Sexual harassment and assault fall along a continuum of harmful, gender-based behaviors,<sup>93</sup> with prior research demonstrating a strong positive correlation between the experience of sexual harassment and the sexual assault of members within military units.<sup>94</sup> Additionally, women and men who experienced USC prior to entering the Academy and/or Preparatory School also experienced higher prevalence rates of USC in APY 13-14 (12.3% for women and 3.8% for men), compared to the overall prevalence rate for their for women (9.7%) and men (1.4%) at USAFA. This finding is consistent with other research and SAGR results that identified prior sexual victimization as a risk factor for future victimization. Thus, the development of a targeted, voluntary, confidential prevention program for cadets with a personal history of sexual victimization might be helpful.

Of the 9.7% USAFA women who experienced USC, 51% indicated either they and/or the offender had been drinking before the assault. Of the 1.4% of USAFA men who experienced USC, 32% indicated either they or the offender had been drinking before

<sup>90</sup> Margins of error range from ±1.0% to ±1.3%.

<sup>91</sup> Margins of error range from ±0.4% to ±0.9%.

<sup>92</sup> Margins of error range from ±6% to ±14%.

<sup>93</sup> The “continuum of harm,” in the context of sexual violence, refers to inappropriate actions (such as sexist jokes, hazing, or cyber bullying) that are used before or after the assault and/or supports an environment that tolerates these actions.

<sup>94</sup> Harned, M., Ormerod, A., Palmieri, P., Collinsworth, L.; and Reed, M. (2002). Sexual assault and other types of sexual harassment by workplace personnel: A comparison of antecedents and consequences. *Journal of Occupational Health Psychology*, 7, 174-188.

the assault.<sup>95</sup> During APY 13-14, the Secretary of Defense directed USAFA to review and expand its alcohol policies. Since alcohol consumption was involved in many of the sexual assaults at USAFA, innovation of new alcohol policies and outreach strategies must continue.

Training is an essential part of the SAPR program at the MSAs. The 2014 SAGR asked cadets if they received sexual assault program training in the last year. At USAFA, 97% of women<sup>96</sup> and 98% of men<sup>97</sup> indicated receiving sexual assault training in the past year. Overall, approximately half of respondents rated the training as at least moderately to very effective in reducing or preventing sexual assault or harassment. In 2014, 14% of USAFA women who received training indicated that the training was *very effective* in reducing/preventing sexual assault; this figure remained unchanged from 2012. However, 13% of USAFA women who received training indicated that their training was *not at all effective*, a higher percentage than in 2012.<sup>98</sup> Among USAFA men who received training, 18% indicated that the training was *very effective* in reducing/preventing sexual assault, unchanged from 2012. However, compared to 2012, a higher percentage of USAFA men (14%) indicated that the training was *not at all effective*.<sup>99</sup>

A focus of sexual assault prevention training is bystander intervention. In the 2014 SAGR, cadets were asked if they observed a situation, during APY 13-14, where they believed a sexual assault was about to occur. Nine percent of USAFA women and 6% of USAFA men indicated they observed a situation at risk for sexual assault during the APY.<sup>100</sup> Of the 9% of women who observed a situation that could have led to a sexual assault, 92% reported that they took some form of action to prevent the sexual assault. Of the 6% of men who observed a situation that could have led to a sexual assault, 92% reported that they took some form of action to prevent the sexual assault.<sup>101</sup>

### *Sexual Harassment and Assault Reporting Trends*

During APY 13-14, USAFA received zero formal complaints of sexual harassment and four informal complaints.<sup>102</sup> According to the 2014 SAGR, 48% of USAFA women perceived sexual harassment during the APY. However, the majority (84%) of them did not believe the incident was important enough to report. Approximately 9% of USAFA men perceived sexual harassment during the APY, with 84% also indicating they did not believe the incident as important enough to report.

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<sup>95</sup> Margins of error for men and women range from  $\pm 6\%$  to  $\pm 14\%$ .

<sup>96</sup> Margin of error  $\pm 1\%$ .

<sup>97</sup> Margin of error  $\pm 1\%$ .

<sup>98</sup> Margin of error  $\pm 2\%$ .

<sup>99</sup> Margins of error range from  $\pm 2\%$  to  $\pm 3\%$ .

<sup>100</sup> Margins of error range from  $\pm 1\%$  to  $\pm 2\%$ .

<sup>101</sup> Margin of error  $\pm 4\%$ .

<sup>102</sup> During the previous APY, no formal complaints were received and 8 informal complaints were received.

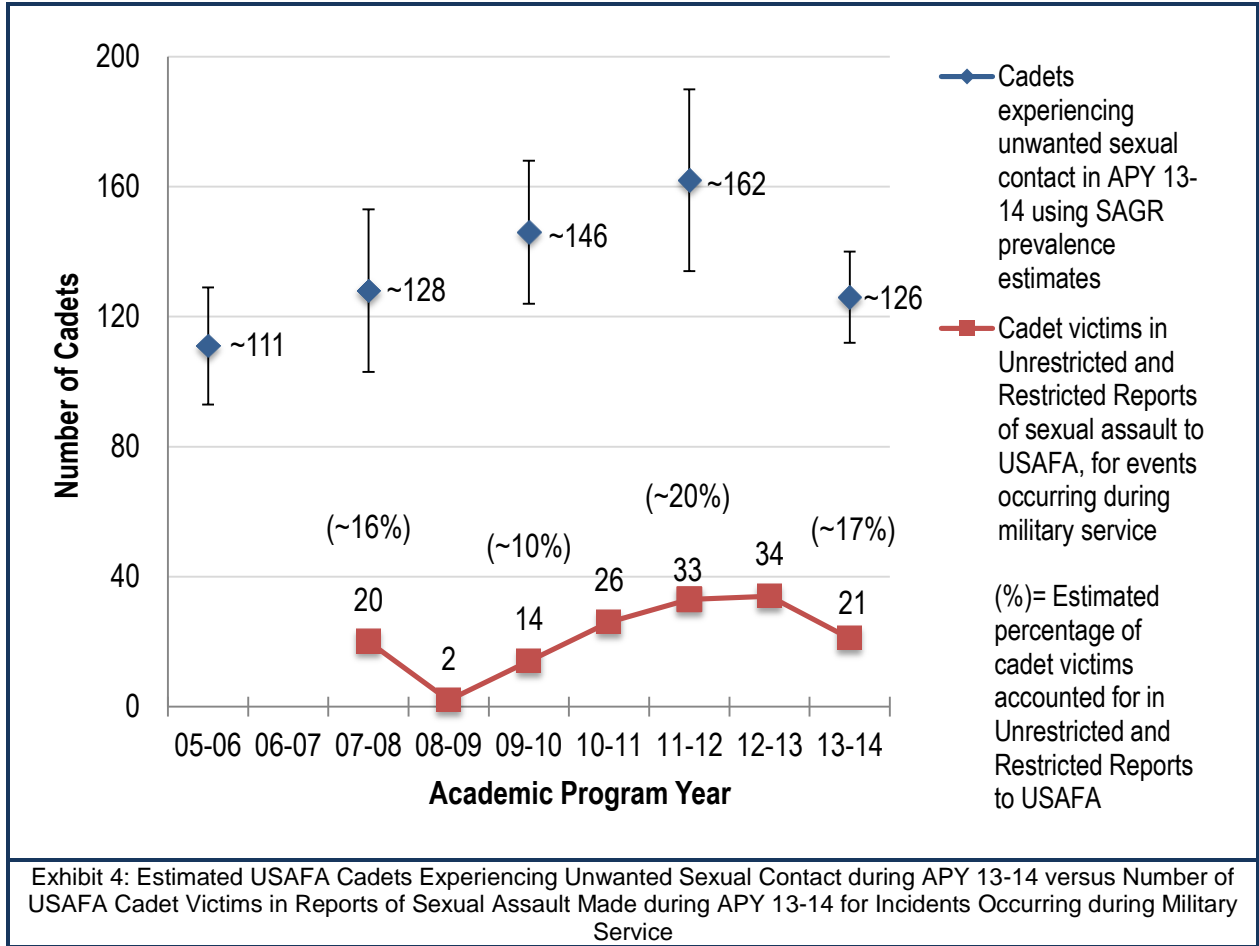


The total numbers of sexual assault reports at USAFA during APY 13-14 are as follows:

Table 17: Total APY 13-14 Reports Of Sexual Assault At USAFA	
Number of Unrestricted Reports of Sexual Assault	13
Number of Reports Of Sexual Assault Remaining Restricted	14
<i>Number of Total Reports of Sexual Assault - Unrestricted and Restricted</i>	<i>27</i>

During APY 13-14, USAFA received 13 Unrestricted Reports. This is a decrease from APY 12-13, during which USAFA received 18 Unrestricted Reports. During APY 13-14, 14 Restricted Reports were received, none of which converted to an Unrestricted Report at the victims' request. Two of the Restricted Reports were for incidents prior to military service. The 14 Reports remaining Restricted represent a decrease from APY 12-13, during which the number of Restricted Reports remaining was 27 at USAFA. Overall, sexual assault reporting decreased by 18 reports from APY 12-13.

Exhibit 4 illustrates the difference between the estimated number of USAFA cadets who experienced USC and the number of cadet victims who made reports of sexual assault for incidents that occurred during military service. Although reporting decreased at USAFA, the USC prevalence rate also decreased (albeit not significantly). As a result, the "gap" between prevalence and reporting narrowed in APY 13-14 compared to APY 11-12. The Department estimates that in APY 13-14, one report was made for every six incidents at USAFA. Decreases in USC prevalence are achieved through prevention initiatives, while increases in cadet reporting stem from efforts to address victim confidence and improvements in the response system.



Drawn from the 2014 SAGR, Table 18 provides the top three reasons respondents selected for not reporting sexual harassment. Within their respective gender groupings, women and men at each Academy identified the same top three reasons for not reporting sexual harassment.<sup>103</sup>

Reason	Women	Men
Thought it was not important enough to report	84%	84%
Took care of it themselves by confronting the person who harassed them	54%	36%
Took care of it themselves by forgetting about it and moving on	47%	40%

<sup>103</sup> The top three reasons for reporting sexual harassment are not reportable because so few cadets reported sexual harassment.

<sup>104</sup> Margins of error range from  $\pm 2$  to  $\pm 3$ .

USAFA should emphasize that sexual harassment falls on the continuum of harm, does not have to be tolerated as part of the USAFA experience, and runs counter to the values of the Academy and the Air Force. Therefore, sexual harassment is, in fact, important enough to be addressed when it occurs.

Also drawn from the 2014 SAGR, Table 19, Table 20, and Table 21 contain the top reasons respondents selected for reporting and for not reporting USC contact. Due to the small number of male respondents who experienced USC and reported the assault, the reasons for reporting USC are not reportable for men.

Table 19: Top Three Reasons For Reporting Unwanted Sexual Contact – USAFA Women Who Experienced USC And Reported It <sup>105</sup>	
Seek help dealing with an emotional incident	82%
It was the right thing to do	67%
Stop the offender from hurting them again	65%

Table 20: Top Three Reasons For Not Reporting Unwanted Sexual Contact – USAFA Women Who Experienced USC And Did Not Report It <sup>106</sup>	
Did not want anyone to know	66%
Did not want people gossiping about them	66%
Thought it was not important enough to report	62%

Table 21: Top Four Reasons For Not Reporting Unwanted Sexual Contact – USAFA Men Who Experienced USC And Did Not Report It <sup>107</sup>	
Thought it was not important enough to report	67%
Felt uncomfortable making a report	54%
Took care of it themselves by forgetting about it and moving on	47%
Took care of it themselves by avoiding the person who assaulted them	47%

<sup>105</sup> Margin of error ±1.

<sup>106</sup> Margin of error ±7.

<sup>107</sup> Margin of error ±17.

The choice to report a sexual assault is highly personal and may never be considered by some victims, especially when the victim does not believe the situation was “important enough” to report. While the Department respects victims’ reporting decisions, cadets may benefit from a greater understanding of the potential physical and psychological consequences of a sexual assault.<sup>108</sup> However, it is clear that cadets need additional assurance that their desire for privacy and confidentiality can be respected through the Restricted Reporting option. Making a report of sexual assault can allow them to gain access to victim services to help them deal with the immediate and future consequences of sexual victimization.

### Inspector General Investigations at USAFA

In APY 12-13, two former USAFA cadet athletes were convicted of sexual assault offenses. In August 2014, Lieutenant General Michelle Johnson, the Superintendent of USAFA, requested a USAFA Inspector General (IG) review of the Athletic Department Mission Elements, as part of her effort to help eliminate subcultures at the Air Force's Academy whose climates do not align with USAFA core values.<sup>109</sup>

With a letter dated October 21, 2014, the DoD IG announced that it would be initiating an evaluation of USAFA to determine if:

- Criminal investigations, to include allegations of sexual assault, involving USAFA football players met investigative standards; and
- There were barriers to investigating allegations of criminal misconduct to include sexual assault.

### USAFA SELF-ASSESSMENT HIGHLIGHTS



The sections below, organized by LOE from the 2013 SAPR Strategic Plan, provide an overview of USAFA’s approach to achieving the end state of each LOE and highlights of the actions the Academy is taking in support of that LOE. For a comprehensive description of USAFA’s SAPR and POSH program and initiatives, the complete USAFA report is provided as an attachment to this report.

#### Line of Effort 1: Prevention

In the 2013 SAPR Strategic Plan, the Prevention LOE’s end state is “cultural imperatives of mutual respect and trust, professional values, and team commitment are reinforced to create an environment where sexual assault or sexual harassment is not

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<sup>108</sup> As presented by the Centers for Disease Control and Prevention, potential consequences of a sexual assault include migraines and other frequent headaches, back pain, anxiety, withdrawal, guilt, and depression. For more information, please see: <http://www.cdc.gov/violenceprevention/sexualviolence/consequences.html>. Victims of sexual assault are also known to experience higher rates of depression, anxiety, PTSD, and substance abuse compared to non-victimized persons.

<sup>109</sup> Lt. Gen Johnson’s statement on the USAFA IG review of the Athletic Department can be read here: <http://www.usafa.af.mil/news/story.asp?id=123419970>.

tolerated, condoned, or ignored.” To demonstrate USAFA’s efforts to sustain a culture of commitment, the Superintendent took an aggressive measure in APY 13-14 to combat sexual harassment, sexual assault, and any form of violence by creating the USAFA Directorate for CCD. The CCD Director, essentially the chief diversity officer, is charged with coordinating agencies and programs active in USAFA’s culture, climate, and diversity arenas in an effort to streamline reporting, leverage resources, document efforts, and institutionalize outcomes.

The CCD Director leads a representative O-6 level “Superintendent’s Council” on Culture, Climate, and Diversity that considers challenges and orchestrates actions to strengthen USAFA’s climate of dignity and respect. The Director reports directly to the Superintendent to ensure issues are communicated to senior leadership and positively addressed at the Academy’s highest levels.

In creating the CCD, the Superintendent merged several divisions: the SAPR office; the Culture, Climate, and Diversity Analyst Division; and the Diversity Office. The integrated CCD assesses USAFA climate with respect to CCD mission areas and reports the climate status to the Superintendent with associated recommendations and courses of action for USAFA.

To work towards achieving the Prevention end state, USAFA provides bystander intervention training to its cadets. Though cadets are not mandated by the Air Force to attend the bystander intervention training, USAFA believes this is critical training for cadets because their age places them in the “at risk” age group of 18 – 24 years for increased sexual assaults. To that end, USAFA contracted with Dr. Dorothy Edwards’ “Green Dot” program to create a cadet bystander intervention program.<sup>110</sup> In APY 13-14, USAFA implemented CBIT facilitator training on May 27, 2014. Beta testing of the CBIT course curriculum was also completed via the Behavioral Science 310 course.

## **Line of Effort 2: Investigation**

The Investigation end state is “investigative resources yield timely and accurate results.” AFOSI Detachment (Det) 808, United States Air Force Academy, CO is committed to conducting professional, responsive, and accurate investigations into every sexual assault allegation in order to provide timely and credible information to Air Force leaders and keep the Air Force safe. The Air Force has successfully established a worldwide special victim investigation and prosecution capability, primarily comprised of 24 sexual assault investigators and eight Senior Trial Counsel - Special Victims’ Unit. One of the 24 full-time sexual assault investigators hired by AFOSI is stationed at USAFA, where she serves as the AFOSI primary special victim capability investigator and sexual assault investigation subject-matter expert. Both the AFOSI Det 808 commander and the full-time sexual assault investigator are graduates of the Air Force’s Sex Crimes

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<sup>110</sup> Dr. Dorothy J. Edwards, author of the Green Dot etc. Violence Prevention Strategy, holds a Ph.D. in Counseling Psychology from Texas Woman’s University. She is the Executive Director of Green Dot, etc., a center dedicated to effective intervention and prevention of power-based personal violence.

Investigator Training Program (SCITP) at the Federal Law Enforcement Training Center in Glynco, Georgia. AFOSI has made numerous improvements over the past few years to agents' ability to conduct sexual assault investigations.

One improvement specific to USAFA is the establishment of an AFOSI USAFA orientation program. The program is designed to familiarize agents assigned to Det 808 with USAFA offices, their missions, and facets of cadet life relevant to AFOSI's contact with cadets and supporting USAFA's mission. In addition to the orientation program, AFOSI is working to ensure all AFOSI agents assigned to USAFA attend the Air Force's SCITP. Further, Det 808 is establishing a Joint Sexual Assault Team (JSAT) at USAFA. The JSAT will consist of specially trained Security Forces personnel assigned to investigate specific Article 120 offenses under the direction of AFOSI.

### **Line of Effort 3: Accountability**

The Accountability end state is "achieve high competence in holding offenders appropriately accountable." To achieve this end state, the SAPR office has had a close relationship with the SVC program since its implementation in 2013. An SVC is not currently stationed at the Academy, but a billet has been moved to USAFA and an SVC office is scheduled to open on January 31, 2015. There are two SVCs assigned to Peterson AFB, and they have served clients from USAFA since the inception of the SVC program. When a victim reports a crime of sexual assault, information is provided to the victim about the SVC program and if counsel is requested, the SAPR office then forwards that request. The SVCs have been very responsive to all USAFA cadets. Victims have provided positive feedback about their special victims' counsel and how helpful they have been throughout the justice process.

For Article 32 hearings, USAFA has traditionally used JAs as investigating officers. This practice was codified in the FY14 NDAA and USAFA will ensure that JAs continue to serve in the capacity of an investigating officer as required (or preliminary hearing officer for Article 32 proceedings conducted on or after December 26, 2014).

### **Line of Effort 4: Advocacy/Victim Assistance**

The Advocacy/Victim Assistance end state is "high quality services and support to instill confidence and trust, and strengthen resilience, and inspire victims to report." The SARC and all full-time SAPR VAs are D-SAACP certified. The SARC is a Level 4 certified VA while the VAs hold Level 1 certifications. The program has several volunteer active duty military VAs who are all Level 1 certified. The SARC and SAPR VAs were found in compliance with AF and DoD requirements for their respective positions.

To promote recovery and healing, victims have the option to leave USAFA on Administrative Turn Back for up to one year. Victims remain in cadet status in every regard except pay and when they return, they are 1 year behind in their academic courses.

### **Line of Effort 5: Assessment**

The Assessment end state is “responsive, meaningful, and accurate systems of measurement and evaluation into every aspect of the SAPR program.” To work towards this end state, the USAFA SAPR program is assessed by multiple agencies including AF SAPR, DoD SAPRO, and internal USAFA assessments. DMDC conducts, in odd years, a focus group onsite. In the even years, a survey is administered. In 2013, DoD SAPRO conducted an onsite comprehensive and expanded program assessment, and the USAFA SAPRO was found to be in compliance. In FY13, the Air Force Audit Agency conducted a comprehensive two-part personnel audit of the USAFA SARC and SAPR VAs finding USAFA to be in compliance. USAFA’s SAPR staff is credentialed by D-SAACP per DoD requirement. An unannounced IG Sexual Assault 24 Hour Hotline Exercise was conducted in FY13 to include all AF installations.

### **Self-Assessment Conclusion**

During APY 13-14, USAFA demonstrated that it was committed to promoting a climate of dignity and respect by developing the CCD and implementing CBIT facilitator training. USAFA SAPRO’s relationship with the full-time sexual assault investigator stationed at USAFA and with the two SVCs assigned to Peterson AFB who have served cadets should continue to ensure that victims who make Unrestricted Reports feel supported as they navigate the military justice system. In APY 14-15, USAFA should work toward filling the vacant SAPR analyst position so that GRIP can be implemented and a complete assessment of the USAFA’s SAPR program can occur.

## COMMON ACTIONS AT THE MSAs DURING APY 13-14

During APY 13-14, all three MSAs observed SAAM and the DoD SAPR stand-down. Both civilian and military communities recognize SAAM across the country every April. The Department's FY13 theme, "We own it...We'll solve it...Together!" emphasizes a collective approach to combatting sexual assault. The MSAs participated in SAAM by arranging events that highlighted the importance of eliminating sexual assault.

In May 2013, the Secretary of Defense directed the Secretaries of the Military Departments, the Chairman of the Joint Chiefs of Staff, the Chiefs of the Military Services, and the Chief of the NGB to collaborate with the Combatant Commanders to develop and implement SAPR stand-downs. Each MSA organized activities to assist all staff, faculty, and cadets and midshipmen to understand that they are accountable for fostering a climate where sexual harassment and sexual assault are not tolerated, condoned, or ignored and where all adhere to the values of dignity, trust, and respect.

## OBSERVANCE OF SEXUAL ASSAULT AWARENESS MONTH

### USMA

SAAM events at USMA in APY 13-14 included a mile walk where pamphlets, pins, t-shirts, and other items were given to participants. The cadets organized a cross-fit competition for the Corps of Cadets. The TAC NCOs sponsored a run against sexual violence and the CASH/A cadets hosted a colloquium for their counterparts at other service Academies to discuss and share best practices in programs to enhance student development.



Figure 2: Cadets and Midshipmen at USMA's colloquium during SAAM in April 2014



## USNA

A SAAM Committee was organized and led by USNA SARC. The Committee consisted of 22 staff and faculty members (both military & civilian) and six midshipmen. The Committee met monthly from December 2013 through April 2014, coordinating various events. Official SAAM events included:

- April 1 lunch kick-off event in King Hall, where the Commandant of Midshipmen and the SAPR Program Manager addressed the Brigade and the SAPR staff sat with midshipmen at their tables.
- An “Allies in Action” slide-show project captured pictures of volunteer midshipmen, faculty, and staff displaying messages of support for survivors.
- Faculty member, Commander Dave Smith, led a “Healthy Relationships Presentation” session focused on how to successfully acquire and navigate positive, intimate relationships.
- Midshipmen SHAPE Peer Educators and GUIDES (Guidance, Understanding, Information, Direction, Education)<sup>111</sup> led their companies in addressing their squads once per week in lunchtime “Table Talk,” which focused on sexual assault awareness throughout the Fleet.
- Teal ribbons were placed on the trunks of trees lining Stribling Walk, two large SAAM banners were displayed and rotated around the Yard throughout the month, and the Tecumseh figurehead was painted in his motivational war paint in support of SAAM.

The month ended with a 5K Run and a cook-out dinner in Dahlgren Hall for all midshipmen, where informational tables were set up with partner agencies from around the area, including: Naval Station Annapolis SAPRO, Fleet and Family Support Center/Family Advocacy Program (Intimate Partner Violence), Midshipmen Development Center (Counseling Resources), Pathways, Drug/Alcohol Abuse Prevention, YWCA, and Anne Arundel Medical Center.

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<sup>111</sup> SHAPE Peer Educators and GUIDES are selected midshipmen who support the brigade as subject matter experts in sexual assault prevention.

## USAFA

USAFA's APY 13-14 SAAM activities were the most comprehensive and collaborative to date. Each week in April was sponsored by a different mission element--The Athletic Department, Faculty, Cadet Wing, Air Base Wing, and Colorado College. The focus was on creating and maintaining a healthy climate, sexual behaviors, and healthy relationships.

- April 2: Colorado College students visited USAFA and met with our cadets for dinner at Mitchell Hall, participated in a tour, and discussed prevention and defined a "healthy" climate.
- April 7: Kick-off event: The USAFA Chaplain sponsored Jason and Cristalina Evert, a husband/wife team, to give a presentation on healthy relationships and healthy dating. The event was secular and open to cadets, staff, preparatory school students, and Colorado College students and personnel.
- April 11: An installation-wide Red Pin Strike Out Sexual Assault event at the Community Center bowling center.
  - Seventeen teams participated, including the 10 ABW, Headquarters USAFA (HQ USAFA), and CW.
- April 17: Take Back the Night (TBTN) Rally on the terrazzo. The event was open to all cadets, permanent party, ABW, preparatory school students, and Colorado College. Lieutenant General Johnson, USAFA Superintendent, opened the event and Brig Gen Armacost, Dean of Faculty, was the keynote speaker.
  - The cadets decided to make the Dean's talk mandatory for all cadets.
  - 3,500 cadets and permanent party attended, and the keynote address was well received.
  - As a result of the success of this event, USAFA was selected as one of TBTN's "10 Points of Light" for next year. USAFA will be featured nationally, and Ms. Katie Koestner, National TBTN Director, will be USAFA's keynote speaker.



Figure 3: USAFA cadets and staff members gather around a bonfire in observance of SAAM for the "Take Back the Night" event April 17

## OBSERVANCE OF SAPR STAND-DOWN

### USMA

At USMA last June, as a part of the DoD directed stand-down day, all supervisors were tasked to inspect all areas in the work environment to ensure freedom from offensive material. After last year, a recommendation from several supervisors was to wait until after everyone returns for the APY to perform the check. Hence, this year, this check will occur in September or October 2014.

## USNA

The DoD SAPR stand-down in June 2013 provided the framework of supplementing USNA's training program by providing sessions that were designed to ensure all military and civilian personnel at USNA understand SAPR principles and resources. Post command senior officers and senior enlisted leaders provided this training, and it was the first time many of these seasoned leaders taught the topic of sexual harassment and sexual assault. These sessions included open conversations on creating a climate based on dignity and respect.

## USAFA

USAFA held its Sexual Assault Stand-down Day on June 24, 2013. This was an all-day event involving cadets and permanent party held at Clune Sports Arena. The Superintendent addressed all of USAFA using several USAFA-specific scenarios (which included male victims) to inform the discussion. Mike Domitrz of the "Date Safe" program also spoke. The SARC followed these presentations, providing a pre-command SAPR training program for all supervisors, faculty, and athletic department staff. During the afternoon of the stand-down, all squadrons/units broke down into smaller groups and used specifically developed SAPR training curriculum and scenarios to lead discussion groups. To prepare for these breakout sessions, USAFA SAPR included additional training for AOCs and AMTs in April and May 2013. This supplemental training taught them how to lead discussions with cadets regarding what constitutes healthy relationships, healthy boundaries, dating, intimacy and healthy sexuality. The USAFA SAPR office prepared discussion questions for the AOCs and AMTs. Short videos, scenarios and role plays are posted on a SharePoint Site as a resource for the AOC/AMTs.

## FUTURE ACTIONS FOR APY 14-15: IT'S ON US!

In January 2014, the President and Vice President established the "White House Task Force to Protect Students from Sexual Assault" in order to develop strategies and recommendations to help prevent campus sexual assault. As part of this task force, the White House launched a new public awareness and education campaign known as, "It's on Us." The "It's on Us" campaign is aimed at encouraging college students and all members of campus communities to be more engaged with campus sexual assault prevention efforts. Each of the MSAs is committed to participating in the "It's on Us" campaign and plans to accomplish the activities listed below.

USMA will:

- Use the campaign and SHARP Summit outcomes to drive the way ahead for the entire US Corps of Cadets, led by cadet leadership and the CASH/A Executive Committee. CASH/A will:
  - Promote the campaign in a variety of cadet-focused social events.
  - Incorporate "It's on Us" into monthly training for the 4,400 cadets at USMA.

- Integrate the tenets of "It's on Us" as key features of the USMA strategic plan and character development strategy.
- Incorporate "It's On Us" into The Pointer View (the command information paper) on a quarterly basis and promote it on West Point social media pages.

USNA will:

- Introduce "It's On Us" to the 4,500 Brigade of Midshipmen at a Brigade-wide event, as part of an ongoing series of initiatives and events in support of sexual assault prevention.
- Integrate "It's On Us" into midshipmen peer education sessions, facilitated by midshipmen GUIDES to promote the campaign at the Company level (groups of about 150 midshipmen).
- Modify the USNA website and use social media to promote the campaign to the Brigade of Midshipmen, faculty, and staff.
- Create a midshipmen-led video to promote the campaign, as part of an ongoing sexual assault prevention video series.
- Promote "It's On Us" at Academy football games to further reach the Brigade, Alumni, and the supporting community.

USAFA will:

- Strategically engage senior leaders in the Superintendent's Council to advance "It's On Us" throughout the USAFA organizations.
- Operationally integrate messaging into character and academic curriculum via the Dean of Faculty's Making Excellence Inclusive Committee, the RFHD Outcome Team, and the Commandant of Cadet's Center for Character and Leadership Development.
- Tactically ensure "It's On Us" is woven into the fabric of all ongoing educational and training initiatives by:
  - Launching the campaign in coordination with the cadet leadership and Personal Ethics and Education Representatives (PEER), who cadets selected to address culture, climate, and inclusivity concerns.
  - Marketing promotional materials from the campaign website and providing each cadet with a hard copy of the "It's On Us" Pledge.
  - Using the base paper and social media to promote campaign materials including the "It's On Us" logo, educational content, and daily tweets.
  - Integrating "It's On Us" into ongoing cadet active bystander intervention training.
  - Highlighting the campaign during Basic Training, January Anti-Stalking Awareness Month, and April SAAM.

## CONCLUSION AND WAY FORWARD



Preventing sexual harassment and sexual assault at the MSAs, as well as across the total force, remains a priority for the Department. Throughout APY 13-14, the MSAs worked towards meeting the essential measures outlined in the Secretary of Defense's January 2014 memorandum.

However, fully implementing these measures and assessing their effectiveness will take time. The Department expects the Academies to make further progress in implementing the initiatives directed by the Secretary of Defense, complete outstanding action items and recommendations from previous APYs, and implement and consider new solutions for addressing areas of concern identified through the *2014 SAGR*.

The Department's dual goals are to use prevention initiatives to reduce the number of incidents of sexual harassment and assault, and at the same time, encourage reporting, so that reports of sexual harassment and assault to the DoD account for a greater proportion of the survey-estimated incidents. Overall reporting of sexual assaults decreased in APY 13-14 from APY 12-13, and the prevalence rate of USC, for both DoD Academy women and men, also decreased from 2012 to 2014. In APY 13-14, the rate of reporting increased to 16% of the estimated 327 cadets/midshipmen who experienced USC, up from 11% in APY 11-12.

Overall reporting of sexual harassment increased in APY 13-14 from APY 12-13 at the MSAs. The sexual harassment prevalence rate for DoD Academy women decreased while it remained about the same for DoD Academy men.

The decreased USC and sexual harassment rates for Academy women and increased sexual harassment reporting are promising developments. However, the MSAs must continue to focus on their sexual assault and harassment prevention initiatives and establishing a climate of dignity and respect so that victims feel supported to make a report of sexual harassment or assault.

To highlight the significance of this issue, the Secretary of Defense is directing the Under Secretary of Defense for Personnel and Readiness (USD(P&R)) to host a senior summit each APY for Service Academy leadership and others to facilitate collaboration and exchange of best practices and lessons learned in prevention and response policies. Service Academy leadership will also be incorporated into the SAPR Executive Integrated Product Team forum. Furthermore, the Secretary of Defense is directing the Secretaries of the Military Departments to develop and conduct specific prevention programming and initiatives for cadets and midshipmen at the conclusion of their first APY. This training will address professional relationship expectations and the factors behind higher rates of sexual assault experienced during the Academy third-class year. DoD SAPRO is directed to develop and deploy an anonymous, self-guided education program designed to address and support those cadets, midshipmen, and other military members who may have been victims of sexual assault or abuse prior to military service. To encourage greater reporting of sexual assault, the Secretary is directing the Superintendents of the MSAs, in collaboration with the USD(P&R) and

Military Department SAPR program offices, to assess their individual Academy climates and develop a plan to promote greater reporting of these crimes by cadets and midshipmen.