

Appendix C: Air Force Compliance Assessment of the United States Air Force Academy





DEPARTMENT OF THE AIR FORCE
WASHINGTON DC

OFFICE OF THE ASSISTANT SECRETARY

NOV 20 2019

MEMORANDUM FOR UNDER SECRETARY OF DEFENSE (PERSONNEL AND READINESS)

FROM: Assistant Secretary of the Air Force (Manpower and Reserve Affairs)

SUBJECT: Department of Defense Annual Report on Sexual Harassment and Violence, Academic Program Year (2018-2019): United States Air Force Academy (USAFA) Compliance Assessment

The Air Force has completed important work in order to address compliance related matters which has resulted in a much stronger program. In response to your 17 May 2019 memorandum, I am forwarding the Air Force program compliance assessment of the Air Force Academy's Sexual Assault Prevention and Response (SAPR), and sexual harassment prevention and reporting programs. Over an 18-month span, the USAFA SAPR program received 11 inspections, assessments and inquiries by DoD, Air Force and local inspectors.

The Headquarters USAFA Inspector General (IG) conducted its Sexual Assault Prevention and Response Program Annual By-Law Inspection from 18 December 2018 to 25 January 2019. The overall grade for the inspection was "in compliance" with comments. This rating indicates a program or operation does not comply with key elements of governing directives. Inspectors observed 13 significant deficiencies and one minor deficiency. Inspectors also identified four recommended improvement areas. The results of the inspection are attached. Each deficiency has been adjudicated as of 19 September 2019 (2019 USAFA SAPR IGEMS Report attached). Further, the USAFA/IG used the assessment tool provided in July 2019 to conduct another review; results are attached. The USAFA/IG will conduct the next by-law inspection during the 2019-2020 academic program year.

With the attachment of the USAFA IG report, it is important to note that the transfer of Inspector General records is permitted as an intra-agency disclosure to officers of an agency having a need to know for the records in the performance of their official duties (5 U.S.C. 552a(b)(1)). IG records are protected documents and are not further releasable without the expressed approval of the Air Force Inspector General. For further release of the information contained in the attached USAFA/IG report, please contact SAF/IGI, Mr. David Slye, at DSN 671-2354 or via email at david.p.slye.civ@mail.mil.

A handwritten signature in black ink, appearing to read "SJM", with a horizontal line extending to the right.

SHON J. MANASCO
Assistant Secretary of the Air Force
(Manpower and Reserve Affairs)

Attachments:

1. USAFA IG Commander's Inspection Program SAPR Bylaw Inspection Final Report
2. 2019 USAFA SAPR IGEMS Report

UNITED STATES
AIR FORCE
ACADEMY



Commander's Inspection Program
SAPR By-Law Inspection
Report

United States Air Force Academy
USAF Academy
USAF Academy, CO 80840

10 Dec 2018 – 25 Jan 2019

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DEFINITIONS

This inspection was graded IAW AFI 90-201 and applicable governing guidance.

3 Tier (In Comp-Not in Comp) (CCIP) Item Level grading scale definitions

In Compliance:

The rating given that indicates a program or operation complies with governing directives and supports mission accomplishment. Deficiencies may exist but do not impede mission accomplishment.

In Compliance with Comments:

The rating given that indicates a program or operation complies with most, but not all, governing directives and does not meet some mission requirements. Deficiencies exist that impede or limit mission accomplishment.

Not In Compliance:

The rating given that indicates a program or operation does not comply with key elements of governing directives; significant deficiencies exist that could result in legal liabilities, penalties, or significant mission impact.

NONE Org Level grading scale definitions

Not Graded:

The grade given to indicate that no AFI 90-201 grade was adequate.

DEFICIENCIES:

A validated deficiency assessed as **CRITICAL**, **Significant**, or **Minor**.

a. CRITICAL:

Any deficiency that results in, or could result in, widespread negative mission impact or failure.

b. Significant:

A validated deficiency that has or could have negative mission impact.

c. Minor:

A validated deficiency that does not meet the definition of a Critical or Significant Deficiency but requires corrective action.

RECOMMENDED IMPROVEMENT AREA (RIA):

An identified process, product, or capability which could be improved by a suggested course of action.

STRENGTHS:

An area that far exceeds compliance directives or mission requirements and/or expectations.

REPEAT DEFICIENCY:

A deficiency recorded on the most current inspection that still exists from the previous like-inspection. A deficiency resulting from failure to comply with the same guidance that has been noted on a previous inspection (including deficiencies from any limited or no-notice inspections) of the same installation/unit.

EXECUTIVE SUMMARY

08 March 2019

MEMORANDUM FOR HQ USAFA/CC

FROM: HQ USAFA/IG

SUBJECT: 2019 Sexual Assault Prevention and Response (SAPR) Program Annual By-Law
Inspection Results

HQ USAFA/IG completed an inspection of the United States Air Force Academy (USAFA) SAPR Program in accordance with AFI 90-201, *The Air Force Inspection System*, 20 November 2018, and the USAFA AY18/19 Inspection Plan. The purpose of this inspection is to provide the USAFA Superintendent, Vice Superintendent, and Sexual Assault Response Coordinator (SARC), an independent assessment of the By-Law compliance of this program. The Inspection occurred 10 December 2018 to 25 January 2019.

The overall grade for this inspection is **IN COMPLIANCE WITH COMMENTS** which indicates a program or operation does not comply with key elements of governing directives; significant deficiencies exist that could result in legal liabilities, penalties, or significant mission impact. Inspectors observed 14 Significant deficiencies and one Minor deficiency. Two of those deficiencies were repeat findings. Furthermore, inspectors made three Recommended Improvement Areas findings.

Organizational Management:

The HQ USAFA/SAPR office is still suffering from the effects of an entire change over in staff. USAFA, as a DRU and also a Military Service Academy with multiple wing-like entities, presents a challenge for new personnel to have an understanding of USAFA operations and operating procedures.

There is very little evidence that established roles and responsibilities at all levels of the SAPR program have been established or communicated to staff. Organizational management and strategic alignment of program from HQ-level to the two SARC offices do not have clear lines of effort or roles and responsibilities, leading to confusion and to low morale. USAFA leadership has hired and vetted highly qualified individuals to accomplish SAPR program functions, but have not provide the alignment and direction in USAFA's unique construct for these personnel to execute effectively. Offices of the HQ USAFA/SAPR are not co-located nor private. Additionally, HQ USAFA/SAPR leadership are not provided consistent and unified guidance to subordinates, resulting in frequent contradiction of each other's orders.

The HQ USAFA/SAPR office over the past year has gone through several phases of growth: first a transition team of three professionals; and then a new staff. The transition team performed the duties of nine positions that were all filled in Spring 2018. When the transitioning staff started, they concluded that they were starting from nothing because they found the office files to be missing, inaccurate or inadequate along with no established office policies and procedures to execute the SAPR mission or office administration for the unique construct of a Military Service Academy and a DRU. The highest priority was to ensure the continuum of care for victims was being accomplished in accordance with current guidance. They quickly made the SAPR office operational, but then moved their focus to changing the public perception of the office to ensure personnel would utilize services. In their haste, and while being over-saturated and under

resourced, the interim staff did not have time to codify processes or develop SOPs for applying SAPR to a unique organization with a unique mission. The lack of comprehensive onboarding/training to USAFA unique mission set further complicated the HQ USAFA/SAPR organizational management.

Exhausted/Fatigue:

Over the 18 months, the HQ USAFA/SAPR program has had to endure a high level of scrutiny through 11 inspections, assessments and inquiries by DOD, Air Force and local inspectors.

Process Operations:

SAPR continuum of care for victims is accomplished in accordance with laws and instructions with some discrepancies in documentation. Although documentation discrepancies are still apparent in open cases in DSAIDS and hard copy paper work, many of the discrepancies are from the previous SAPR office leadership.

The new staff was charged with changing the perception of the HQ USAFA/SAPR program and rebuild trust with the USAFA and community; this will continue to take time.

Communication:

Communication up, down and laterally throughout the organizations is not clearly communicated or disseminated to all levels as evidenced with the following examples: HAF/A1Z has not been provided curriculum for approval; Superintendent priorities on SAPR are not provided to staff; and inspections including USAFA/IG By-Law have not been communicated.

Most importantly, communication was not consistently provided up to leadership and to other helping agencies across USAFA, due to the lack of Community Action Team meetings being held or attended by the SARC.

GERALD P. SZYBIST, Col, USAF
US Air Force Academy Inspector General

INSPECTION SUMMARY

Table: United States Air Force Academy Unit Grade / Aggregate Totals

Org Abbrev	Inspected Organization	Unit Grade	Deficiencies							Strengths	RIAs
			Severity			HHQ/SA	Repeat	PFW&A	Unit Identified		
			Critical	Significant	Minor						
USAFA	United States Air Force Academy	Not Graded	0	14	1	0	2	0	0	0	3

Table: United States Air Force Academy Unit Item Grades / Summary Table

Index	SII / CII	Item	Grade	Deficiencies							Strengths	RIAs
				Severity			HHQ/SA	Repeat	PFW&A	Unit Identified		
				Critical	Significant	Minor						
2.7		Sexual Assault Prevention and Response Program	In Compliance with Comments	0	14	1	0	2	0	0	0	3
Totals:				0	14	1	0	2	0	0	0	3

INSPECTION RESULTS

United States Air Force Academy

By-Law Reporting

Sexual Assault Prevention and Response Program

**In Compliance with
Comments**

Grade/Summary:

The HQ USAFA SAPR office has been subject to eleven inspections and data calls over the past 18 months (DoD SAPRO three times, Air Force three times, DoD/IG two times, and USAFA/IG two times) and are preparing for another inspection mandated by DoD SAPRO executed by HAF/A1Z. This has caused inspection fatigue for the organization and also may be leading to ineffective organizational management practices throughout the program.

The USAFA Superintendent failed to publish a supplement outlining the duties and responsibilities associated with the Academy Response Team. While the updated AFI 36-3501, *United States Air Force Academy Operations*, 28 December 2018, was released during the inspection, a supplement was not established for the 10 years since the 2008 version of the AFI.

Deficiencies:

F.97224.4216750:

Severity: Significant

The Installation Commander did not ensure that the SARC participated in Community Action Board/Community Action Team (CAB/CAT) (formerly CAIB/IDS) meetings hindering senior leader updates and helping agency integration and collaboration efforts of prevention activities throughout USAFA. The CAT met four times during CY2018 and the SAPR office attended only two meetings, and in CY2017 the CAT met five times and the SAPR office attended none. Furthermore, as annotated in the IG inspection report for the HQ USAFA CAB/CAT 2018, USAFA fell short of the requirement to hold ten CAT meetings annually. "CABs and CATs are senior leader driven forums to identify and resolve quality of life issues impacting Total Force readiness. These forums incorporate and reinforce the CAF framework. They promote collaboration among helping agencies to reduce redundancies, identify gaps in service, and develop and implement local solutions to support the Total Force. The Air Force is committed to maintaining mission readiness through multi-agency collaboration and integration of programs and activities that address individual, family, and community concerns (e.g., resilience and violence prevention). Community Action Boards and Community Action Teams at all levels serve as dedicated and integrated forums that inform leadership of these concerns and identify solutions." (AFI 90-5001, paras 1.6 and 4.1.)

Reference: AFI 90-6001, *Sexual Assault Prevention and Response (SAPR) Program*, para 1.7.1.28.; AFI 90-5001, paras 1.6. and 4.1., and Table 4.1, *Installation Community Action Board; Required Attendees*

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193276:

Severity: Significant

The USAFA Commander did not ensure adequate guidance was provided to the HQ USAFA/SAPR program to execute its mission. Due to USAFA's unique mission as a Military Service Academy, accessions source with cadets and cadet candidates and being a military installation applying the DOD and Air Force guidance is confusing and requires local procedures to execute in this unique construct. There is no evidence of clearly communicated or developed local guidance, commander's intent, or standardized procedures and processes from the USAFA Superintendent or Vice Superintendent. Inspectors noted during ATIS-I interviews, the HQ USAFA/SAPR staff collectively have a large amount of SAPR experience however, applying those same experiences with USAFA's unique mission and organizational structure has been difficult and confusing at the mission execution level. Additionally, interviewees stated they do not know their roles and responsibilities nor do they know their leadership's.

Reference: AFI 1-2, *Commander's Responsibilities*, paras 3.3., 3.3.5., and 3.3.6.

OPR: HQ USAFA/CV

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193261:

Severity: Significant

The USAFA/CV, HQ USAFA/SAPR Program Manager and CW SARC have not effectively communicated or developed their vision, commander's intent or have a long term mission execution plan resulting in a lack of trust, unit cohesion and low morale. During interviews with all SAPR members from HQ-level to Victim Advocates (VA), nearly all stated the following: 1. There are no clear lines of communication up or down the chain of command. Members gave the following examples: HQ-level personnel contradict each other's guidance; there is no clear leader; they don't hold personnel accountable for their actions; there is no follow-through; and there are either no clear or ever changing priorities; 2. The HQ Staff offices are currently geographically separated and are not in private areas where phone conversations can be held; 3. HAF/A1Z additionally stated there is a lack of communication with the HQ USAFA/SAPR program.

Reference: AFI 1-2, paras 3., 3.2., and 3.2.1.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193249:

Severity: Significant

The HQ USAFA/SAPR Program Manager failed to establish processes and procedures to ensure the correct naming nomenclature of DD Form 2910_DSAID Control Number (not including hyphens) for cases when uploading into the DSAID system. Of the 21 cases reviewed, 80% had incorrect naming nomenclature.

Reference: AFI 90-6001, para 9.2.7.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193169:

Severity: Significant

The HQ USAFA/SAPR Program Manger failed to establish expectations. Multiple staff members stated that they did not receive any established expectations from SAPR Program Manager. The SAPR Program Manager led an offsite meeting to conduct training with team members, and presented then an expectations memo. However, the document was the Civilian Personnel Office (CPO) memo template for supervisors/commanders to adjust as applicable to their organizations/units. HQ USAFA/SAPR Program Manager failed to update the expectations memo with organization specific pertinent information: no expectation memos were signed or collected from the meeting. Additionally, on 19 Dec 18, USAFA/IG requested a follow-up for 21 Dec 18 to review all expectation memos in all SARCs, VAs and VVAs folders/records. On 21 Dec 18, there were no expectations memos in any SARC, VA or VVA folders/records. Instead, 10 ABW SARC showed inspectors the routing of all employee appraisal plans that were accomplished in Dec 18 during the inspection: the date signed was 20 Dec 18, which is the day after the request to review expectations memos in folders/record and day before USAFA/IG came to review.

Reference: DODI1400.25V431_AFI36-1002, *Performance Management and Appraisal Program Administration in the Air Force*, para i. (3) (Added)(AF); AFI 1-2, para 3.2.1.; USAFA Program Manager Position Description, Factor 3, *Supervisory and Managerial Authority Exercised*

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193212:

Severity: Significant

The HQ USAFA/SAPR Program Manager failed to establish office processes or procedures to ensure that the SARCs provided all victim information for SAIRO reports by an unrestricted report. Of the 21 unrestricted reports reviewed, 24% were either: missing dates (therefore unable to verify

report completion within required eight days); missing signatures; or lacking evidence of a SAIRO report submission.

Reference: AFI 90-6001, paras 3.8.1.1., 3.8.1.2., 3.8.2.2.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193223:

Severity: Significant

The HQ USAFA/SAPR Program Manager failed to establish process and procedures that ensure accuracy and completeness of DSAID data for populations assigned. Upon DSAID review of 36 cases (August 2017 - current) the following deficiencies were noted: 55% were missing investigation agency information, 35% were missing DoD ID Number, 15% were missing relationship to subject, 15% were missing subject information, 15% were missing Civilian Protective Order and Military Protective Order, 15% were missing victim demographics, 15% were missing relationship to subject, 11% were missing safety assessment, 11% were missing referral support, and 8% were missing forensic exam completion.

Reference: AFI 90-6001, paras 9.1., 1.5.5.3., 1.5.5.3.5., 2.3.2., and 2.3.2.14.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193290:

Severity: Significant

The HQ USAFA/SAPR Program manager has not provided clear organizational roles and responsibilities to the personnel of the USAFA/HQ, the USAFA/CW nor the 10 ABW SARC positions. Additionally, there are no clear lines of effort for functional level (MAJCOM, Wing, and Unit) accomplishment. The issue is evidenced by confusion over who, at what level, answers Congressional, DoD, Air Force, and USAFA taskings.

Reference: AFI 1-2, para 3.4.2.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193286:

Severity: Significant

The HQ USAFA/SAPR Program Manager has not developed a long term plan to align with USAFA's authorities and mission requirements so that the organization strives to meet the USAFA

strategic plan and vision.

Reference: AFI 1-2, para 3.4.1.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193176:

Severity: Significant

The HQ USAFA/SAPR Program manager failed to develop Corrective Action Plans (CAPs) for nine deficiencies (2016 Inspection), 15 deficiencies (2017 Inspection) and three deficiencies (2018 Inspection) in the Inspector General Evaluation Management System within the required 45 days for previous SAPR By-Law inspections. Six deficiencies from the 2017 inspection still do not have CAPs in place.

Reference: AFI 90-201, para 9.6.3.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193266:

Severity: Significant

"REPEAT DEFICIENCY"

The HQ USAFA/SAPR Program manager failed to have SAPR training curriculum content reviewed and approved from AF/CVS. Confirmed with HAF/A1Z on 25 January 2019.

Reference: AFI 90-6001, Table 7.1. *Courses and Requirements*, Notes 1 and 6

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193233:

Severity: Significant

The HQ USAFA/SAPR Program Manager failed to ensure the original DD Forms 2910 were stored IAW storage and privacy act laws. On two occasions, only copies of the DD Forms 2910 were being stored. While original forms are uploaded into DSAID, two original DD Forms 2910 are still missing from physical filing system.

Reference: AFI 90-6001, para 2.5.6.3.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193205:

Severity: Significant

The HQ USAFA/SAPR Program Manager failed to ensure SARCs remove protected information on sexual assault incidents when reported to the installation commander for restricted and unrestricted reports using the 24 Hour Notification template. Of the 30 restricted reports reviewed, 23% contained protected information (victim and/or alleged assailant status).

Reference: AFI 90-6001, paras 3.7.1.1., 3.7.1.1.1.6, and 3.7.1.1.1.7.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193191:

Severity: Significant

"REPEAT DEFICIENCY"

The HQ USAFA/SAPR Program Manger failed to verify military enlisted VVA records were updated with SEI code 003 following successful VVA training and D-SAACP credentialing completion. One of six VVA records did not reflect the VVA SEI code 003. The SAPR team coordinated with HQ USAFA/CSS and has a signed memorandum from CSS stating that six VVAs have SEI code 003. However, 10 ABW/FSS records review confirmed that one VVA did not have the SEI code 003. Certified SARCs, VAs and VVA roster was provided by the SAPR staff and compared to CCS signed memorandum stating six members all have the SEI code in their records, which was also provided by the SAPR staff. One VVA did not have SEI code in their record.

Reference: AFI 90-6001, para 2.10.2.2.

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

F.97224.4193196:

Severity: Minor

The HQ USAFA/SAPR Program Government Purchase Card (GPC) Approving Official (AO) did not have copies of initial and refresher training certificates in the approving official personnel file. Courses CLM003 and CLG 006 are an annual requirement. Courses CLM 023 and CON 237 are an initial requirement of one time accomplishment. The 10 CONS/GPC Office does not have any certificates/verification of the SAPR Program AO completing the four courses in their records.

Reference: AFI 64-117, *Government Purchase Card Program*, para 4.2

OPR: HQ USAFA/CVS

Functional / SME OPR: HQ USAFA/CVS

Functional Area: A1 (Manpower, Personnel and Services)

Recommended Improvement Areas:

Recommend, that the HQ level SAPR personnel are co-located to ensure unity of effort and clear communication to SAPR offices.

Functional Area: A1 (Manpower, Personnel and Services)

Recommend that the HQ USAFA/SAPR Program Manager develop a process to annually review USAFA/CC program intent, develop curriculum and receive approval from HAF/A1Z as prescribed by the Air Force Instruction.

Functional Area: A1 (Manpower, Personnel and Services)

Recommend that the following positions roles are clearly defined and explained to all levels of the USAFA SAPR office: Program Manager/Lead SARC, Deputy Program Manager, Program Analyst, and Deputy SARC.

Functional Area: A1 (Manpower, Personnel and Services)

REPLY INSTRUCTIONS

USAFA/CVS is responsible for accomplishing the following by the dates provided:

- **14 Mar 19:** Appoint Inspector General Evaluation Management System (IGEMS) Administrator (One year retainability and access to the Organization CC or DS)
 - E-mail HQ USAFA/IG org mail box with your POC's name and contact info (Full Name, Rank e-mail and Phone)
 - HQ USAFA/IG will provide access forms, training and slides for the IGEMS ADMIN for process completion
- **28 Apr 19:** Update Root Cause Analysis (RCA), Deficiency Cause Codes (DCC), Corrective Action Plans (CAP) for each deficiency assigned to your unit
- **Monthly:** Provide updates on CAPs and closure status to the Commander Inspection Management Board for assigned deficiencies

Note 1: Minor deficiency will be closed at the unit level

Note 2: Significant/Critical deficiencies will be closed by the HQ USAFA/IG and local FAMs

TEAM COMPOSITION

DRU Inspection Division Chief	Col Gerald Szybist
DRU Inspection Team Chief	Mr. Scott Anderson
DRU Inspection Team Administrator	MSgt Melissa Smith
DIT Member	Maj Carlenn Trunkhill
DIT Member	2 nd Lt Benjamin VanDenBroeke
DIT Member	TSgt Richard Mahan

DISTRIBUTION LIST

HQ USAFA/CC
HQ USAFA/CV
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USAFA/CW
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USAFA/PL
10 ABW/CC
306 FTG/CC
USAFA/CVS

KEY PERSONNEL

Lt Gen Jay B. Silveria
Col Huston R. Cantwell
Mrs. Gail B. Colvin
Col Gerald P. Szybist
Dr. Trevin Campbell

ACRONYMS

AO-----Approving Official
ATIS-I-----Airman to IG Session - Interview
CSS-----Commander Support Staff
DRU-----Direct Reporting Unit
D-SAACP----Defense Sexual Assault Advocate Certification Program
DSAID-----Defense Sexual Assault Incident Database
GPC-----Government Purchase Card
IAW-----In Accordance With
IG-----Inspector General
IGEMS-----Inspector General Evaluation Management System
SAIRO-----Sexual Assault Incident Response Oversight Report
SAPR-----Sexual Assault Prevention and Response
SARC-----Sexual Assault Coordinator
SEI-----Special Experience Identifier
VA-----Victim Advocate
VVA-----Volunteer Victim Advocate

Inspected Organization Description	Inspection Name	Inspection Title	Inspection Start Date	Inspection End Date	Inspection Finalize Date	Deficiency Close Date	Deficiency Description	Deficiency Status	Deficiency Severity	OPR	Countermeasure ECD	Countermeasure OPR	Countermeasure Status	Countermeasure Text
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	11-Jan-19	The SARC did not ensure that Restricted Report Case Numbers (RRCN) was assigned to all restricted cases. Inspectors reviewed 6 case files and no RRCN numbers were assigned. Inspectors reviewed additional cases and noted that only cases with a Sexual Assault Forensic Exam (SAFE) Kit had RRCNs assigned to them. Additionally, the RRCN was not updated on the DD Form 2910 or in the DSAIDS database to ensure that each kit could be easily correlated to the correct victim.	Closed	Minor	USAF/AVS	14-Feb-17	USAF/AVS	Complete	Current Staff has addressed the deficiency and is meeting all requirements as outlined in the instruction. The SARCs assign RRCNs as the restricted cases come in. The deputy SARC has created a tracker which is maintained in a secured file located on the O drive. Additionally, quarterly inspections are administered to ensure compliance. This is not a requirement within DSAID to submit an RRCN.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	22-Aug-18	The SARC does not provide monthly victim case updates to the MAJCOM SARC and Installation Commander (Superintendent) as required by Air Force instruction.	Closed	Minor	USAF/AVS	22-Aug-18	USAF/AVS	Complete	Both installation SARCs conduct a weekly meeting that the MAJCOM/Lead SARC attends for any updates. These updates will be passed along by the MAJCOM/Lead SARC to the USAFA/CV during a biweekly meeting that is now regularly scheduled. The SARCs also provide updates to the USAFA/CC or CV during the Unrestricted CMGs. Additionally the SARCs conduct a monthly Restricted case CMG prior to the Unrestricted case CMG with the MAJCOM/Lead SARC to conduct any updates on those cases. Furthermore, the installation SARCs now attend the 10 ABW and CW weekly staff meetings to relay any necessary information to the 10 ABW/CC and the Commandant. SARCs comply with para 2.5.4.1 in DSAID. If SARCs do not comply with para 2.5.4.2., they have entered a MFR in the case folder explaining why they were unable to comply. SARCs ensure all DD 2965s are shredded after entering data into DSAID. SARCs have had one transfer case and did comply with para 2.5.4.4.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	22-Aug-18	The Case Management Group (CMG) Co-Chair does not include a list of people who attend the CMG in DSAIDS, nor does he/she input issues discussed pertaining to the victim care on each case in accordance with the SAPR instruction. Currently, only a shell for each month CMG has been created but there is no data maintained within it.	Closed	Minor	USAF/AVS	22-Aug-18	USAF/AVS	Complete	As of Nov 17, all minutes are now loaded via MFR on the shared drive and also loaded on DSAID. Staff implemented a SOP to have two full time staff members take notes and populate the CMG MFR template while the cases are being discussed and then immediately updating those respective case numbers in DSAID. We can provide IG an example of the CMG minutes for reference. Paragraph 1 implies what is discussed with every case during the CMG: "reviewed individual cases, directed system coordination, assessed victim access to quality services and evaluated installation sexual assault trends". Paragraph 1.b outlines the cases discussed using DSAID case number, the CC in attendance and the VA in attendance for each victim.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	12-Sep-18	The CMG chair does not ensure that the victim's commander is reporting follow-up actions (status of investigative, legal or advocacy items discussed at the CMG) to the CMG Co-chair within 72 hours of completion of the CMG IAW the Health Insurance Portability and Accountability Act and the Privacy Act. This continues to occur even after the SAPR office provides a checklist to victim's commanders that list what they are required to accomplish within 72 hours of the CMG.	Closed	Significant	USAF/AVS	22-Aug-18	USAF/AVS	Complete	SAPR staff created a controlled document that is disseminated to pertinent CMG attendees while discussing a case. The template includes what was discussed pertinent information regarding each case to include whether or not the CC complied with the 72 hr follow up with the victim. If the CC did not comply, the SARC will ensure it is verbalized to the CMG chair and the CC for an on the spot correction. Currently all CCs are complying and there are no repeat non compliance issues, but if so, the CMG chair and co-chair would notify the CC's immediate supervisory chain. Additionally the CMG co-chair still provides a checklist as a friendly reminder to the CCs following the case discussion. Furthermore, the staff keeps all email responses from CCs for tracking purposes in the USAFA/SAPR email folder.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	12-Sep-18	Respondents rated office morale, focusing upon July- September 2016, on a scale from 1-10 with 1 being low morale to 10 being high morale; the average rating was 2. Respondents attributed the low morale to a lack of leadership oversight and accountability of peers. Respondents stated that leadership does not make timely decisions and allows problems to fester until the office is going in different directions. Additionally, many respondents stated the work environment was unprofessional and disliked or were fearful of coming to work due to a perceived hostile work environment. Respondents also rated office morale, focusing upon October- December 2016, on a scale from 1-10 with 1 being low morale to 10 being high morale; the average rating was 4.2. Respondents still attributed the low morale to a lack of leadership oversight and accountability of peers. However, most stated that there has been an improvement in morale due to a recent leadership change. Additionally, respondents believe the problems are deep-rooted due to years of a negative environment and are uncertain of how to implement a long-term solution.	Closed	Significant	USAF/AVS	3-Dec-18	USAF/AVS	Complete	In addition to a new staff on board, USAFA/AVS recently submitted a response to the most recent Board of Visitors (BoV) and part of it was a SAPR climate oversight plan. Within this plan the staff recommended quarterly off sites for external team development assistance as well as team bonding lunches (TBLs). The staff also recommended a climate review of the office bi-annually with USAFA/IG. Additionally, the staff would like to look into coordinating with the Office of People Analytics (OPA) for the inclusion feedback questions that involve the perceptions and experiences with the SAPR program in the Service Academy Gender Relations survey that happens every other spring. Finally the staff would like to explore the idea of incorporating a survivors experience survey at the conclusion of a survivor's work with SAPR.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	12-Sep-18	Without exception, the entire SAPR office felt no collaboration between SARC, VA, and VVAs. This discord was worsened by the absence of routine after action reviews/hot washes as well as no forums to discuss lessons learned from unique case(s) or circumstance(s).	Closed	Significant	USAF/AVS	3-Dec-18	USAF/AVS	Complete	New staff is in place. Additionally the SARCs have a weekly meeting to discuss cases and admin. There is a weekly staff meeting that also includes HQ staff to discuss any taskers, admin or specific cases as necessary. Would also refer to deficiency #F.74771.3114837 since a lot of the causal factors for the disorganization with prior staff resulted from a poor work climate.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	12-Sep-18	The SARC did not ensure that the SAPR program was sufficiently publicized to the installation. Inspectors also conducted interviews with a variety of Mission Element officers, enlisted members, civilians, and cadets (all class years) focusing on general USAFA SAPR Program awareness. Inspectors noted the following results: 38/53 respondents did not know the SARC hotline number; 26/53 respondents did not know where the SAPR office was located; 18/53 respondents were not sure who could seek services; 2/53 respondents stated that they would not feel comfortable using SAPR services; and 5/53 were unsure if they would or not use SAPR services.	Closed	Significant	USAF/AVS	30-Aug-18	USAF/AVS	Complete	SAPR has a flyer that they coordinated with safety to disseminate to all CC boards along with the safety info (currently working on a new one with base graphics for the community center office). Additionally, SAPR created a bimonthly newsletter titled "workshop wisdom" to help get the word out regarding the new staff and how to contact us. Also, the SAPR staff is sending out quarterly reminders to the entire base to conduct CC talking points which also briefs the unit on mandatory topics to include where the staff is, who they are, how to call, how to report, etc. Moreover, SAPR is now handing out helping agency cards at every mandatory brief we conduct as well as any time we have a booth at an event. Finally, SAPR has invested in outreach and awareness items that will all contain the hotline phone number for USAFA.
United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	18-Sep-18	SAPR paperwork (DD Form 2910, Victim Reporting Preference Statement and data input into the DSAID database was reviewed over a 6 month period. The inspector noted a definite improvement in DD Form 2910 completion/thoroughness documentation and input over the period covering October 2016 - December 2016, yet there is still major progress required due to forms being illegible, sloppy and incomplete. The inspector stated that some of these documents should be re-completed. The DD Form 2910 is also utilized by victims to seek benefits/services once they leave the military. If these documents are not appropriately completed or legible, victims may encounter difficulty obtaining future services.	Closed	Significant	USAF/AVS	30-Aug-18	USAF/AVS	Complete	SAPR created a VVA on call checklist to help standardized filling out all required forms/documents when completing an intake. Staff also reviewed and standardized how forms will be organized and a process to follow up with missing items within a case file. Staff reviewed all case files for the last three academic years to annotate missing documents and standardized where able.

United States Air Force Academy	DRU:CCIP.USAF.74771	SAPR Dec 2016 By-Law Inspection	5-Dec-16	9-Dec-16	25-Jan-17	12-Sep-18	During interviews of SAPR office employees, inspectors discovered the following: employees felt that there is unclear/inconsistent handling of employee discipline; leadership does not hold personnel accountable for their actions nor do they see a change in the person's behavior and performance when actions are taken; there is little senior leadership presence or visits; and there is uncertainty of the HQ Staff SAPR roles and responsibilities.	Closed	Significant	USAF/ CV	31-Mar-17	USAF/ CV	Complete	In addition to a new staff on board, USAFA/CVS recently submitted a response to the most recent Board of Visitors (BoV) and part of it was a SAPR climate oversight plan. Within this plan the staff recommended quarterly off site for external team development assistance as well as team bonding lunches (TBLs). The staff also recommended a climate review of the office bi-annually with USAFA/G. Additionally, the staff would like to look into coordinating with the Office of People Analytics (OPA) for the inclusion feedback questions that involve the perceptions and experiences with the SAPR program in the Service Academy Gender Relations survey that happens every other spring. Finally the staff would like to explore the idea of incorporating a survivors experience survey at the conclusion of a survivor's work with SAPR.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	19-Sep-19	In July 2017, a temporary SARC was assigned. Upon arrival, the temporary SARC found 222 unrestricted and restricted cases entered in the Defense Sexual Assault Incident Database (DSIAD) that were incomplete or inaccurate. During the temporary SARC's four months in the office, 147 cases were updated and corrected with assistance from OSI and the Military Personnel Section. The 75 remaining open cases are still awaiting closure and obtaining the information to close the cases is not as readily available.	Closed	Significant	HQ USAFA/CVS	11-Feb-19	HQ USAFA/CVS	Complete	To address the deficiency that was found in July 2017 by the temporary SARC that was assigned. Upon arrival, the temporary SARC found 222 unrestricted and restricted cases entered in the Defense Sexual Assault Incident Database (DSIAD) that were incomplete or inaccurate. During the temporary SARC's four months in the office, 147 cases were updated and corrected with assistance from OSI and the Military Personnel Section. The 75 remaining open cases are still awaiting closure and obtaining the information to close the cases is not as readily available. As of 11 FEB 2019 the initiative to close cases in DSIAD is still in progress. 25/75 cases have been closed. The CW SARC is continuing coordinating efforts between OSI, JA and the AF DSIAD contract representative. Expected date of completion is May 2019. Update SAPR is moving forward with the process to close cases. Currently, SAPR has about 9 cases left to close before this deficiency has been completely addressed. SAPR is working HAF to address the remaining open cases.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	30-Jan-19	HQ USAFA/G inspectors found that from January to June 2017, 7 of the 8 cases reviewed were not loaded into DSAIDs within the mandatory 48 hours. Inspectors also reviewed 4 cases since July 2017 and found all cases were opened in DSAIDs within the 48 hour timeline.	Closed	Significant	HQ USAFA/CVS	17-Jan-19	HQ USAFA/CVS	Complete	Current SAPR SARCs ensure compliance as required per AFI 90-6001, para. 1.4.13. Systems have been established to ensure compliance is met per AFI requirements. Four cases since July 2017 were inspected and it was confirmed all cases were opened in DSAIDs within the 48 hour timeline. SARCs currently ensure that all cases are created in DSIAD within the 48hr timeline. Per AFI 90-6001, para. 1.4.13. For previous cases that missed the 48hr timeline requirement, an MFR has been developed and the record is kept in the individual case file. Record reviews have been established on a quarterly basis to ensure compliance requirements have been met.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	19-Sep-19	SAPR program guidance requires the CMG review monthly open individual unrestricted cases. However, only 10 of the 85 active open unrestricted cases are being discussed monthly at the CMG. The 75 cases not being discussed have all been determined to be closed by the CMG. However, due to documentation being inaccurate or incomplete, the SAPR office is unable to physically close these cases in DSAIDs since they do not meet the specified program parameters.	Closed	Significant	HQ USAFA/CVS	11-Feb-19	HQ USAFA/CVS	Complete	This deficiency is still being resolved. The Deputy SARC now tracks how many cases are actually open for discussion in the CMG. CMG meeting minutes document an accurate account of cases. Minutes can be found in DSIAD and via monthly memos on the SAPR O: Drive. This deficiency should be resolved with the closure of the remaining 50 cases in DSIAD. SAPR currently has 9 cases left to officially close in DSIAD. An MFR has been drafted with the cases that are not being discussed in the CMG. USAFA SAPR is working closely with HAF to close the remaining cases. This deficiency is ready to close with SAPR continuing to work with HAF/A1Z to close the remaining 9 cases.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	30-Jan-19	The CMG Co-Chair did not ensure that the VVA's attended or provided verbal updates at the monthly CMG from Jan - Jun 2017. At least one VVA has attended every month from July to November 2017. All VVAs with open cases are required to attend the CMG monthly, however not all VVAs have attended the CMG or provided case updates to the SARC to be briefed.	Closed	Significant	HQ USAFA/CVS	17-Jan-19	HQ USAFA/CVS	Complete	This significant deficiency has been corrected by utilizing a new version of CMG minutes MFR. In addition, the DSIAD database will reflect whether or not the VVA attended. The CMG Meeting minutes will also include if the verbal update was given. Please see example titled CMG Meeting Min - Jul which shows what is loaded into DSIAD for each respective case.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	28-Jan-19	The CMG Co-Chair, prior to July 2017, did not maintain CMG meeting minutes or place them in DSAIDs as prescribed by SAPR guidance. Also, minutes from the March 2017 and April 2017 CMGs were not taken. For May 2017 and June 2017, there were paper copies of the minutes, but they were not uploaded into DSAIDs.	Closed	Significant	HQ USAFA/CVS	15-Jan-19	HQ USAFA/CVS	Complete	This deficiency from the previous staffs lack of attention to detail has been resolved by SAPR staff implementing a SOP to the CMG MFR template while the cases are being discussed. SAPR staff then follow up by uploading required CMG minutes to DSIAD as prescribed SAPR guidance. This is verified by quarterly records review.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	17-Jan-19	Prior to July 2017, the SARC failed to ensure all restricted reports were assigned a RRCN and did not annotate the DD Form 2910s. HQ USAFA/G inspectors found 10 files for AY2017, 21 files for AY2016 and 17 files for AY2015 without a RRCN assigned.	Closed	Significant	HQ USAFA/CVS	16-Jan-19	HQ USAFA/CVS	Complete	New SAPR staff reviewed the past three academic years for DD 2910s with RRCNs annotated. If it was annotated, we updated the label with the RRCN as well. All AY17-18 and AY 18-19 cases have an RRCN if applicable on the case file label and DD 2910. We will not add RRCNs to DD 2910s that we had no documentation on due to the potential conflict it may create with conflicting RRCNs that may have been assigned if a SAFE kit was accomplished. Additionally, that same number is used for the OSI database. If we were to go back and arbitrarily assign RRCNs at this point, we may be doing more harm than good. We will remain in compliance since the new staff came into place as of Jul 2017.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	17-Jan-19	The SARC office could not provide evidence that they are meeting with the VVAs primary supervisor annually to ensure the VVA's roles are not negatively impacting their duty performance.	Closed	Minor	HQ USAFA/CVS	17-Jan-19	HQ USAFA/CVS	Complete	Due to the previous SAPR staff's lack of attention to detail, the SARC office could not provide evidence that they are meeting with the VVAs primary supervisor annually to ensure the VVA's roles are not negatively impacting their duty performance. To correct this deficiency, current SAPR staff have developed an MFR for SAPR Volunteer Victim Advocate Annual Supervisor review that is completed per AFI guidance. This process is completed annually as required. Record reviews are completed on a quarterly basis to ensure that this requirement is met.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	13-Jan-19	Prior to July 2017, the SARC did not submit required documentation to the Military Personnel Section on VVAs who have received their D-SAACP certification to update their Special Experience Identifier in MILPDS. 4 of 5 VVA's do not have an SEI in MILPDS.	Closed	Minor	HQ USAFA/CVS				
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	9-Jul-19	The VVAs records were incomplete or no records were found for those VVAs who were screened, trained and certified prior to July 2017.	Closed	Significant	HQ USAFA/CVS	13-Feb-19	HQ USAFA/CVS	Complete	SAPR VVA records that were incomplete and lost prior to July 2017 can't be recovered. The current SAPR staff have developed procedures to meet AFI 90-6001 SAPR VVA policy requirements. Potential SAPR VVA's fill out an application, a supervisor agreement, proof of required background check before receiving the required SAPR VVA forty hour training. After successful completion of training and an interview conducted by SAPR staff, DD Form 2950 is completed by the applicant and submitted for D-SAACP certification by NOVA as required by AFI 90-6001 and DODI 6495.02 instructions. After D-SAACP certification and before utilization as a USAFA SAPR VVA an SEI code secured and a follow up meeting by SAPR staff is required. USAFA SAPR staff maintain records of certification and additional training on the O:drive.

United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	1-Aug-19	Prior to July 2017, the SARC did not ensure that all SAPR VVA's were screened appropriately. HQ USAFA/IG inspectors found a firefighter who was accepted and received credentialing as a VVA; however, firefighters are not allowed to serve as VVAs due to the potential of legal, professional or community conflicts of interest.	Closed	Significant	HQ USAFA/CVS	30-Jan-19	HQ USAFA/CVS	Complete	To address this deficiency, current SAPR staff have developed a process to ensure that potential SAPR VVA's are screened appropriately. This includes an interview by the SARC prior to initial SAPR VVA training. This interview addresses the potential SAPR VVA's appropriateness for the SAPR program. An application is completed and a statement of understanding is signed by the SAPR VVA's supervisor. To meet DOD 6592.02 and AF1 90-6001 requirements, D-SAACP certification is required prior to assuming SAPR VVA duties. SAPR staff addressed the deficiency that HQ USAFA/IG inspectors found on the firefighter who was accepted and received credentialing as a VVA. This correction was handled by a waiver that was submitted and approved by HAF/A1Z. The waiver is on file on the SAPR O; drive. The waiver was verified by HQ USAFA IG during the DEC 2018 inspection.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	3-Jul-19	Inspectors could not verify that courses from Table 7.1, Courses and Requirements were reviewed by AF/CVS as required by Air Force guidance. Specifically, Line Item 22 in reference to USAFA Preparatory School, Line item 23 in reference to USAFA Basic Cadet or Line item 24 in reference to USAFA Cadet 1-4.	Closed	Significant	HQ USAFA/CVS	11-Feb-19	HQ USAFA/CVS	Complete	To address this significant deficiency, the USAFA SAPR Program Manager and SAPR staff are currently working with AF/CVS to have all course material and requirements from Table 7.1, reviewed by AF/CVS as required by Air Force guidance. Specifically, Line item 22 in reference to USAFA Preparatory School, Line item 23 in reference to USAFA Basic Cadet or Line item 24 in reference to USAFA Cadet 1-4. Table 7.1. This is currently an ongoing process.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	9-Jul-19	The last USAFA/CVS File Plan with a date modified of 27 Feb 17 is incomplete and only contains File 1, Files Maintenance and Disposition. Without a File Plan, the office can not verify the following: a. is access restricted on electronic folders containing sensitive/Privacy Act (PA) data using controlled password and/or group permissions, b. records are managed IAW the Records Disposition Schedule, c. the office file plan is maintained within AFRIMS or if electronic and paper records are established, d. files have been reviewed at least annually, cutoff according to the records disposition schedule, and separated active from inactive; e. thorough office-wide searches for all data calls to include active and inactive, physical and electronically sorted final and draft documentary materials both classified and unclassified has been accomplished, e. a review of permissions on the O:Drive files and folders and f. if the office has essential records and a disaster response plan.	Closed	Significant	HQ USAFA/CVS	4-Apr-19	HQ USAFA/CVS	Long Term	The USAFA SAPR office is currently in the process of transitioning to a new Records Custodian. A new File Plan has been submitted and requires the incoming Records Custodian to be fully trained to approve the new File Plan and adhere to all record-keeping requirements. The training was accomplished 27 MAR 19. Group permissions are currently utilized to limit access to electronic records folders. All files are being maintained per instructions AFMAN 33-363, para 6.1.1.4.6.2, 4.4., and 2.1.2.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	30-Jan-19	Training requirements listed in AF1 90-6001, Table 7.1. that are required to be accomplished by the SAPR office, could not be validated by inspectors. Training rosters for the past two years were not retained by the SAPR office. This training includes but is not limited to: Annual, Accessions, FTAC, Newcomers, Commanders, Post Deployment, Responders, CMG, Prep School & SAPR VA/VVA training.	Closed	Critical	HQ USAFA/CVS	10-Jan-19	HQ USAFA/CVS	Complete	While the previous training records can not be provided or recovered. The new SAPR staff have implemented measures to address this deficiency. The 10ABW SARC has ensured that all training listed on AF1 0-6001, Table 7.1 has been accomplished. The training is tracked using a documentation tool available on the SAPR drive, all facilitators have the ability to document/track personnel trained. When applicable, training rosters have been provided by a POC and saved on the SAPR drive. Quarterly records checks are implemented and documented. Furthermore, HAF SAPRO requires that training data be sent to their office on a quarterly rotation. The USAFA SAPR program is within compliance and has provided all requested training rosters/data for verification.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	14-May-19	The HQ USAFA/CC did not ensure annual SAPR Training (Green Dot & SAPR Talking Points) were provided in its entirety to USAFA. The 12 Months of Commanders talking points for CY2017 were not administered throughout USAFA to meet mandatory annual training guidance in DoDI 6495.02 and AF/CVS. Additionally, there is no documented waiver excluding the annual SAPR training for Cadets and Cadet Candidates; inspectors found both these populations did not receive any of the annual SAPR training.	Closed	Critical	HQ USAFA/CC	4-Apr-19	HQ USAFA/CC	Complete	The USAFA SAPR office has ensured that Commanders Talking Points/SAPR Annual Training have been administered to USAFA permanent personnel. A tracking tool located on the USAFA SharePoint was created by the office. This tool allows Commander's and their units the ability to update the SAPR office upon completion. Commanders are sent quarterly reminders via TMT. -USAFA Resource guide has been reviewed to ensure compliance with both policy and law. This resource includes commander's talking points for commanders and AOC to utilize. HAF/A1Z and legal are currently reviewing the USAFA Resource guide to ensure that it meets compliance on all required points. The USAFA Resource Guide will be utilized as reference to help Commander's and AOC meet Commander's Talking Point requirements. - USAFA cadets have also received SAPR annual training which is outlined in table 7.1. The offices collect training rosters and all attendance numbers are updated utilizing another tracking tool located on the SAPR drive. Prior to 2017, approved Green Dot curriculum had not been provided for Cadets to meet this requirement. HAF A1Z will be here on 11/12 APR 2019 for final review and approval on Alteristic previously known as Green Dot training. This approved and required training will be utilized for the upcoming academic year. Cadet Candidates receive annual Alteristic training previously known Green dot training as required to meet requirements.
United States Air Force Academy	DRU:CCIP.USAF.86592	SAPR Dec 2017 By-Law Inspection.	4-Dec-17	15-Dec-17	1-Feb-18	16-Jan-19	The SARC is not directly supervised by the Installation Commander or the Deputy Installation Commander IAW DODI 6495.02. The USAFA SARC is currently supervised by the SAPR Program Manager.	Closed	Critical	HQ USAFA/CC	13-Jan-19	HQ USAFA/CC	Complete	This deficiency has been rectified. The USAFA SAPR Program Manager/ Lead SARC position description was corrected and implemented to be directly supervised by the installation commander. This was immediately corrected in 2018 in conjunction with the USAFA civilian personnel office (CPO). The USAFA SAPR Program Manager/ Lead SARC position description was corrected in 2018 in conjunction with input and assistance from the USAFA civilian personnel office (CPO). A copy of the job description has been provided. In addition, the USAFA SAPR organizational chart has been provided to IG to highlight the correction.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	24-Sep-19	The HQ USAFA/SAPR Program Manger failed to establish expectations. Multiple staff members stated that they did not receive any established expectations from SAPR Program Manager. The SAPR Program Manager led an offsite meeting to conduct training with team members and presented then an expectations memo. However, this document was the Civilian Personnel Office (CPO) memo template for supervisors/commanders to adjust as applicable to their organizations/units. HQ USAFA/SAPR Program Manager failed to update the expectations memo with organization specific pertinent information: no expectation memos were signed or collected from the meeting. Additionally, on 19 Dec 18, USAFA/IG requested a follow-up for 21 Dec 18 to review all expectation memos in all SARC, VAs and VVAs folders/records. On 21 Dec 18, there were no expectations memos in any SARC, VA or VVA folders/records. Instead, 10 ABW SARC showed inspectors the routing of all employee appraisal plans that were accomplished in Dec 18 during the inspection: the date signed was 20 Dec 18, which is the day after the request to review expectations memos in folders/record and day before USAFA/IG came to review.	Closed	Significant	HQ USAFA/CVS	25-Apr-19	HQ USAFA/CVS	Complete	To address this deficiency, SAPR Program Manager will provide updated SAPR Personnel Expectations Memo with SAPR office specific information to all staff members. A signed copy of expectations memo from each employee will be placed in respective employees' folder. The SAPR Personnel Expectations memo covers; SAPR/VPI CIVILIAN EMPLOYEE EXPECTATIONS / PHILOSOPHIES /WAY AHEAD. Current staff members will be required to sign and it will be placed in their personnel files. The supervisor will review with each employee. The SAPR Personnel Expectations Memo will be given to and reviewed with new employees upon in processing. Copy of SAPR Personnel Expectations Memo has been forwarded to IG.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	19-Sep-19	The HQ USAFA/SAPR Program manager failed to develop Corrective Action Plans (CAPs) for nine deficiencies (2016 Inspection), 15 deficiencies (2017 Inspection) and three deficiencies (2018 Inspection) in the Inspector General Evaluation Management System within the required 45 days for previous SAPR By-Law inspections. Six deficiencies from the 2017 inspection still do not have CAPs in place.	Closed	Significant	HQ USAFA/CVS	24-Apr-19	HQ USAFA/CVS	Complete	To address this deficiency, the HQ USAFA/SAPR Program manager has initiated processes to track and address IG deficiencies. To ensure that Corrective Action Plans (CAPs) are developed within the required 45 day timeline, the HQ USAFA/SAPR Program Manager has appointed the 10ABW/Prep School SARC as the lead in working with the HQ USAFA/ SAPR Program and HQ USAFA/IG to develop appropriate Corrective Action Plans (CAPs). All previous deficiencies now have a Corrective Action Plan (CAP) in place and the most current deficiencies will have Corrective Action Plans (CAPs) submitted within the 45 day timeline as required.

United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	19-Sep-19	The HQ USAFA/SAPR Program Manager failed to verify military enlisted VVA records were updated with SEI code 003 following successful VVA training and D-SAAP credentialing completion. One of six VVA records did not reflect the VVA SEI code 003. The SAPR team coordinated with HQ USAFA/CSS and has a signed memorandum from CSS stating that six VVAs have SEI code 003, however 10 ABW/FSS records review confirmed that one VVA did not have the SEI code 003. Certified SARCs, VAs and VVA roster was provided by the SAPR staff and compared to CCS signed memorandum stating six members all have the SEI code in their records, which was also provided by the SAPR staff. One VVA did not have SEI code in their record.	Closed	Significant	HQ USAFA/CVS	30-Aug-19	HQ USAFA/CVS	Complete	To address this deficiency, the HQ USAFA/SAPR Program Manager has instituted processes to verify military enlisted VVA records were updated with SEI code 003 following successful VVA training and D-SAAP credentialing completion. Once a VVA is successfully trained and D-SAAP certified and the HQ USAFA/SAPR Program is ready to utilize that SAPR VVA's services as a volunteer victim advocate, the SAPR team will then coordinate with the HQ USAFA/CSS to ensure that the VVAs records reflecting the VVA SEI code 003. To ensure that all active HQ USAFA/SAPR VVAs have been coded with the SEI code 003, the appointed SAPR Records Manager will conduct annual checks with HQ USAFA/CSS.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	23-Apr-19	The HQ USAFA/SAPR Program Government Purchase Card (GPC) Approving Official (AO) did not have copies of initial and refresher training certificates in the approving official personnel file. Courses CLM003 and CLG 006 are an annual requirement. Courses CLM 023 and CON 237 are an initial requirement of one time accomplishment. The 10 CONS/GPC Office does not have any certificates/verification of the SAPR Program AO completing the four courses in their records.	Closed	Minor	HQ USAFA/CVS	23-Apr-19	HQ USAFA/CVS	Complete	All records have been updated. HQ USAFA/SAPR office has a new trained SAPR Program AO. The HQ USAFA/SAPR Program Government Purchase Card (GPC) Approving Official (AO) did not have copies of initial and refresher training certificates in the approving official personnel file. Courses CLM003 and CLG 006 are an annual requirement. Courses CLM 023 and CON 237 are an initial requirement of one time accomplishment. The 10 CONS/GPC Office does not have any certificates/verification of the SAPR Program AO completing the four courses in their records. Copies of records have been forwarded to the 10 CONS/GPC office.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	30-Aug-19	The HQ USAFA/SAPR Program Manager failed to ensure SARCs remove protected information on sexual assault incidents when reported to the installation commander for restricted and unrestricted reports using the 24 Hour Notification template. Of the 30 restricted reports reviewed, 23% contained protected information (victim and/or alleged assailant status).	Closed	Significant	HQ USAFA/CVS	30-Aug-19	HQ USAFA/CVS	Complete	The HQ USAFA/SAPR Program Manager addressed this deficiency by conducting additional training. The HQ USAFA/SAPR Program Manager emphasized the importance of following required guidance in ensuring that protected information for both victim and/or alleged assailant status was not disclosed on the 24 Hour Notification template. In addition, quarterly records checks are being conducted to ensure that 24 Hour Notification templates are in compliance as required by DOD and AFI instructions
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	19-Aug-19	The HQ USAFA/SAPR Program Manager failed to establish office processes or procedures to ensure that the SARCs provided all victim information for SAIRO reports by an unrestricted report. Of the 21 unrestricted reports reviewed, 24% were either missing dates (therefore unable to verify report completion within the required eight days), missing signatures, or lacking evidence of SAIRO report submission.	Closed	Significant	HQ USAFA/CVS	23-Apr-19	HQ USAFA/CVS	Complete	The HQ USAFA/SAPR Program Manager has developed office processes and procedures to address this deficiency. The HQ USAFA/SAPR Program Manager has a process in place from the time that the initial report comes. As SAIRO preparation is a SAPR responsibility and SAIRO submission is the appropriate commander's responsibility, the process includes an email from SAPR staff to the responsible commander with instructions to accurately fill out SAIRO, expectations and timeline on when the SAIRO is due to USAFA/CC and USAFA/CVS Program Manager. SAPR staff are included in all correspondence and have visibility of the SAIRO as it moves through the appropriate parties. The HQ USAFA/SAPR Program Manager is the last person in the chain to review for accuracy and ensures on time submission of the SAIRO report or an MFR from the commander explaining untimely submission rationale. The HQ USAFA/SAPR Program Manager maintains copies of all SAIROs for verification of dates, signatures, and proof of on time report submission.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	24-Sep-19	The HQ USAFA/SAPR Program Manager failed to establish process and procedures that ensure accuracy and completeness of DSAID data for populations assigned. Upon DSAID review of 36 cases (August 2017 - current) the following deficiencies were noted: 55% were missing investigation agency information, 35% were missing DoD ID Number, 15% were missing relationship to subject, 15% were missing subject information, 15% were missing Civilian Protection Order and Military Protection Order, 15% were missing victim demographics, 15% were missing relationship to subject, 11% were missing safety assessment, 11% were missing referral support, and 8% were missing forensic exam completion.	Closed	Significant	HQ USAFA/CVS	23-Apr-19	HQ USAFA/CVS	Complete	The HQ USAFA/SAPR Program Manager has established processes and procedures to ensure accuracy and completeness of DSAID data. The HQ USAFA/SAPR Program Manager is utilizing the monthly report that is sent out by HAF/A1Z to review open DSAID cases under his AOR. Timelines for corrective action are communicated to the CW and 10ABW/Prep School SARCS. Additional guidance and expectations are covered in weekly staff meetings on expectations of updating DSAID data. HAF/A1Z sent an email that states the following "As far as the MSA report for APY 18-19, DoD SAPRO sends out Relevant Data Not Available (RDNA) Validation Reports that have to be updated prior to the final data call. All validations for APY 18-19 were completed." Additional comments were "the MSA report (recently completed all validations).The primary focus at this time is on developing a plan for the Way Ahead to minimize missing data. We will consult with USAF to maintain monthly data compliance." Email available for verification.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	19-Sep-19	The HQ USAFA/SAPR Program Manager failed to ensure the original DD Forms 2910 were stored IAW storage and privacy act laws. On two occasions, only copies of the DD Forms 2910 were being stored. While original forms are uploaded into DSAID, two original DD Form 2910s are still missing from physical filing system.	Closed	Significant	HQ USAFA/CVS	23-Apr-19	HQ USAFA/CVS	Complete	Understanding that DSAIDs is the official record, in the future, the SAPR staff will ensure that all original DD Form 2910s are collected and stored for victims who report to USAFA SAPR staff per instructions. HAF/A1Z has provided guidance directly pertaining to this issue and would be willing to provide input regarding the use of official DSAIDs records if necessary. Out of ordinary circumstances, such as a victim who already has an established report from another location and that transfers to USAFA, will require use of the electronic version of the DD2910 that will be found in the DSAIDs official record. Circumstances similar to the one described, resulted in the deficiency that the HQ USAFA/SAPR Program Manager failed to ensure the original DD Forms 2910 were stored IAW storage and privacy act laws. On two occasions, copies of the DD Forms 2910 were required for storage. While original forms are uploaded into DSAID, two original DD Form 2910s are still missing from physical filing system. In the first instance, a SAPR client filled out and submitted the DD Form 2910 remotely through encrypted electronic means. In the second instance, the SAPR case was reopened from another AOR. This resulted in SAPR staff only having access to the original copy of the DD Form 2910 that was stored in DSAID per DOD and AFI regulations.
United States Air Force Academy	DRU:CCIP.USAF.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	30-Aug-19	The HQ USAFA/SAPR Program Manager failed to establish process and procedures to ensure the correct naming nomenclature of DD Form 2910_DSAID Control Number (not including hyphens) for cases when uploading into the DSAID system. Of the 21 cases reviewed, 80% had incorrect naming nomenclature.	Closed	Significant	HQ USAFA/CVS	23-Apr-19	HQ USAFA/CVS	Complete	The HQ USAFA/SAPR Program Manager provided additional training to correct the incorrect DSAID naming nomenclature process. The HQ USAFA/SAPR Program Manager had the 10ABW/Prep School SARC go into DSAID and correct all incorrect naming nomenclatures. Review of DSAID cases are being conducted to ensure that incorrect DSAID naming nomenclatures is not repeated in the future.

United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	24-Sep-19	The USAFA/CV, USAFA SAPR Program Manager and CW SARC have not effectively communicated or developed their vision, commander's intent, or have a long term mission execution plan resulting in a lack of trust, unit cohesion and low morale. During interviews with all SAPR members from HQ level to Victim Advocates (VA), nearly all stated the following: 1. There is no clear lines of communication up or down the chain of command. Members gave the following examples: HQ-level personnel contradict each other's guidance; there is no clear leader; they don't hold personnel accountable for their actions; there is no follow-through; and there are either no clear or ever changing priorities; 2. The HQ Staff offices are currently geographically separated and are not in private areas where phone conversations can be held; 3. HAF/A1Z additionally stated there is a lack of communication with the HQ USAFA/SAPR program.	Closed	Significant	HQ USAFA/CVS	25-Apr-19 HQ USAFA/CVS	Complete	USAFA CV has conducted a strategic planning meeting outlining commander's intent and vision with HQ SAPR Leadership. A USAFA SAPR Strategic Plan will be updated and provided to all SAPR personnel. SAPR strategic plan will be published on the SAPR webpage and other publications for wider dissemination. 1. A USAFA SAPR staffing communication flow chart will be developed and incorporated into the SAPR expectations memo to show proper communication channels, opportunities for correcting communication and accountability expectations. 2. Office space with 3 office spaces have been consolidated into one office for HQ Staff. New office space allows a private office space for private conversations. 3. Communication plan between HQ SAPR staff and HAF/A1Z includes USAFA Program Manager and A1Z newly signed Division Chief for Policy, Operations and Training (Maritza Sayle-Walker) remaining in direct contact with one another on issues affecting USAFA, thus allowing Ms. Sayle-Walker to direct her staff members accordingly. The USAFA SAPR Personnel Expectations Memo includes the communication flow chart and is available for review. The SAPR Strategic Plan will be posted on the SAPR website. Additionally, the USAFA SAPR Strategic Plan and the USAFA SAPR Personnel Expectations Memo will be reviewed with all staff members. Documentation will be maintained in personnel files.	
United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	5-Sep-19	The HQ USAFA/SAPR Program manager failed to have SAPR training curriculum content reviewed and approved from AF/CVS. Confirmed with AF/A1Z on 25 January 2019.	Closed	Significant	HQ USAFA/CVS	30-Aug-19 HQ USAFA/CVS	Complete	The HQ USAFA/SAPR Program Manager has had content of SAPR training curriculum content reviewed and approved from AF/CVS. HAF/A1Z has reviewed curriculum and made suggestions for changes. Changes have been made. The HQ USAFA/SAPR Program Manager has email confirmation that SAPR training curriculum has been approved.	
United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19		The USAFA Commander did not ensure adequate guidance was provided to the HQ USAFA/SAPR program to execute its mission. Due to USAFAs unique mission as a Military Service Academy, accessions source with cadets and cadet candidates and being a military installation applying the DOD and Air Force guidance is confusing and requires local procedures to execute in this unique construct. There is no evidence of clearly communicated or developed local guidance, commanders intent, or standardized procedures and processes from the USAFA Superintendent or Vice Superintendent. Inspectors noted during ATIS-I interviews with the HQ USAFA/SAPR staff collectively have a large amount of SAPR experience however, applying those same experiences with USAFAs unique mission and organizational structure has been difficult and confusing at the mission execution level. Additionally, interviewees, stated they do not know their roles and responsibilities nor do they know their leaderships.	Cancelled	Significant	HQ USAFA/CV				
United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	24-Sep-19	The HQ USAFA/SAPR Program Manager has not developed a long term plan to align with USAFA's authorities and mission requirements so that the organization strives to meet the USAFA strategic plan and vision.	Closed	Significant	HQ USAFA/CVS	20-Sep-19 HQ USAFA/CVS	Complete	HQ USAFA/SAPR Program Manager will update a USAFA SAPR Strategic Plan outlining commander's intent, mission and vision as well as align a long term plan consistent with USAFA's overall mission and vision. SAPR strategic plan will be published on the SAPR webpage and other publications for wider dissemination. The USAFA SAPR Strategic Plan is available for review. The USAFA Strategic Plan will be reviewed with all staff.	
United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	24-Sep-19	The HQ USAFA/SAPR Program manager has not provided clear organizational roles and responsibilities to the personnel of the USAFA/HQ, the USAFA/CW nor the 10 ABW SARC positions. Additionally, there are no clear lines of effort for functional level (MAJCOM, Wing, Unit) accomplishment. This issue is evidenced by confusion over who at what level answers Congressional, DoD, Air Force, USAFA taskings.	Closed	Significant	HQ USAFA/CVS	20-Sep-19 HQ USAFA/CVS	Complete	HQ USAFA/SAPR Program manager will provide staff members with roles and responsibilities for USAFA/HQ staff, USAFA 10ABW/Prep School SARC and USAFA/CW SARC. Roles and responsibilities for these aforementioned positions will be published in the SAPR Personnel Expectations Memo for dissemination and acknowledgement by staff members. The diagram of the communication flow chart is also included on the last page of the USAFA SAPR Personnel Expectations Memo for staff clear understanding.	
United States Air Force Academy	DRU:CCIP.USAF.A.97224	Sexual Assault Prevention (By-Law)	10-Dec-18	25-Jan-19	12-Mar-19	19-Sep-19	The Installation Commander did not ensure that the SARC participated in Community Action Board/Community Action Team (CAB/CAT) (formerly CAIB/IDS) meetings hindering senior leader updates and helping agency integration and collaboration efforts of prevention activities throughout USAFA. The CAT met four times during CY2018 and the SAPR office attended only two meetings and in CY2017 the CAT met five times and the SAPR office attended none. Furthermore, as annotated in the IG inspection report for the HQ USAFA CAB/CAT 2018, USAFA fell well short of the requirement to hold ten CAT meetings annually. "CABs and CATs are senior leader driven forums to identify and resolve quality of life issues impacting Total Force readiness. These forums incorporate and reinforce the CAF framework. They promote collaboration among helping agencies to reduce redundancies, identify gaps in service, and develop and implement local solutions to support the Total Force. The Air Force is committed to maintaining mission readiness through multi-agency collaboration and integration of programs and activities that address individual, family, and community concerns (e.g. resilience and violence prevention). Community Action Boards and Community Action Teams at all levels serve as dedicated and integrated forums that inform leadership of these concerns and identify solutions." (AFI 90-5001, para 1.6 and 4.1)	Closed	Significant	HQ USAFA/CV	23-Apr-19 HQ USAFA/CV	Complete	The USAFA SAPR office is now fully staffed with a USAFA SAPR Program Manager, CW SARC and 10ABW/Prep School SARC. The SAPR office has made it a priority from leadership to participate in 100% of the CAB/CAT meetings at all levels. In addition, HQ USAFA has an Interim Community Support Coordinator in place to ensure that HQ USAFA CAB/CAT meet requirements as outlined in AFI 90-5001, para 1.6 and 4.1. Instructions. Records to support of participation are collected at each meeting and maintained by the Community Support Coordinator. Two CAB/CAT GTO working groups have been formed to address HQ USAFA/ Installation concerns and plan of action.	