



DEPARTMENT OF DEFENSE SEXUAL ASSAULT PREVENTION AND RESPONSE

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

Academic Program Year 2012–2013

December 2013





PERSONNEL AND
READINESS

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

JAN 08 2014

The Honorable Howard P. "Buck" McKeon
Chairman
Committee on Armed Services
U.S. House of Representatives
Washington, DC 20515

Dear Mr. Chairman:

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

The enclosed "Academic Program Year 2012-2013 Report on Sexual Harassment and Violence at the Military Service Academies" 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, 2012 and May 31, 2013. Also included as part of this year's report is the Defense Manpower Data Center's "2013 Service Academy Gender Relations Focus Group Report."

Over the past year, we have seen considerable energy and emphasis placed on the respective service academy sexual assault prevention and response programs. Critical to these on-going efforts is establishing a common cadet and midshipman culture that embraces dignity and respect for all, and one in which our future officers demonstrate the social courage to challenge those who do not. The Report on Sexual Harassment and Violence shows that senior leaders are demonstrably involved in these efforts at each Academy, but additional measures must be taken to eliminate sexist behaviors, sexual harassment, and sexual assault.

To this end, Secretary Hagel is directing the Secretaries of the Military Departments to enhance their respective Academy programs through the following initiatives. The Academies will implement Academy-focused sexual harassment and assault prevention and response strategic plans; implement program metrics and assessment tools; involve cadets and midshipmen in command climate assessments; innovate and implement solutions to address concerns of social retaliation among peers; develop and implement sexual harassment and sexual assault learning objectives into academic curricula; and will review and expand institutional alcohol policies. Reports from the Military Departments on these initiatives are due back to Secretary Hagel by March 30, 2014.

Our military service academies are institutions where we must develop future officers of the highest character to lead our U.S. Armed Forces. As such, preventing sexual assault and sexual

harassment at these institutions remains a top priority for the Department of Defense. I know your share my commitment in this effort.

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

Sincerely,


Jessica L. Wright
Acting

Enclosure:
As stated

cc:
The Honorable Adam Smith
Ranking Member



PERSONNEL AND
READINESS

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

JAN 08 2014

The Honorable Carl Levin
Chairman
Committee on Armed Services
United States Senate
Washington, DC 20510

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Sincerely,


Jessica L. Wright
Acting

Enclosure:
As stated

cc:
The Honorable James Inhofe
Ranking Member



**Department of Defense
Annual Report on Sexual Harassment and
Violence at the Military Service Academies
Academic Program Year 2012-2013**

***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 \$915,000 in Fiscal Years
2013-2014. This includes \$741,000 in
expenses and \$174,000 in DoD labor.

Generated on 2013DEC13

RefID: A-FD2D4B5

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KEY FINDINGS UPDATE: SEXUAL ASSAULT PREVALENCE VERSUS SEXUAL ASSAULT REPORTING AT THE MILITARY SERVICE ACADEMIES

Each year, the Department is required to conduct an assessment of policies and programs to address sexual harassment and sexual assault at the Military Service Academies (MSAs). The following is a brief synopsis of last year's key findings compared with this year's key findings.

Review of Last Year's Key Findings - Academic Program Year (APY) 11-12

- Reports of sexual assault increased at two of three MSAs, with 58 reports made by cadets and midshipmen during the Academic Program Year (APY) for events they experienced while they were in military service.¹ Of the 58 reports, 76% involved cadet/midshipman versus cadet/midshipman crime.
 - An additional 8 reports involved civilian victims who reported being sexually assaulted by a cadet or midshipman.
- Rates of unwanted sexual contact² remained statistically unchanged for both academy men and women since 2010; sexual harassment rates decreased for both academy men and women since 2010, as measured by a scientific survey conducted every two years.³
- Overall, the Department found that 58 cadets and midshipmen reported a sexual assault, out of an estimated 526 cadets and midshipmen who experienced an incident of unwanted sexual contact occurring during APY 11-12, as indicated by survey prevalence rates.⁴ Based on these data, about 11% of the estimated number of cadets and midshipmen, who indicated experiencing unwanted sexual contact in the past year, reported a sexual assault.

This Year's Key Findings - APY 12-13

- Reports of sexual assault decreased at two of three MSAs, with 53 reports made by cadets and midshipmen during APY 12-13 for events they experienced while

¹ A total of 80 Unrestricted and Restricted reports were actually received, but 13 of the reports were for events that occurred to cadets and midshipmen before they entered military service at the Academies; an additional 8 reports involved civilian victims that 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 MSAs.

² *Unwanted sexual contact* (USC) is the survey term that describes the crimes in the Uniform Code of Military Justice (UCMJ) that constitute sexual assault, which range from penetrating crimes such as rape to non-penetrating crimes such as abusive sexual contact. The Department measures USC every other year, for the twelve months that constitute the Academic Program Year (June 1 to May 31).

³ The Defense Manpower Data Center (DMDC) conducted the strictly voluntary *2012 Service Academy Gender Relations (SAGR) Survey* in spring 2012 at all three Military Service Academies (MSAs). Response rates to the survey ranged from 67% to 88% among female and male cadets and midshipmen. In the 12 months prior to being surveyed in 2012, 12% of women and 2% of men indicated experiencing unwanted sexual contact, which are statistically no different than the rates of unwanted sexual contact measured in the *2010 SAGR* survey. However, the past-year rate of unwanted sexual contact for women at USMA did experience a statistically significant increase, from 9.1% in 2010 to 10.7% in 2012. Also in the 12 months prior to being surveyed in 2012, 51% of women and 10% of men indicated experiencing sexual harassment. Overall, the respective rates of sexual harassment for academy women and men decreased significantly from the 56% and 12% measured in the *2010 SAGR* survey.

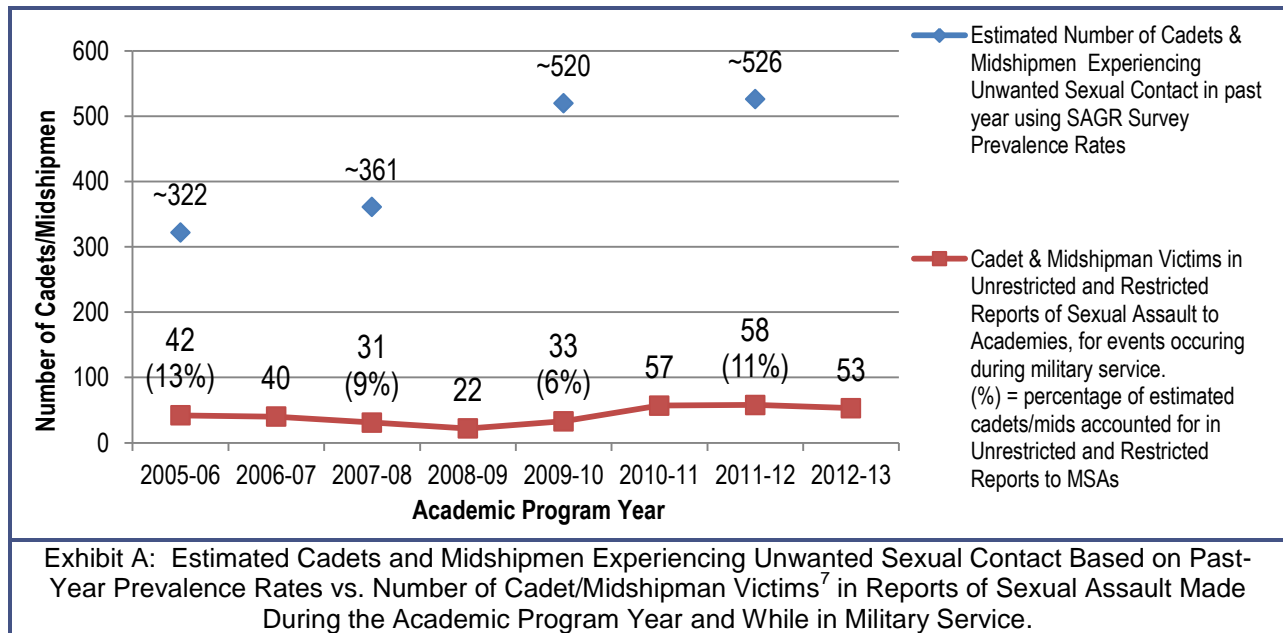
⁴ The estimated number of cadet and midshipman victims is developed using the SAGR survey weighted estimated unwanted sexual contact prevalence rate across all genders and DoD MSAs (-4%), multiplied by the academy cadet/midshipman population at the time of the survey. It should be noted that the timeframe covered by the SAGR Survey question pertains to unwanted sexual contact experienced in the year prior to when the survey was conducted and does not always align exactly with the APY. As a result, the SAGR Survey victim numbers are only estimates, due to the variances in survey estimates associated with survey data and the slightly different timeframes. Nevertheless, the Department uses these estimates as an indicator of the degree of underreporting at each of the academies.

they were in military service.⁵ Of the 53 reports, 89% involved cadet/midshipman on cadet/midshipman crime.

- An additional 5 reports involved civilian victims who reported being sexually assaulted by a cadet or midshipman.
- No unwanted sexual contact rate is available, as no survey was conducted during this academic program year. A survey is being fielded in 2014 to update past-year prevalence rates of unwanted sexual contact and sexual harassment.⁶

Summary

The 53 victims who reported a sexual assault for an incident that occurred while they were in military service during APY 12-13 is less than the 58 victims that reported in APY 11-12. Because there was no survey to establish a prevalence rate for this past academic year, the Department cannot say with certainty whether the decrease in reporting this year at the MSAs was due to fewer assaults occurring, or due to fewer victims opting to report. Given focus group feedback, cadets and midshipmen feel that incidents would be taken seriously by MSA leadership and dealt with immediately. However, they remain concerned that reporting a sexual assault will impact their reputation and social standing with classmates. In the report that follows, the Department has made numerous recommendations that will help address perceptions that deter reporting, and advance and sustain an environment of dignity and respect at the MSAs.



⁵ A total of 70 Unrestricted and Restricted reports were actually received, but 11 of the reports were for events that occurred to cadets and midshipmen before they entered military service; an additional 5 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 MSAs.

⁶ The *Service Academy Gender Relations Survey* (SAGR) is conducted every two years, as directed by Section 532 of Public Law 109-364. Given the high number of surveys administered to cadets and midshipmen each year, Congress agreed to help the Department minimize survey fatigue by alternating surveys with focus groups, every other year. This year's assessment includes focus group feedback, which is described in the body of this report. Next year's assessment will include a survey.

⁷ This graph depicts the estimated number of cadets and midshipmen who experienced unwanted sexual contact in the past year (based on SAGR Survey prevalence rates), versus the number of cadet and midshipman victims in actual reports of sexual assault made to MSAs in the APYs indicated. Note that although 70 total sexual assault reports were received in APY 12-13, 11 of the reports were for events that occurred to cadets and midshipmen before they entered military service at the Academies; 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, leaving 53 cadets/midshipmen. The remaining reports involved civilian victims who were reportedly assaulted by cadet or midshipman subjects. In addition, the survey-based estimates in this graph have been updated this year with more precise estimates from DMDC.

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 (DoD) to conduct an annual assessment of the Military Service Academies (MSA) to determine the effectiveness of policies, training, and procedures with respect to sexual harassment and sexual violence involving academy personnel. For Academic Program Years (APY) that begin in even-numbered years (e.g., APY 12-13), the Report is comprised of the Department's assessment, statistical data on sexual assault and sexual harassment, and the results of focus groups of cadets and midshipmen conducted by the Defense Manpower Data Center (DMDC).⁸ In 2013, the Defense Manpower Data Center (DMDC) also conducted focus groups of faculty and staff to help inform this assessment.

The DoD Sexual Assault Prevention and Response Office (SAPRO) and the Office of Diversity Management and Equal Opportunity (ODMEO) use this annual assessment as an oversight tool to monitor improvement of the Department's Sexual Assault Prevention and Response (SAPR) and Prevention of Sexual Harassment (POSH) Programs at the MSAs. To that end, the assessment of the SAPR and POSH programs was organized by the lines of effort established in the DoD SAPR Strategic Plan approved in May 2013.

All three MSAs are in compliance with the Department's policies regarding sexual harassment and sexual assault for APY 12-13:

- The United States Military Academy (USMA) demonstrated improved oversight and leadership investment in developing, coordinating, and synchronizing SAPR efforts in many facets of cadet life during APY 12-13. USMA should continue to identify innovative measures to ensure prevention efforts are strong, ensure victims gain confidence to come forward and report, hold offenders appropriately accountable, and ensure proper support is offered to cadets throughout their time at the Academy.
- In APY 12-13, the United States Naval Academy (USNA) demonstrated a commitment to increasing awareness of sexual assaults and harassment at the Academy, developing and conducting high quality training, and improving the victim experience. The Department encourages USNA to continue the incorporation of sexual assault prevention learning objectives in academic curricula, and to develop and implement metrics that measure prevention and program effectiveness.
- The United States Air Force Academy (USAFA) renewed its focus in APY 12-13, led by the Commandant of Cadets, on leadership development and adherence to

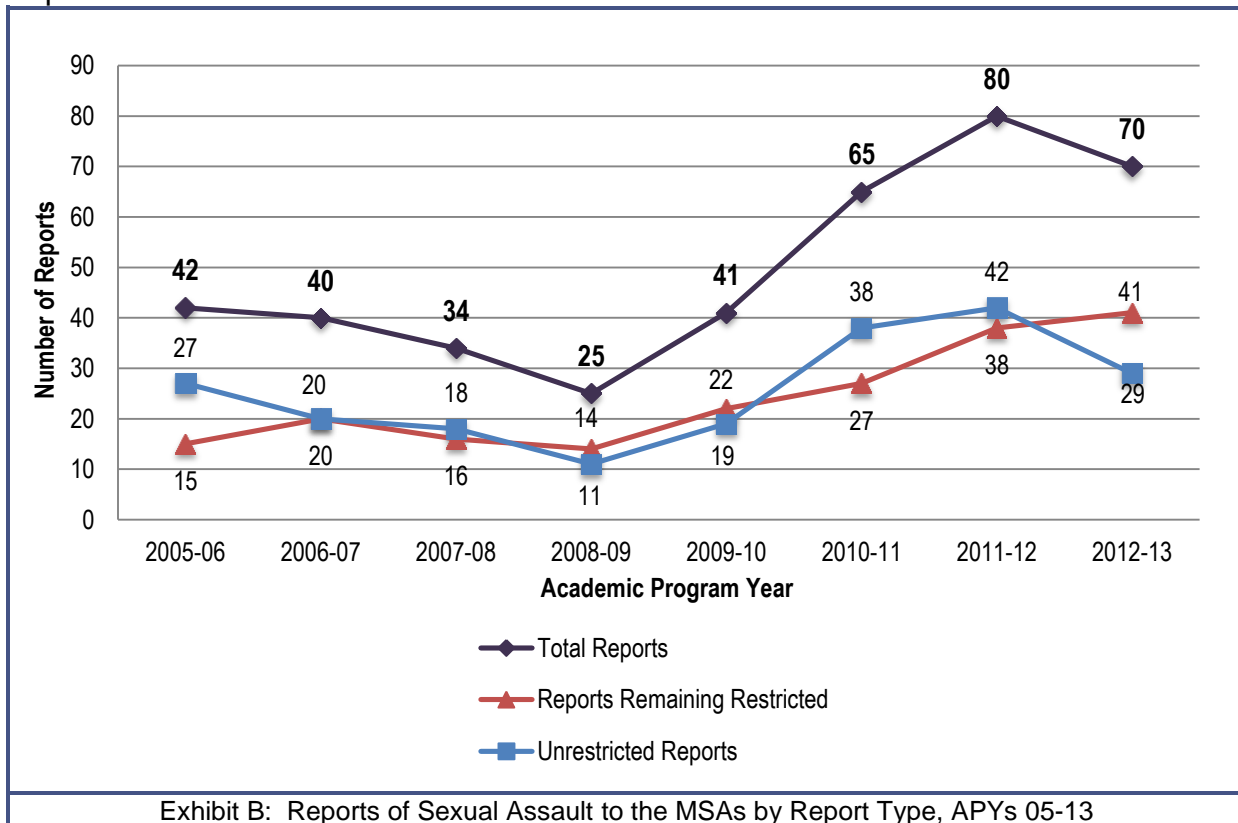
⁸ The 2013 Service Academy Gender Relations Focus Group Report is provided in its entirety as a separate document and posted at <http://www.sapr.mil/index.php/research>

standards. USAFA also implemented the Air Force Special Victims Counsel program mid-way through APY 12-13, providing confidential legal advice, assistance, and representation to victims of sexual assault. USAFA should continue to focus on these efforts, take steps to improve central coordination of their initiatives, and ensure the SAPR staff is resourced appropriately and able to provide consistent victim support and services.

There were a total of 70 reports of sexual assault to the MSAs during APY 12-13:

- As depicted in Exhibit B below, 29 of these reports were Unrestricted Reports and 48 reports were Restricted.^{9,10} Seven of the Restricted Reports were subsequently converted to Unrestricted Reports at the victims' request, leaving 41 reports remaining Restricted.
- Seven of the 41 Restricted Reports and four of the 29 Unrestricted Reports were for incidents that occurred prior to the victims entering military service.

Greater detail about trends in reporting are summarized in the preceding Key Findings Update section and in the Statistical Section.



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

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

The substantial increase in sexual assault reporting seen in the active force in Fiscal Year 2013 did not occur at the MSAs. In fact, overall reporting decreased from 80 reports in APY 11-12 to 70 reports in APY 12-13. Broken down by specific academy, reporting of sexual assault decreased at USMA and USAFA, by five and seven reports, respectively, but increased at USNA by two reports. Given that sexual assault is one of the most underreported crimes in the United States, the Department encourages all victims to report sexual assault. Reporting is the primary means by which the Department provides victims with desired support and services and holds offenders appropriately accountable. The MSAs need to strengthen their efforts to improve victim reporting and participation in the military justice process.

DMDC conducted focus groups at all three MSAs in the Spring of APY 12-13 covering topics such as sexual assault, sexual harassment, reporting, leadership, training, and culture change. For the first time, DMDC conducted focus groups of academy faculty (civilian and military), coaches and activity leaders, and military cadre [company/squadron officers, training non-commissioned officers (NCO)] in addition to the cadets and midshipmen. Although focus group results cannot be generalized to all cadets and midshipmen, faculty, and staff at each of the MSAs, the findings serve as illustrations of situations and themes for consideration as academy officials review the SAPR and POSH programs.

Two of the MSAs (USMA and USAFA) did not complete all the recommendations and action items from the APYs 08-09 and 10-11 reports. The MSAs must address these remaining five recommendations and action items in a timely manner. This assessment also includes a number of additional items for program improvement at all three MSAs. The academies are tasked with submitting an update on all existing and new recommendations with their self-assessments for the APY 13-14 MSA Report.

This assessment found that leadership at all three MSAs remains firmly committed to fostering cultures of dignity and respect, where the cadets, midshipmen, and those that support them work together to prevent disrespectful and criminal behavior, and negate the opportunity for sexual assault.

Based on past survey data, focus group feedback, and assessment observations made by the Department, cadets and midshipmen acknowledge that academy leadership take reports of sexual assault seriously and respond appropriately. In addition, the vast majority of cadets and midshipmen generally appear to support the values of mutual respect and dignity. However, at each of the three academies there is evidence that some cadets and midshipmen disregarded academy policies and practices in these areas and engaged in gender-related misbehavior and misconduct, targeting fellow cadets and midshipmen as the focus of crude and offensive language and sexist comments. Each academy's leadership took steps to address the inappropriate behaviors and criminal activity that came to its attention. However, the use of email, social media, and other forms of electronic communication made external detection of such unacceptable behavior particularly difficult. An unfortunate aspect of this problem is that the unacceptable behavior of a very few was ignored, tolerated or condoned by

cadets and midshipmen who were aware of the misconduct. The same social forces that give cadets and midshipmen a collective sense of identity and purpose at a military academy also work to maintain the silence or complicity of peers when a few misbehave. When not challenged by peers, the few individuals engaging in the problem behavior set the new social norm, allowing the misbehavior and misconduct to perpetuate. The Department encourages the MSAs to set policies, enhance mentoring, and expand bystander intervention training to address how the institutions -- and cadets and midshipmen themselves -- can counter these damaging, gender-related behaviors and advance a culture of commitment to Service values as leaders of character for the Armed Services.

Common to all MSAs is a desire by some faculty and staff for greater involvement in prevention and response efforts. For this reason, all faculty, company/squadron officers, senior enlisted leaders, and staff who directly interact with cadets and midshipmen should receive an academy-modified version of their Service's Pre-command SAPR training prior to beginning of classes or within 30 days of reporting for duty.

Alcohol consumption remains a significant factor in reported sexual assaults. Of the 34 investigations of Unrestricted Reports completed during APY 12-13, 11 (32%) involved the use of alcohol by one or more parties. However, alcohol likely plays a much larger role than what is depicted in reported incidents. The most recent survey of cadets and midshipmen in 2012 found that alcohol use by the alleged offender and/or victim occurred in about 59% of situations of unwanted sexual contact.¹¹ The academies have policies that address individual drinking behavior, but more can be done to address alcohol service, sales, and availability. This past year, USNA leadership engaged alcohol-serving establishments in the community to request their assistance in ensuring responsible and legal use by midshipmen. The Department encourages each of the academies to review and update their alcohol policies to address factors beyond individual use, such as training of providers/servers, alcohol availability, and community outreach.

As sexual assault and sexual harassment prevention and response initiatives continue to develop and evolve, a centrally coordinated plan is required to ensure program thoroughness and completeness. As the Department established its SAPR Strategic Plan, and as the Services have developed new SAPR Strategic Plans in alignment with the DoD plan, the MSAs should develop their own SAPR Strategic Plans. The MSA plans should be organized and executed under the supervision of staff that reports to the Superintendent. Along with this strategic plan, the MSAs must implement meaningful program performance measurement and metrics to ensure all related efforts achieve the goals for which they were designed. The command climate assessments directed by the Secretary of Defense in 2013 serve as a steady source of data the MSAs should use to inform these metrics.

¹¹ *Unwanted sexual contact* (USC) is the survey term that describes the crimes in the Uniform Code of Military Justice (UCMJ) that constitute sexual assault, which range from penetrating crimes such as rape to non-penetrating crimes such as abusive sexual contact.

The following recommendations apply to all three MSAs. Recommendations for each individual MSA are contained within their respective report sections.

1. Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other organizations to advance a climate of dignity and respect.
2. Identify and innovate solutions to address concerns of social retaliation among peers for reporting sexual assault or for taking action against inappropriate conduct.
3. Provide influencers with the skills, knowledge, and commitment to effect ongoing mentorship and reinforcement to prevent sexual harassment and assault.
4. Provide an MSA-modified version of its Service's pre-command training for all faculty, company / squadron officers, and senior enlisted leaders.
5. Integrate Service Command Climate Assessment process into cadet/midshipmen unit structure.
6. Submit locally produced sexual harassment related training plans to Defense Equal Opportunity Management Institute (DEOMI) for review.
7. Develop and implement sexual harassment and sexual assault learning objectives into related classes within core academic curricula.
8. Review and systematically expand alcohol policies to address risk factors beyond the individual use of alcohol.
9. Develop and implement a sexual harassment and assault prevention and response strategic plan, centrally coordinated, executed, and assessed by staff that report directly to the superintendent.
10. Develop and implement metrics and assessment strategies to evaluate and regularly report progress in sexual harassment and assault prevention and response.

All MSA SAPR and POSH programs are compliant with current DoD policy; compliance alone cannot advance and sustain a culture of dignity and respect. Effective policy must go hand in hand with strategic plans and initiatives that drive culture change, improve reporting, advance prevention, and build victim confidence in response systems. The training that each MSA employs to counter sexual assault and harassment must produce lasting and measureable change to the knowledge, skills, and/or attitudes of the trainee. Policies must be continually reviewed and updated to drive responsible and respectful behavior by all in the MSA environment. MSA leadership must sustain and expand training and policy efforts to prevent sexual harassment and sexual assault, as well as the disrespectful behaviors and attitudes that predicate both forms of misconduct. The MSAs must increase their focus on identifying and countering peer pressures that ignore, tolerate or condone misbehavior or misconduct, and advancing a climate of professionalism and respect, wherein cadets and midshipmen take responsibility for adhering to Service core values and develop into leaders of character that service in the profession of arms demands.

ACTIONS TAKEN SINCE REPORT CLOSEOUT

This report documents the status of policies and programs to address sexual harassment and violence at the MSAs during APY 12-13, which ended on May 31, 2013. However, in the six months since the APY concluded, the MSAs have taken additional measures to advance a climate of dignity and respect.

UNITED STATES MILITARY ACADEMY

Line of Effort (LOE 1): Prevention

- To review and strengthen leadership oversight of student groups, the Superintendent has met with all company commanders, regimental commanders, the brigade staff, the cadet honor, respect, and cadets against sexual harassment and assault (CASH/A) committees to address leadership responsibilities, including establishing positive command climates based on dignity and respect for all, as well as reinforcing what "right looks like" grounded in regulatory guidance as well as personal experience. He addressed the same during his briefings to the staff and faculty at the beginning of first semester. He will do the same for second semester as well as continue his meetings with cadet groups. A Gettysburg staff ride focusing on leadership is being planned for second semester for all team captains.
- USMA has obtained copies of other Major Command's specific pre-command training and is writing one for USMA. For those who arrive off cycle, the training slides will be available and tracked on the G3 training site.
- To communicate sexual assault incidents and sexual harassment cases for cadets and the West Point Community, USMA uses several venues to share information including command and staff meetings, staff and faculty updates, and through the cadet CASH/A newsletter. Future plans include, with guidance from PAO and SJA, the use of the West Point Facebook page as well as a page to be established on the USMA SHARP website.
- To conduct outreach to the alumni and athletic communities, the Superintendent routinely meets with various alumni organizations to discuss expectations from alumni groups, donors, as well as cadets. The USMA Sexual Assault Response Coordinator (SARC) provided a class to the Association of Graduates on SHARP specific requirements. In September 2013, the command leadership met with representatives from the USMA class of 1983 to address concerns and misunderstandings they had regarding the SHARP program. This conversation helped shape our SHARP summit conducted in October 2013, which included cadets, graduates from each decade since 1980, a USNA representative, and local community agencies. The summit provided invaluable feedback and will help USMA to shape its future SHARP strategy as well as provide a communication venue for alumni.

LOE 3: Accountability

To ensure all legal assistance attorneys receive specialized sexual assault training, USMA sent its two newly assigned special victim counsel attorneys to victim counsel specific training.

LOE 4: Victim Advocacy

- USMA removed the reference to the Chaplain as a restricted reporting source from the Corps of Cadets' intranet website.
- USMA continues to conduct Sexual Assault Response Team (SART) training across all SARCs and SAPR VAs at West Point.
- USMA SARC is working through USMA Equal Opportunity (EO) to ensure that all sexual harassment training receives DEOMI coordination.

LOE 5: Assessment

- The USMA SARC, Ms. Laurie Barone, has the primary responsibility to develop, implement and track metrics across West Point as well as maintaining ongoing metric coordination with other service academies and Tufts University.
- USMA is currently performing a command climate survey in accordance with the most recent Secretary of Defense guidance.

UNITED STATES NAVAL ACADEMY

LOE 1: Prevention

Leader Engagement

- Gettysburg Leadership Retreat (July 2013) executed by sports team captains, company commanders, and brigade leaders. This venue provided an opportunity to discuss attributes and expectations of a leader, with sexual harassment and sexual assault one of several central themes. Superintendent, Commandant, and Athletic Director reinforced concepts.
- Code of Conduct, with expected behavior standards, signed by all athletes.
- Superintendent met with each of 33 varsity sports teams (August – October 2013) to reinforce expectations.
- Commandant's "Be Excellent" initiative with emphasis on reinforcing positive Midshipmen behaviors.
- SAPRO meeting with faculty, coaches, and officer representatives to further engage them as stakeholders.
- SAPRO training and engagement at Company Officer and Battalion Officer level.

Responsible Alcohol Use

- Increased and improved use of Shore Patrol in downtown Annapolis.
- Engagement by Superintendent and Commandant with local businesses.
- Participation with colleges in the Maryland Collaborative to Reduce College Drinking and Related Problems to share best practices and strategies to decrease irresponsible alcohol use.

- Use of real scenarios from previous USNA sexual harassment and sexual assault cases, also referred to as “XYZ cases”, to provide Brigade the facts surrounding recent alcohol related incidents in a company level forum.

Embed SAPR education and training into Core Curriculum

- 1st Class Capstone Course includes sexual harassment and sexual assault (APY 12-13).
- Starting August 2013, 3rd Class and 2nd Class leadership courses incorporated sexual harassment and sexual assault principles including dignity and mutual respect, bystander intervention case studies.
- 4th Class Preparing to Lead curriculum modified October 2013 for January 2014 implementation.

Prevention Strategies

- Conducted a SAPR Stand-down (June – September 2013) for all midshipmen, faculty, staff and coaches.
- Chaplains delivered Interpersonal Relationship Training to the incoming class of Plebes. This training included a discussion of sexual assault and means to combat it.
- Building transparency and trust through the first-time use of “XYZ Cases” which included a complete look at all factors of past USNA sexual harassment and sexual assault cases.
- Optional Locked Door Policy reinforced with entire Brigade.
- Enhanced watch standing on weekend nights to improve safety of the Brigade, including additional roving watches through living spaces from 2300-0600 hours and additional watches at external gates to the Academy.
- As part of an aggressive alcohol de-glamorization campaign, implemented Alcohol Detection Devices across the Brigade and provided Portable Alcohol Detection Devices in the Midshipmen Store. Incorporated alcohol training in Sponsor family training and the Sponsor Memorandum of Understanding.
- Completed annual command climate survey for staff personnel, with appropriate follow-up to ensure the staff creates a proactive, positive culture that fosters core values and ethical behavior.

Outreach Strategies

- Superintendent and Commandant discussions with civilian universities to discuss best practices.
- Sponsor education regarding responsible use of alcohol and SAPR issues.

Developing Partnerships throughout USNA

- Admission’s Candidate Weekend Visit brief to Parents (October 2013) and “SAPR Brown Bag Lunch Series” (October 2013 – present) with faculty and staff.

LOE 4: Victim Advocacy

Advocacy & Victim Support

- As part of the larger Victim and Witness Assistance Program, assigned fully trained Victim Witness Assistance Coordinator (VWAC).
- All victim advocacy personnel moved to office spaces outside Bancroft Hall, the primary residential area at USNA, to increase ease of access and confidentiality.
- Bill of Rights and VWAC contact information posted in appropriate locations to ensure Midshipmen awareness of rights and services.
- A Chaplain is assigned to each of the six battalions in the Brigade of Midshipmen. These Chaplains routinely provide confidential care to Midshipmen, to include counseling and referral services delivered to the victims of sexual assault.
- Three USNA Chaplains participated in the Chaplain Corps Professional Development Training Course validation on Pastoral Care in the Case of Military Sexual Assault.
- Funding has been set aside to ensure all Chaplains participate in this training.
- All six USNA Chaplains participated in SAPR refresher training to ensure they have updated knowledge and skills related to sexual assault prevention and response.

LOE 5: Assessment

- The Department of the Navy (DoN) SAPRO and USNA conducted midshipmen focus groups in November 2013 to provide “pulse check” on SAPR efforts since January 2013. A total of 940 midshipmen were surveyed in groups of 20. Findings being assessed and will be incorporated into USNA SAPR program.

Strategic Plan Development

- Established a Sexual Harassment/Sexual Assault Task Force to assess USNA culture, SH/SA education and response programs, including a detailed analysis by DoN SAPRO of USNA SAPR program. Task Force recommendations fully implemented and subsequent SAPR Advisory Panel created as a lasting advisory panel.
- Created a USNA SAPR Advisory Panel launched August 2013. This panel is comprised of a diverse group of faculty, staff, Chaplain, coaches and Midshipmen developing an overarching USNA SAPR Strategic Plan. Advisory Panel will remain in an advisory role, overseeing implementation and execution of the plan.

UNITED STATES AIR FORCE ACADEMY

Since the Annual Report cycle closed May 31, 2013, USAFA has continued to partner with USAF activities and efforts, continued to evolve and improve its programs, and addressed many of the improvement areas identified during the DoD site visit last summer, which include:

LOE 1: Prevention

- On June 24, 2013, USAFA conducted a USAF-directed SAPR Stand-down day. Cadets and staff participated in an event featuring opening comments from the Superintendent, Mr. Mike Domitrz speaking on the individual's role in setting climate and bystander intervention, followed by small group discussions. USAFA leaders also participate in the USAF monthly SAPR Council meetings and recently attended the CSAF SAPR Leadership Summit; both allowing USAFA to stay aligned with the larger USAF SAPR program.
- The SAPR office recently partnered with the faculty of the Department of Behavioral Science and Leadership (DFBL) and received a Mellon Foundation Grant to support cadet collaboration with Colorado College students on developing and implementing prevention and awareness programs such as the annual April Sexual Assault Awareness Month campaign.
- DFBL also committed to writing a white paper on sexual assault programs and best practices and sponsors a Distinguished Visiting Professor, Dr. Chris Kilmartin, who is teaching a course on Interdisciplinary Perspectives on Masculinity and advising on gender and SAPR topics across USAFA.
- The Superintendent is creating a position working directly for her that will serve as the focal point for diversity, inclusion, and the culture and climate challenges of today, bringing together leadership from across USAFA to consider and act on issues and opportunities associated with these areas at an institutional level.
- The 10th Air Base Wing (ABW) is leading an effort to reorganize the Community Action Information Board/Integrated Delivery System (IDS) process to look at the permanent party and cadet populations separately, better addressing the needs of both. The first cadet IDS meeting discussed an expanded membership to include cadets, faculty, coaches, and others to produce a USAFA-wide, cross-functional perspective on relevant issues.

LOE 4: Victim Advocacy

- The USAFA SAPR Office is now fully staffed:
 - The two vacant, full-time SAPR Victim Advocate (VA) positions were filled, allowing for improved 24-hour victim support.
 - USAFA now has four volunteer SAPR VAs. With this additional manpower, the SAPR staff is coordinating with the 10 ABW to explore ways to better meet the needs of the non-cadet populations.
- A recent presentation by local rape crisis center personnel on the neurobiology of trauma and how it affects sexual assault victims.
- A monthly resource update for commanders with current reporting statistics and links to useful SAPR related websites.
- A sexual assault survivor's support group led by the cadet-counseling center.

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 at the Military Service Academies (MSA) during each Academic Program Year (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)

Department of Defense (DoD) Policy defines the term “sexual harassment” as 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 or rejection of such conduct is made either explicitly or implicitly a term or condition of a person’s job, pay or career; or 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 interferes with an individual’s performance or creates an intimidating, hostile or offensive environment.

The term “sexual violence,” herein referred to as “sexual assault,” is defined by policy 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 specific Uniform Code of Military Justice (UCMJ) Articles 120, 125, and 80 offenses: rape, sexual assault, aggravated sexual contact, abusive sexual contact, forcible sodomy (forced oral or anal sex), or attempts to commit these acts. “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. 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 incapacitated, such as due to age, alcohol or drugs, or mental incapacity.

ASSESSMENT PROCESS

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

- In APYs beginning in odd-numbered years (e.g., APY 11-12), the annual assessment consists of an academy's self-assessment and an anonymous survey of cadets and midshipmen. This survey, the biennial Defense Manpower Data Center (DMDC) *Service Academy Gender Relations (SAGR) Survey* covers topics such as incidence 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 a data call consisting of the MSA's 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.

From this, the Department wrote a report for each academy, which includes:

- An assessment of the academy's policies, training, and procedures regarding sexual harassment and sexual assault involving cadets and midshipmen;
- An evaluation of program effectiveness;
- The number of reports of sexual harassment and assault;
- *2013 SAGR Focus Group* findings; and
- An analysis of progress made from previous reports.

This report also includes an analysis of the aggregate sexual assault statistics and the full *2013 SAGR Focus Group Report*.¹² This serves as the Department's *Annual Report on Sexual Harassment and Violence at the Military Service Academies* covering APY June 1, 2012 through May 31, 2013.

LINES OF EFFORT

The Department uses this report as an oversight tool to monitor improvement of the Department's Sexual Assault Prevention and Response (SAPR) and Prevention of Sexual Harassment (POSH) programs at the MSAs. To that end, the Report is organized by the lines of effort established in the *2013 DoD SAPR Strategic Plan* signed by the Secretary of Defense in May 2013. These lines of effort are:

1. Prevention
2. Investigation
3. Accountability
4. Advocacy/Victim Assistance
5. Assessment

¹² The *2013 Service Academy Gender Relations Focus Group Report* is provided in its entirety as a separate document and posted at <http://www.sapr.mil/index.php/research>

The Department applied these same lines of effort to SAPR programs at the academies. While the DoD SAPR Strategic Plan was published midway through the APY 12-13, the lines of effort closely align with the priorities in the DoD SAPR Strategic Plan from 2009, which organized previous program assessment reports. For all five lines of effort, the Report notes practices to *Sustain*—highlighting promising practices¹³ and/or where the academy exceeds, and practices to *Improve*—identifying areas of improvement or where implementation of the policy or program can be adjusted or enhanced during APY 13-14 and beyond.

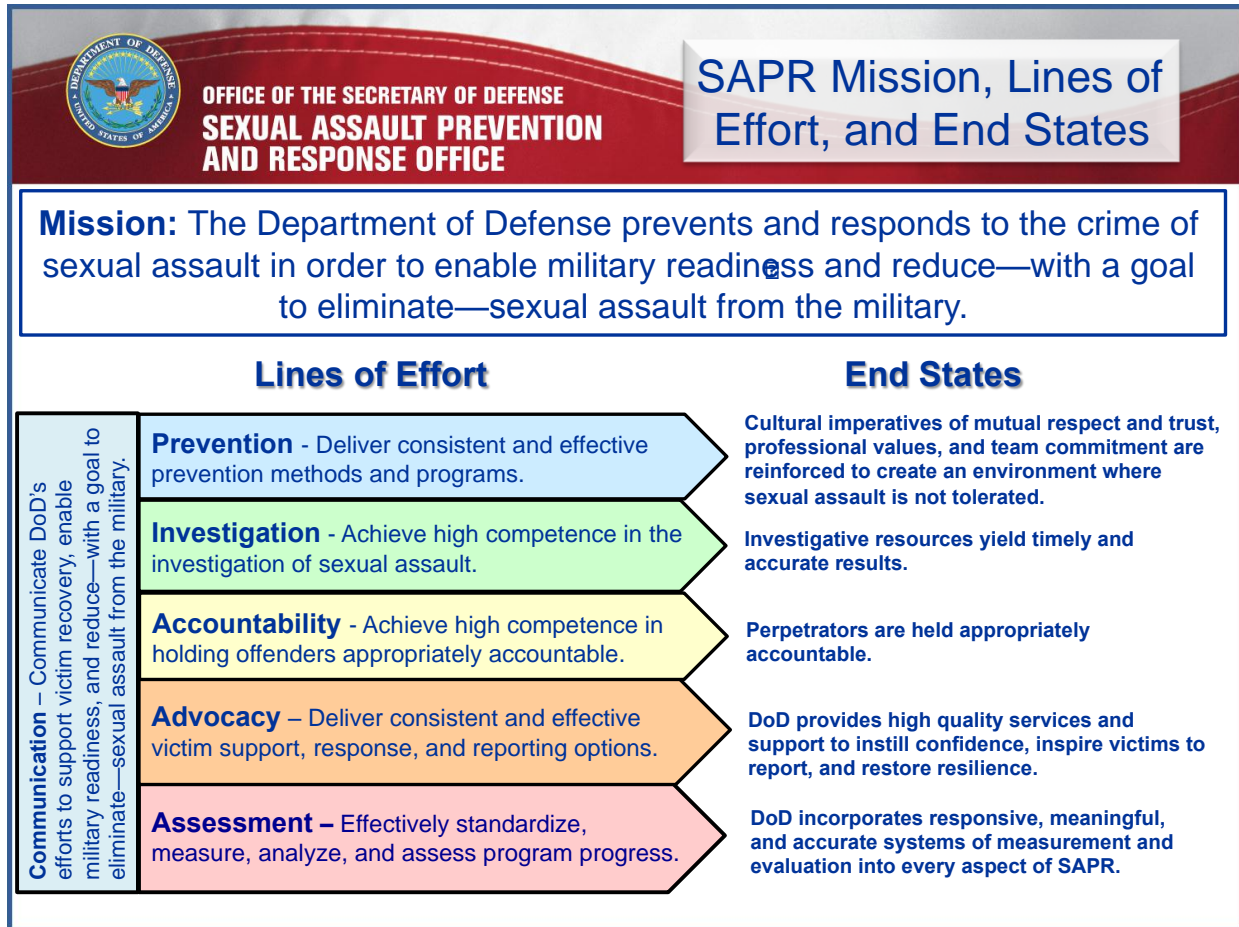


Figure 1: The Lines of Effort That Organize the 2013 DoD-wide Strategic Plan

DMDC FOCUS GROUPS

DMDC conducted focus groups at all three MSAs in the Spring of APY 12-13 as part of the *2013 SAGR Focus Group Report*.¹⁴ Cadets and midshipmen focus groups were conducted at each academy by gender and class year with one mixed-gender session.

¹³ Promising Practice—Identified practice that has worked within at least one organization and shows promise during its early stages for becoming a best practice with long term sustainable impact; some basis for claiming effectiveness.

¹⁴ The *2013 Service Academy Gender Relations Focus Group Report* is provided in its entirety as a separate document and posted at <http://www.sapr.mil/index.php/research>

For the first time, DMDC also conducted sessions with academic faculty (military and civilian), coaches and activity leaders, and military cadre (company/squadron officers, training noncommissioned officers (NCOs)).

DMDC qualitatively analyzed data from the focus groups for major themes and ideas conveyed across the sessions. Where cadets and midshipmen, faculty, and staff differed in their opinions on a topic, differing perspectives are presented in separate findings. Analysts used a combination of topical coding and repeated reviews to gather specific comments that supported the emerging themes. Although focus group results cannot be generalized to all cadets and midshipmen at each of the MSAs, the themes serve as illustrations of situations and attitudes for consideration in the assessment of the SAPR and POSH programs. These themes are presented, where applicable, for each line of effort. Although there are commonalities in the results from each MSA, no attempt was made to compare or generalize findings across all three MSAs.

The full *2013 SAGR Focus Group Report* describes the methodology and procedures used to develop the questions, select the participants, conduct the focus groups, analyze the data, identify and categorize topics and themes, and organize the findings in a report.

STATISTICAL DATA ON SEXUAL HARASSMENT AND ASSAULT

BACKGROUND

WHAT IT CAPTURES

Reports of Sexual Assault

- DoD sexual assault data captures the Unrestricted and Restricted Reports of sexual assault made to the MSAs during APY 12-13.
- In the context of the DoD statistics that follow, an Unrestricted Report of sexual assault is an allegation by one or more victims against one or more suspects (referred to in the Department as “subjects of investigation” or “subjects”) that will be referred for investigation by a Military Criminal Investigative Organization (Army Criminal Investigations Division, Naval Criminal Investigative Service, or Air Force Office of Special Investigations).
- Data on Restricted Reports is limited because these are reports of sexual assault made to specified individuals within the Department (i.e., SARC, SAPR VA, or healthcare provider) that allow the report to remain confidential and allow the victim to seek care and services. Given the victim’s desire for confidentiality, these reports are not investigated. Victims are not required to provide many details about these sexual assaults. As a result, only data about the victim and very limited data about the offense are recorded in Restricted Reports. In Restricted Reports, the Department does not request or maintain subject identities in Restricted Reports.
- The Department’s sexual assault reporting statistics include data about contact sexual crimes by adults against adults, as defined in Articles 120, 125, and 80 of the UCMJ, and represent a range of penetrating and non-penetrating sexual crimes. The data in this document involves only cadets and midshipmen as either a victim or a subject of a sexual assault investigation. Data about sexual assault reports in the U.S. Armed Forces in general is released each spring (April), and is available at <http://www.sapr.mil/index.php/annual-reports>.
- The DoD uses the term “sexual assault” to refer to a range of contact and penetrating sexual crimes between adults, as defined by the UCMJ, including rape, sexual assault, aggravated sexual contact, abusive sexual contact, forcible sodomy (forced oral or anal sex), or attempts to commit these acts.
 - When a report is listed under a crime category, it means the crime was the most serious of the infractions reported by the victim or investigated by investigators. It does not necessarily reflect the final findings of the investigators or the crime(s) addressed by court-martial charges or some other form of disciplinary action against a subject.
 - The number of sexual assaults reported to MSA authorities in APY 12-13 *does not* necessarily reflect the number of sexual assaults that may have occurred in that APY.

- Civilian research indicates victims only report a small fraction of sexual assaults to law enforcement. For the estimated 673,000 U.S. civilian college-aged women who experienced nonconsensual vaginal, oral, or anal penetration, only about 77,395 (11.5%) reported it to the police.¹⁵ This finding is supported by a similar study of a college sample that found that only 2 to 13% of women who experienced penetrating and contact sexual crimes during their four-year college career reported the matter to law enforcement.¹⁶
- This reporting behavior is mirrored in the U.S. Armed Forces. Over the past six years, the Department estimates that fewer than 15 percent of military sexual assault victims report the matter to a military authority. For more information, refer to the FY12 Report, available at <http://sapr.mil/index.php/annual-reports>. Estimated reporting rates to DoD authorities at the MSAs in APY 11-12 ranged from 5 to 28 percent.

Subject Dispositions

- Once the investigation of an Unrestricted Report is complete, the Department requires the MSAs to provide the outcome of the cases with respect to each subject named in an investigation. These are called “subject dispositions.”
- The Department holds those Service members who have committed sexual assault appropriately accountable based on the available evidence.
- Legal authority for the Department is limited to Service members who are subject to the UCMJ and, therefore, its military justice jurisdiction. Cadets and midshipmen are Service members and are under the legal authority of the UCMJ. Except in rare circumstances in deployed environments, a civilian is not subject to the UCMJ for the purpose of court-martial jurisdiction or other military justice discipline.
- Each year, the Department lacks jurisdiction over some subjects in its investigations.
 - Local civilian authorities in the U.S. and our host nations¹⁷ hold primary responsibility for prosecuting U.S. civilians and foreign nationals, respectively, who perpetrate sexual assault against Service members.
 - In a number of cases each year, a civilian authority will assert its legal authority over a Service member. This typically occurs when Service members are accused of sexually assaulting a civilian.

¹⁵ Kilpatrick, D., Resnick, H., Ruggiero, K., Conoscenti, L., and McCauley, J. (2007). *Drug-facilitated, incapacitated, and forcible rape: A national study*. Washington, DC: U.S. Department of Justice.

¹⁶ Krebs, C., Lindquist, C., Warner, T., Fisher, B., and Martin, S. (2007). *The Campus Sexual Assault Study*. Washington, DC: U.S. Department of Justice.

¹⁷ This year, there were no sexual assault reports committed against a cadet or midshipmen by a foreign national or while they were on training missions overseas.

- A civilian authority, such as a state, county or municipality, may prosecute Service members anytime they commit an offense within its jurisdiction. The civilian authority may agree to let the military exercise its UCMJ jurisdiction to prosecute the Service member. Service member prosecutions by civilian authorities are made on a case-by-case and jurisdiction-by-jurisdiction basis.
- When the DoD has jurisdiction over the subject, the subject's military commander, in concert with a military attorney, is responsible for reviewing the results of the independent military criminal investigative office investigation and taking appropriate action when supported by sufficient evidence. In June 2012, the Secretary of Defense directed that subject disposition decisions for the crimes of rape, sexual assault, and nonconsensual sodomy be made at the Special Court Martial Convening Authority level (typically a Colonel or Navy Captain or higher). At the MSAs, the Superintendent (a Lieutenant General or a Vice Admiral) is the case disposition authority.
 - Commanders at all levels do not make such decisions by themselves. Military attorneys assist commanders in identifying the charges that can be made, the appropriate means of addressing such charges, and punishments that can be administered if supported by the evidence.
 - There are many cases each year when disciplinary action is precluded (i.e., not possible) due to legal issues or evidentiary problems with a case. For example, when the investigation fails to show sufficient evidence of an offense to prosecute or when the victim declines to participate in the justice process, a commander may be precluded from taking disciplinary action against a subject.
- In the data that follows, when more than one disposition action is involved (e.g., when nonjudicial punishment is followed by an administrative discharge), subject disposition is only reported once per subject. This is done according to the most serious disciplinary action taken, which in descending order is preferral of court-martial charges, nonjudicial punishment, administrative discharge, and other adverse administrative actions. At the MSAs, adverse administrative actions include the cadet/midshipman disciplinary system.

WHOM IT DESCRIBES

- Unrestricted and Restricted Reports capture sexual assaults committed by and against Service members. In this document, sexual assault reports primarily involve cadets and midshipmen. However, people outside of the U.S. Armed Forces sometimes victimize a Service member or can be victimized by a Service member. Information describing these victims and subjects is also included in the following statistics.
- An Unrestricted Report of sexual assault can include one or more victims, one or more subjects, and one or more crimes. Therefore, the number of reports does not equal the number of victims or the number of subjects.

- Restricted Reports, by policy, only involve one victim per reported incident. In Restricted Reports, no personally identifying information is maintained for alleged subjects. Personally identifying data for victims is not maintained in the Defense Sexual Assault Incident Database.
- Demographic information on victims and subjects is only drawn from *completed investigations* of Unrestricted Reports and from SARC records of victims in Restricted Reports.

WHEN IT HAPPENED

- The information in this report is drawn from sexual assault reports made to the MSA authorities during APY 12-13 (June 1, 2012 to May 31, 2013).
- The data that follows is a snapshot in time. In other words, the following information describes the status of sexual assault reports, investigations, and subject dispositions on May 31, 2013—the last day of APY 12-13.
- Some investigations extend across APYs. For example, it often takes several months to investigate a report of sexual assault. As a result, those investigations that were opened toward the end of the APY typically carry over to the next APY. Therefore, the information presented in this report is not linear, meaning that the number of sexual assault reports received during the year will not be equal to the number of completed investigations during the year.
- Subject disposition decisions can also extend across APYs. As a result, a portion of dispositions is “pending” or not yet reported at the end of the year. The Department tracks these pending dispositions and requires the Military Services to report on them in subsequent years’ reports.
- Under the Department’s SAPR Policy, there is no time limit as to when someone can report a sexual assault to a SARC or MCIO. Thus, in any given year, the Department may not only receive reports about incidents that occurred during the current year, but also incidents that occurred in previous years or prior to military service.

HOW IT IS GATHERED

- Data about Unrestricted Reports of sexual assault is drawn from official investigations conducted by the MCIOs. Academy SARCs collect data about Restricted Reports of sexual assault.
- Each APY, the Under Secretary of Defense for Personnel and Readiness submits a data call to the MSAs to collect the required statistical and case synopsis data. DoD SAPRO aggregates and analyzes this data.

WHY IT IS COLLECTED

- Congress requires data about the number of sexual harassment and sexual assault reports and the outcome of the allegations made against each subject.
- The Department also collects this data to inform SAPR policy, program development, and oversight.

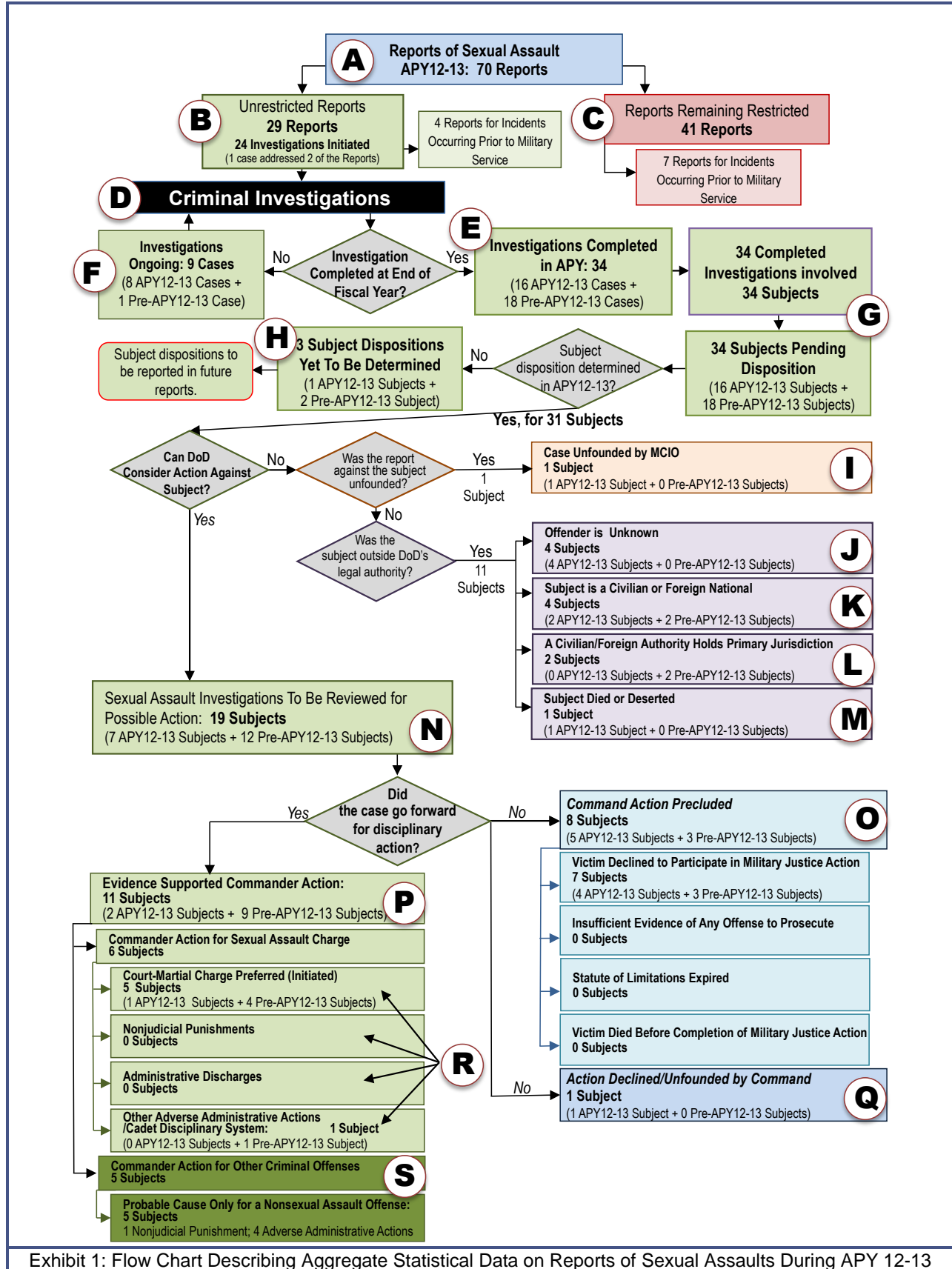


Exhibit 1: Flow Chart Describing Aggregate Statistical Data on Reports of Sexual Assaults During APY 12-13

AGGREGATE STATISTICAL DATA ON SEXUAL HARASSMENT AND ASSAULT

SEXUAL ASSAULT

This section closely follows the flow chart shown in Exhibit 1. Points in the flow chart have been labeled with a letter that corresponds to the information in the text that follows.

In APY 12-13, a total of 70 reports of sexual assault were made to the MSAs (Exhibit 1, Point A), representing a decrease of 10 reports from APY 11-12. Eleven of the reports were for incidents occurring prior to the cadets/midshipmen entering military service.

- The MSAs received 29 Unrestricted Reports involving cadets and midshipmen as either the victim or subject of a sexual assault investigation (Exhibit 1, Point B).
 - For one subject, there were two Unrestricted Reports involving separate victims. These two Unrestricted Reports were addressed by a single investigation by an MCIO.
 - Four Unrestricted Reports were made by victims for incidents of sexual assault that occurred prior to their entry into their respective academies. These Unrestricted Reports involved alleged perpetrators outside the jurisdiction of the military.
 - The Military Criminal Investigative Organizations opened 24 investigations this APY, based on Unrestricted Reports of sexual assault.¹⁸
- The MSAs initially received 48 Restricted Reports involving cadets and midshipmen as victims of sexual assault.
 - Seven of the Restricted Reports later converted to Unrestricted Reports, leaving 41 Restricted Reports remaining at the end of APY 12-13 (Exhibit 1, Point C).
 - Seven reports of the Restricted Reports were for an incident of sexual assault that occurred prior to the cadet or midshipman entering military Service. The remaining 41 Restricted Reports were for incidents that occurred during military service.
- In the 70 reports to MSA authorities this year, 64 cadets and midshipmen reported they had been the victim of some form of sexual assault, ranging from rape to unwanted sexual touching.
 - 23 cadets and midshipmen made or converted to an Unrestricted Report.
 - An Unrestricted Report of sexual assault can include one or more victims, one or more subjects, and one or more crimes. Therefore, the number of reports received in a given year does not usually equal the number of victims or the number of subjects in those reports.

¹⁸ A comprehensive explanation of all investigations opened and/or closed during APY 12-13 is below, beginning on page 28.

- 41 cadets and midshipmen made and maintained Restricted Reports.

The following section describes aggregate data about sexual assault at the academies.

While reports of sexual assault have fluctuated since the Department started keeping track of MSA data in APY 04-05, the MSAs show an overall upward trend in victim reports of sexual assault since APY 08-09, however this year the academies received ten fewer reports of sexual assault than last year. Although one sexual assault is too many, the overall increase in victim reporting behavior since APY 08-09 is consistent with the Department’s goal to bring more victims forward to report the crime. When Service members report sexual assaults, the Department is better positioned to provide restorative care and advocacy to victims and hold those who commit sexual assault appropriately accountable. Exhibit 2a shows the total number of sexual assault reports made to the MSAs over the past eight APYs.

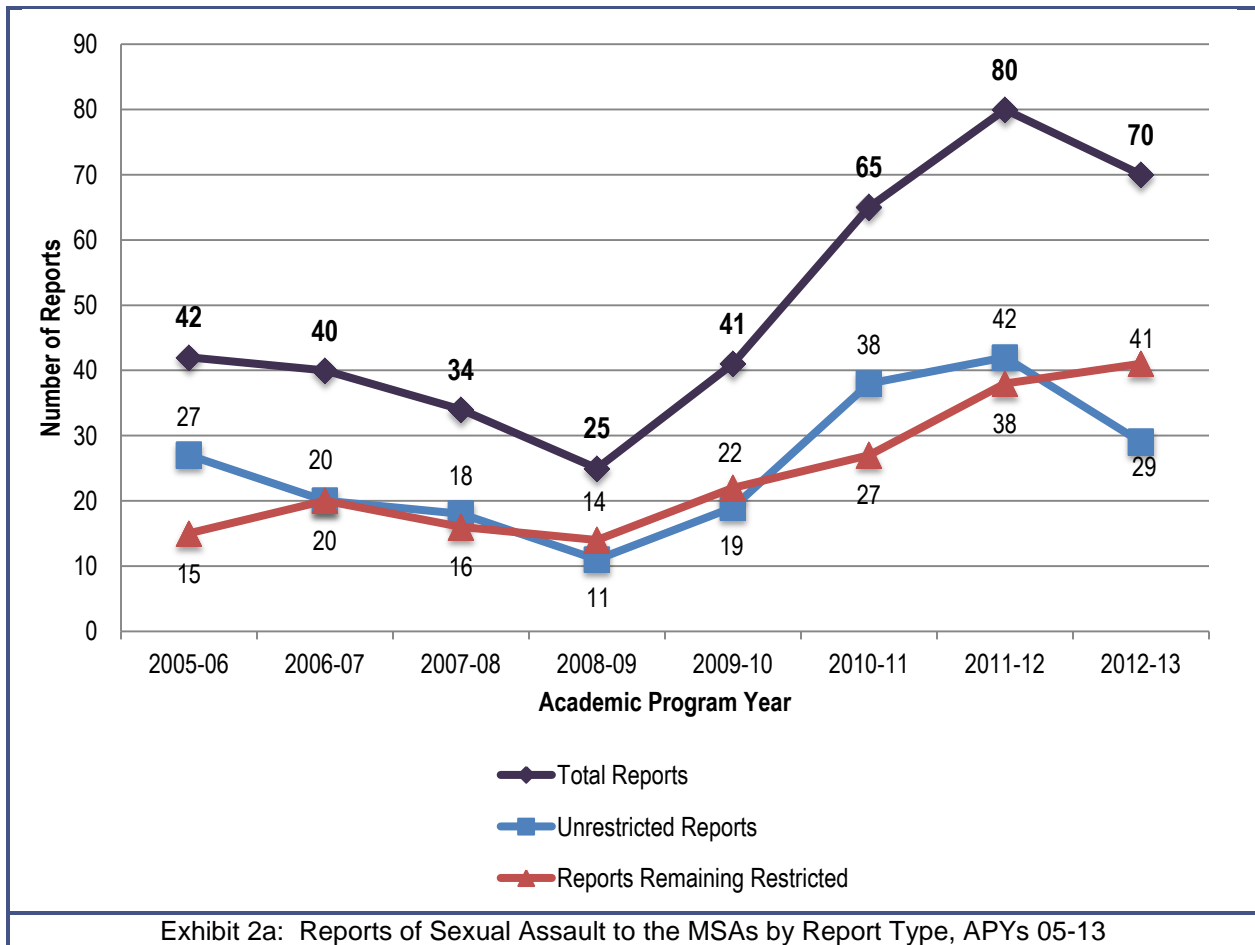
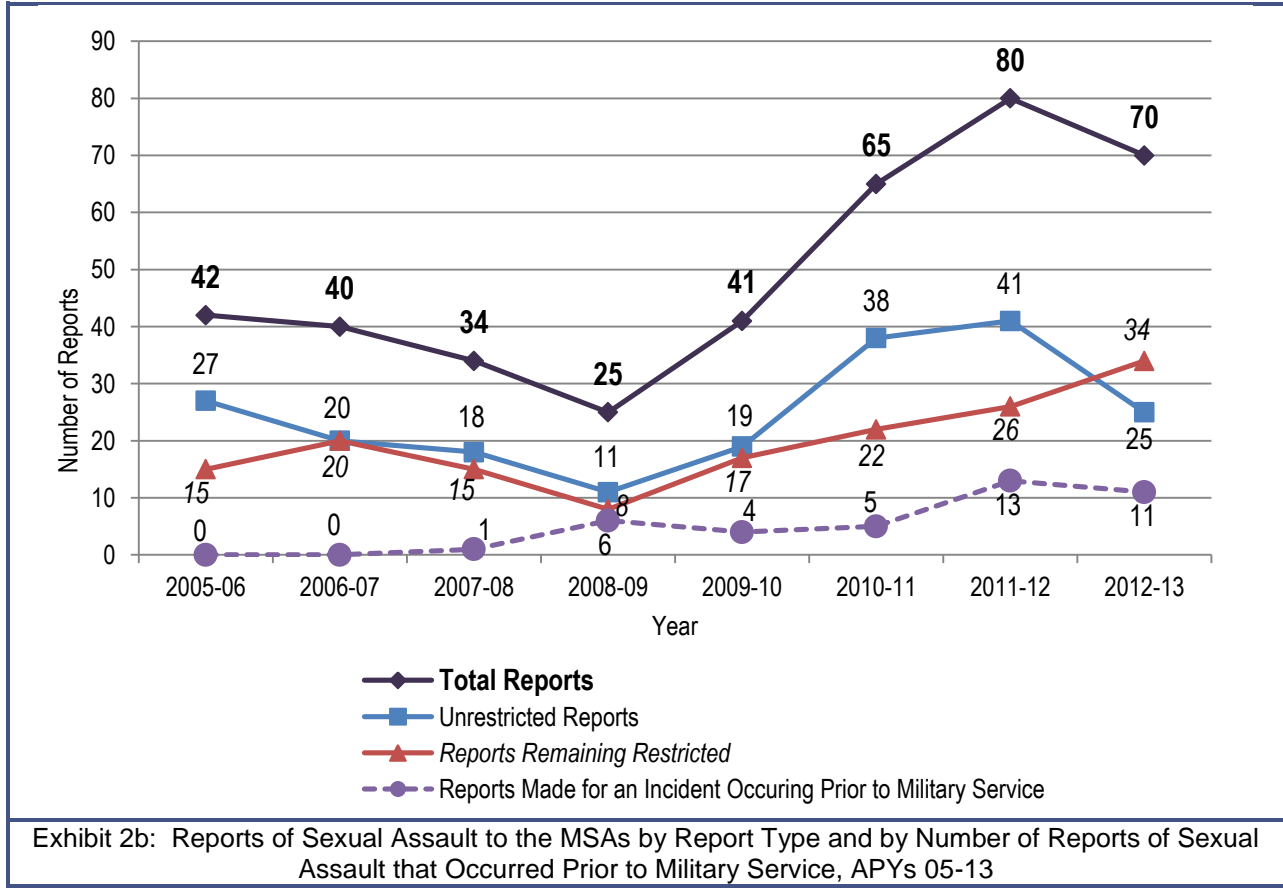


Exhibit 2b breaks out the cadets and midshipmen who made a report of sexual assault based on incidents that occurred prior to entry at their Academy and are represented by the dotted lines.¹⁹ In APY 12-13, seven cadets/midshipmen made Restricted Reports and four cadets made an Unrestricted Report for an incident that occurred prior to their entry into an academy.



¹⁹ The choice to make a sexual assault report for an incident occurring prior to service creates increased opportunity for victim care, and may imply a level of victim confidence in the MSA response systems.

Exhibit 3 shows reports of sexual assault by academy. Table 1 lists the type of sexual assault reported by MSA.

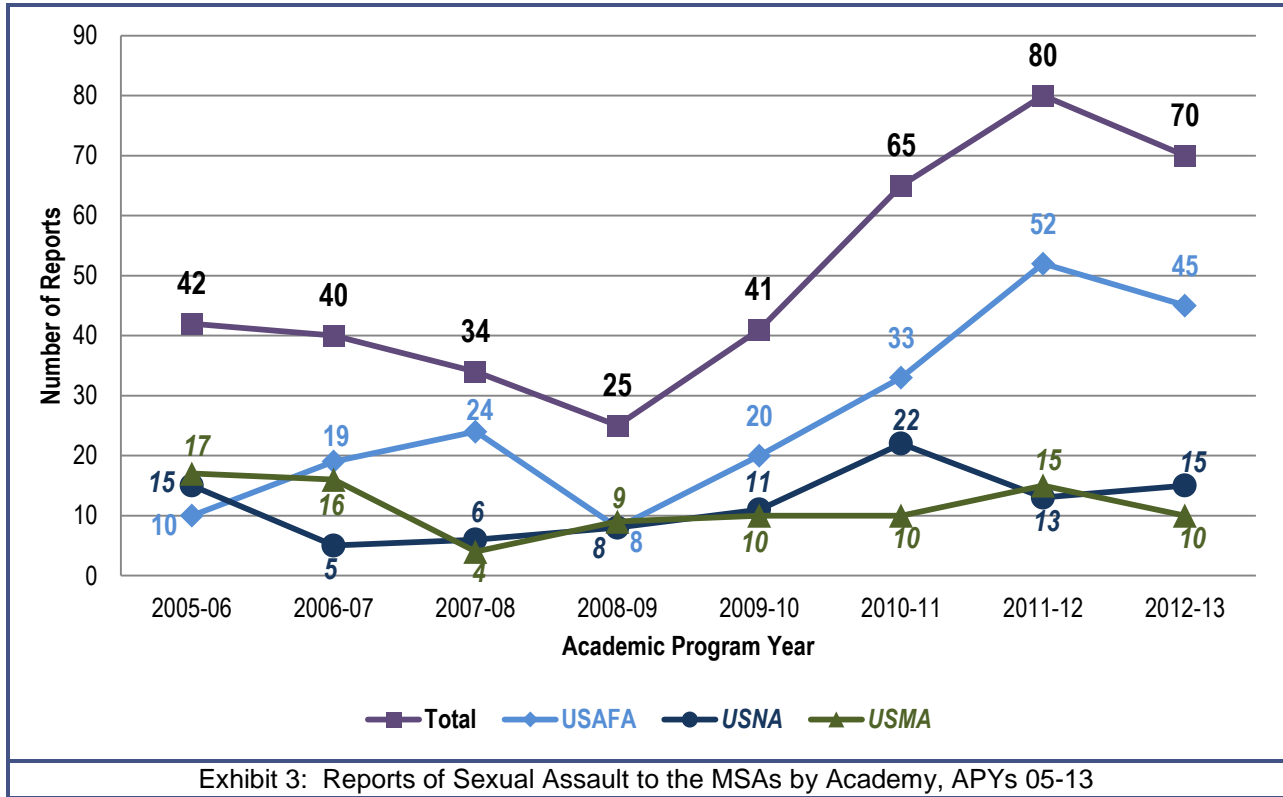


TABLE 1 – Total Reports (Restricted and Unrestricted) of Sexual Assault at MSAs

Service Academy	Total Reports	Unrestricted Reports	Reports Remaining Restricted
U.S. Military Academy	10	7	3
U.S. Naval Academy	15	4	11
U.S. Air Force Academy	45	18	27
Totals	70	29	41

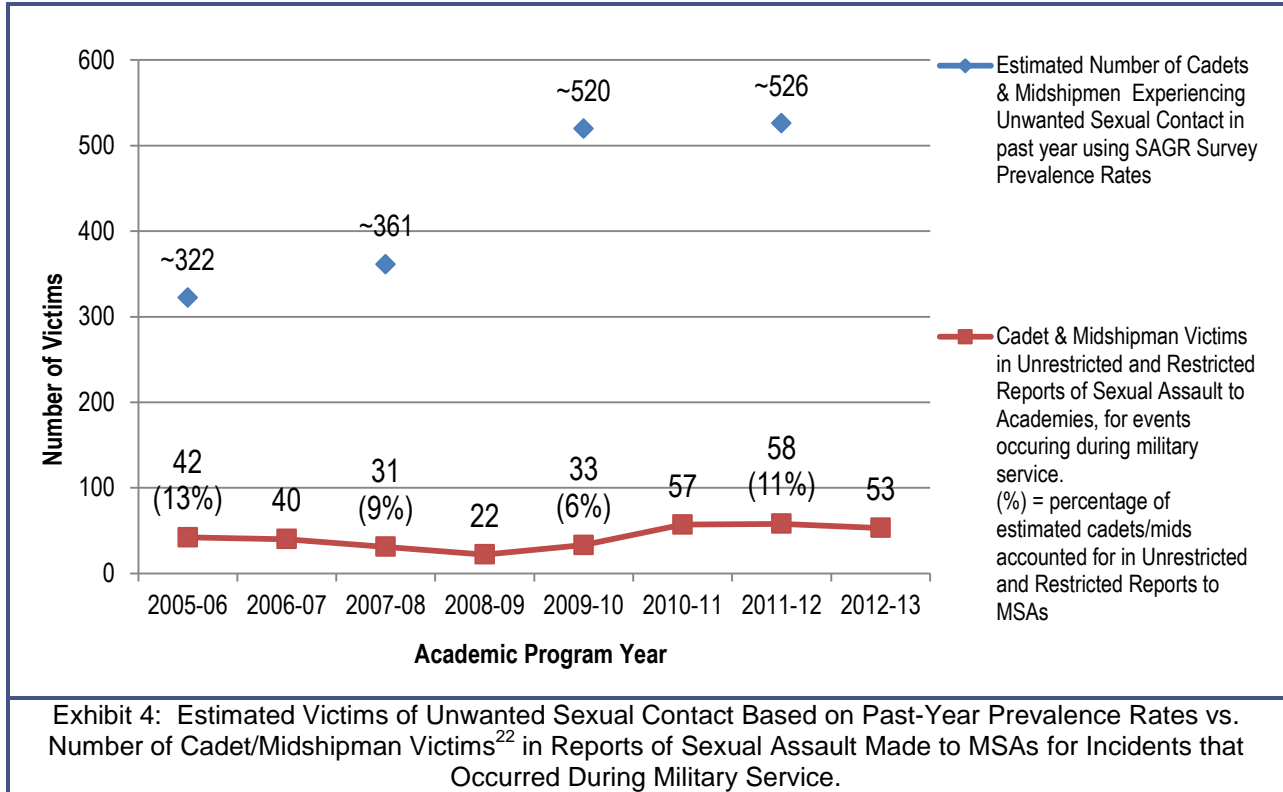
Reports of sexual assault made to Department authorities provide limited insight into the overall phenomenon of sexual assault at the MSAs. As previously mentioned, sexual assault in United States and military society is underreported, meaning that reports to authorities are outnumbered by the sexual assaults estimated to occur using surveys of a given population. At the MSAs, the SAGR survey is conducted every two years to estimate the past-year prevalence rate of sexual assault in the MSA population. The SAGR survey will be conducted again in APY 13-14 and reported in next year's

assessment. The Department also uses the SAGR survey data to track progress on the 2013 DoD SAPR Strategic Plan Prevention line of effort.

- Exhibit 4 displays how past SAGR survey estimates of the number of cadets and midshipmen who indicated experiencing sexual assault (known on the survey as “unwanted sexual contact”) compare to the number of victims in actual Unrestricted and Restricted Reports received by the academies.^{20,21}
- In total, 70 reports were received during APY 12-13. However, not all the reports received were for incidents that to cadet/midshipman victims during military service. As depicted in Exhibit 4, 53 cadet and midshipman victims made a report for an incident that occurred during military service. Eleven reports were made by cadets and midshipmen for events that occurred before they entered military service. An additional 5 reports involved civilian victims who reported being sexually assaulted by a cadet or midshipman. One cadet was the victim in two separate Unrestricted Reports.

²⁰ Although the term unwanted sexual contact does not appear Articles 120 , 125, or 80 of the UCMJ, for the purposes of this report it is used to refer to a range of activities that the UCMJ prohibits, including uninvited and unwelcome completed or attempted sexual intercourse, nonconsensual sodomy (oral or anal sex), penetration by an object, and the unwanted touching of genitalia and other sexually related areas of the body.

²¹ The estimated number of cadet and midshipman victims is developed using the SAGR survey weighted estimated unwanted sexual contact prevalence rate across all genders and DoD MSAs (~4%), multiplied by the academy cadet/midshipman population at the time of the survey. It should be noted that the timeframe covered by the SAGR Survey question pertains to unwanted sexual contact experienced in the year prior to when the survey was conducted and does not always align exactly with the APY. As a result, the SAGR Survey victim numbers *are only estimates*, due to the variances in survey estimates associated with survey data and the slightly different timeframes. Nevertheless, the Department uses these estimates as an indicator of the degree of underreporting at each of the academies.



APY 12-13 Unrestricted Reports of Sexual Assault

In APY 12-13, there were 29 Unrestricted Reports of sexual assault involving cadets and midshipmen as either the subject and/or victim of a sexual assault investigation.

- 26 of the Unrestricted Reports involved cadets and midshipmen as victims.
- Four cadets made an Unrestricted Report relating to sexual assault incidents that occurred prior to academy matriculation.

Once an Unrestricted Report of sexual assault is made, Department policy requires that the report be forwarded to an MCIO for investigation (Exhibit 1, Point D). Depending upon the complexity of the alleged crime, an investigation can take a few weeks to several months to complete. Not all of the reports made in a given year are completely investigated by the end of that year.

- Of the 24 criminal investigations initiated during APY 12-13, 16 investigations

²² This graph depicts the estimated number of cadets and midshipmen who experienced unwanted sexual contact in the past year (based on SAGR Survey prevalence rates), versus the number of cadet and midshipman victims in actual reports of sexual assault made to MSAs in the APYs indicated. Note that although 70 total sexual assault reports were received in APY 12-13, 11 of the reports were for events that occurred to cadets and midshipmen before they entered military service at the Academies; 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, leaving 53 cadets/midshipmen. The remaining reports involved civilian victims who were reportedly assaulted by cadet or midshipman subjects. In addition, the survey-based estimates in this graph have been updated this year with more precise estimates from DMDC.

were completed in APY 12-13. The outcomes of the other eight investigations will be reported in forthcoming years' reports (Exhibit 1, Point F).

- 18 investigations of sexual assault from prior reporting periods (APY 11-12) were also completed during APY 12-13.
- In sum, 34 investigations of sexual assault (Exhibit 1, Point E) involving 34 subjects (Exhibit 1, Point G) were completed during APY 12-13.
- By the end of APY 12-13, legal authority and disposition had yet to be determined for three subjects of investigations closed in APY 12-13 (Exhibit 1, Point H). Disposition for these subjects will be documented in future reports.

When an Unrestricted Report of sexual assault is made, the MCIOs investigate all alleged violations of military law contained in the report. However, to comply with legislated reporting requirements, the Unrestricted Reports are categorized by the most serious sexual assault infraction alleged. Exhibit 5 shows the sexual assault crimes alleged for the 29 Unrestricted Reports made in APY 12-13. It should be noted that the crime investigated might not always result in the same crime being charged or addressed with a disciplinary action. For example, if the crime of "Rape" is alleged and investigated, but only evidence for the crime of "Aggravated Sexual Contact" is discovered during the investigation, then only the crime of "Aggravated Sexual Contact" can be charged.

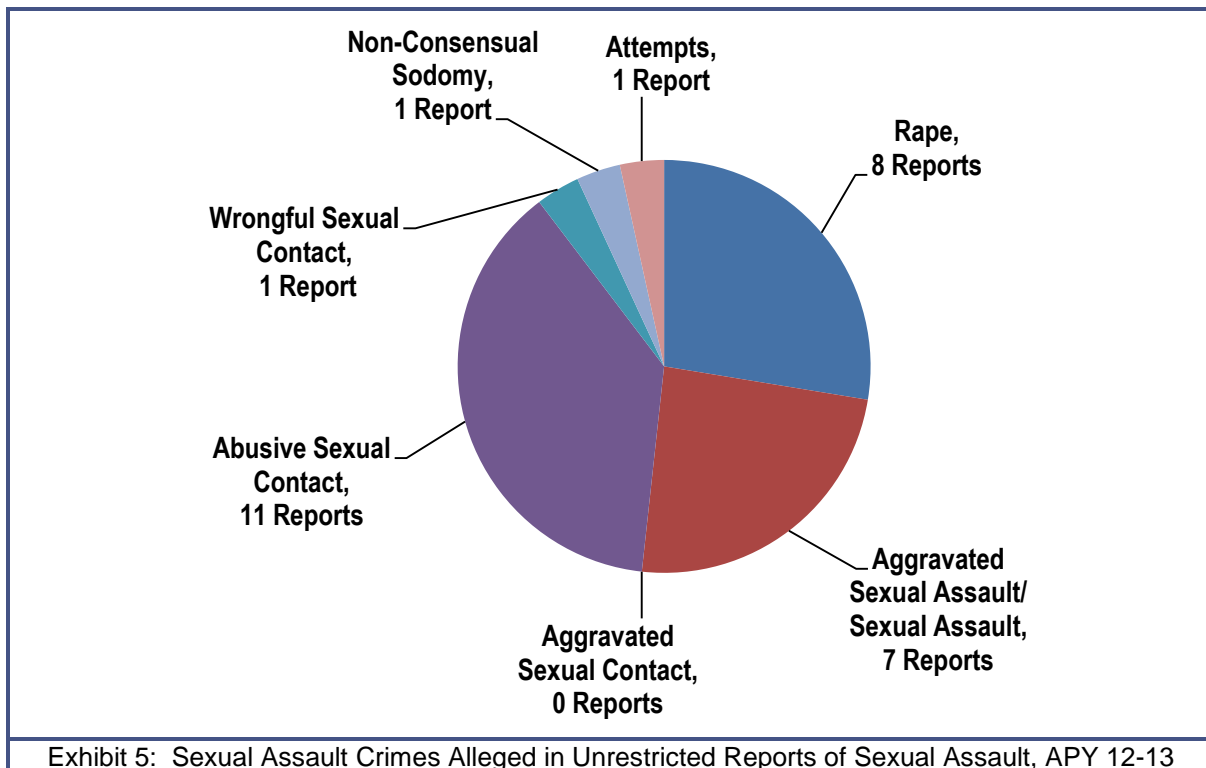
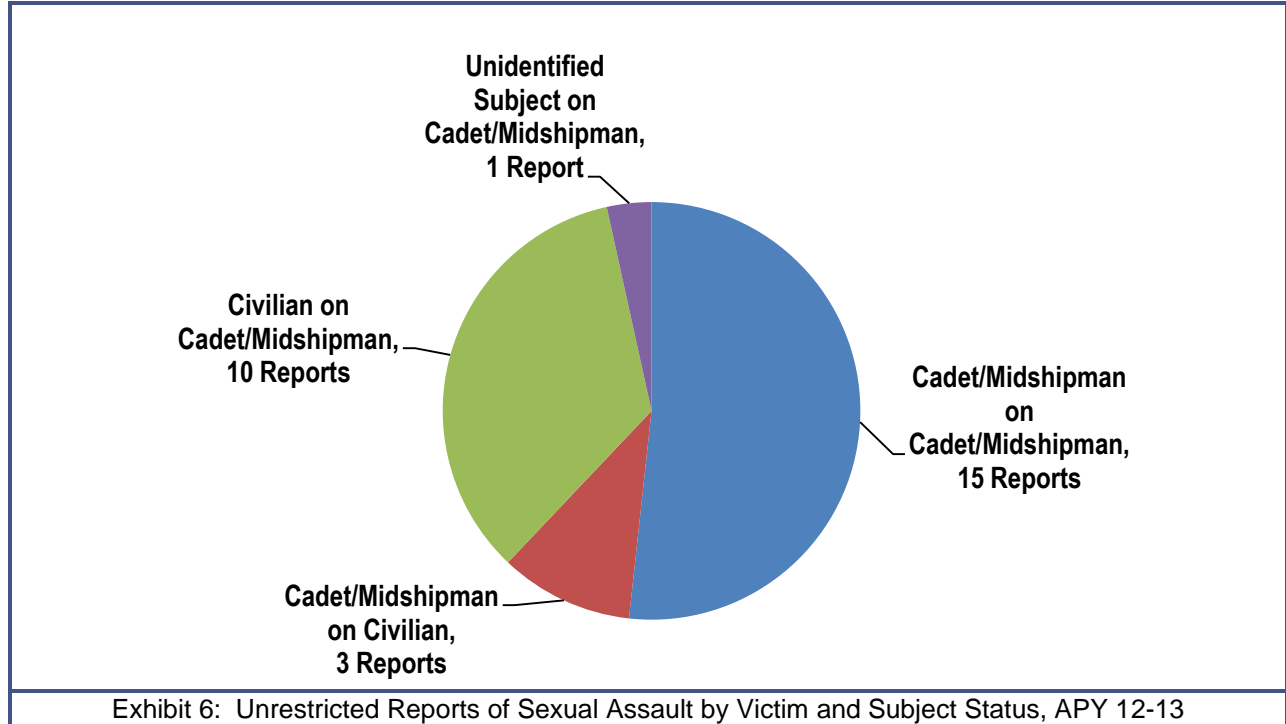


Exhibit 6 illustrates how cadets and midshipmen were involved in sexual assault reports. In APY 12-13, 15 of the 29 Unrestricted Reports involved the victimization of a cadet or midshipman by another cadet or midshipman. Three reports involved victimization of a civilian by a cadet or midshipman.



Disposition of Completed Investigations

When an Unrestricted Report is investigated, the goals of the investigation are to identify what crimes, if any, have been committed, who has been victimized, and who may be held appropriately accountable for the crime. It is the intent of the Department to hold offenders appropriately accountable when it has legal authority and available evidence supports such action. The 34 criminal investigations closed in APY 12-13 involved 34 subjects. By the end of APY 12-13, the MSAs had case outcome information for 31 of the 34 subjects. Case outcomes for the remaining three subjects will be reported in a forthcoming report.

Exhibit 1 shows the flow of sexual assault reports from initial allegation through final disposition.

Twelve subjects were outside the legal authority of the DoD.

- Allegations against one subject determined to be unfounded by the MCIO (Exhibit 1, Point I).
- Four subjects could not be identified, despite a thorough investigation (Exhibit 1, Point J).

- Four subjects were civilians who were not subject to military law (Exhibit 1, Point K).
- Two subjects were cadets whose allegations were addressed by a civilian legal authority.
- One subject was a cadet who died before the allegations could be resolved by a civilian police agency.

Reports of investigation on the 19 subjects within the legal authority of the DoD were provided to MSA authorities to consider for appropriate disciplinary action (Exhibit 1, Point N):

- Commanders had sufficient evidence of a crime to support taking disciplinary action against 11 subjects (Exhibit 1, Point P).
 - The actions taken for sexual assault crimes are as follows (Exhibit 1, Point R):
 - Court-martial charges preferred (initiated): 5 subjects
 - Nonjudicial punishments (Article 15, UCMJ): 0 subjects
 - Administrative discharges: 0 subjects
 - Other Adverse Administrative Action: 1 subject
 - The actions taken for other misconduct that was discovered during the course of the sexual assault investigation are as follows (Exhibit 1, Point S):
 - Court-martial charges preferred (initiated): 0 subjects
 - Nonjudicial punishments (Article 15, UCMJ) 1 subject
 - Administrative discharges: 0 subjects
 - Other Adverse Administrative Action: 4 subjects
- Commanders could not take action against eight subjects (Exhibit 1 Point O).
 - For seven subjects, command action for sexual assault charges was precluded because the victim declined to participate in military justice actions:
 - For one subject, command action for sexual assault charges was declined because MSA authorities determined the allegations against the subjects were unfounded (Exhibit 1, Point Q).

Disposition of Sexual Assault Reports Received in APY 12-13

The Department of Defense provides its statistics as a “snapshot in time,” documenting the status of sexual assault reports and disposition of the cases as of the last day of the Academic Program Year. To better understand what happened to just the reports of sexual assault made in APY 12-13, the following accounting is provided:

70	Reports of Sexual Assault Received in APY 12-13
<u>- 41</u>	Reports Remaining Restricted at the end of the APY (7 reports for incidents occurring prior to service)
29	Unrestricted Reports of Sexual Assault
<u>- 4</u>	Unrestricted Reports for incidents occurring prior to military service
25	Unrestricted Reports for incidents occurring during APY 12-13

- 1 Investigation that addressed two separate Unrestricted Reports, involving same victim
- 24 Criminal investigations opened during APY 12-13

- 9 Investigations ongoing/disposition not decided at APY end (outcomes to be reported in forthcoming reports)
- 15 Criminal investigations completed at the end of the APY

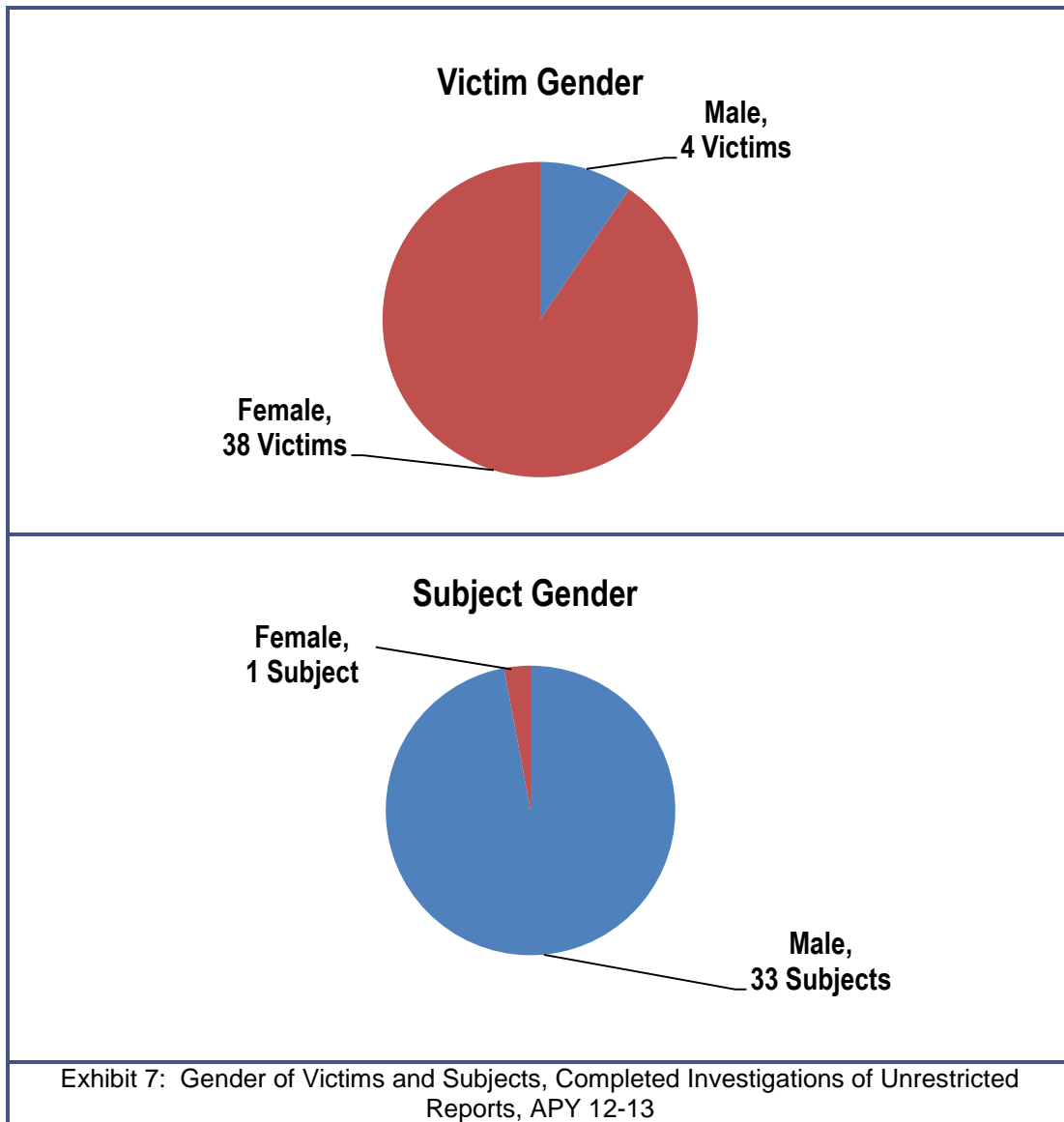
- 1 Subject – Allegations unfounded by Military Criminal Investigative Organization
- 4 Subjects – Offender unknown
- 2 Subjects – Civilian perpetrator not subject to the UCMJ
- 1 Subject – Died before completion of military justice process
- 7 Subjects – Under DoD legal authority to be reviewed for possible action

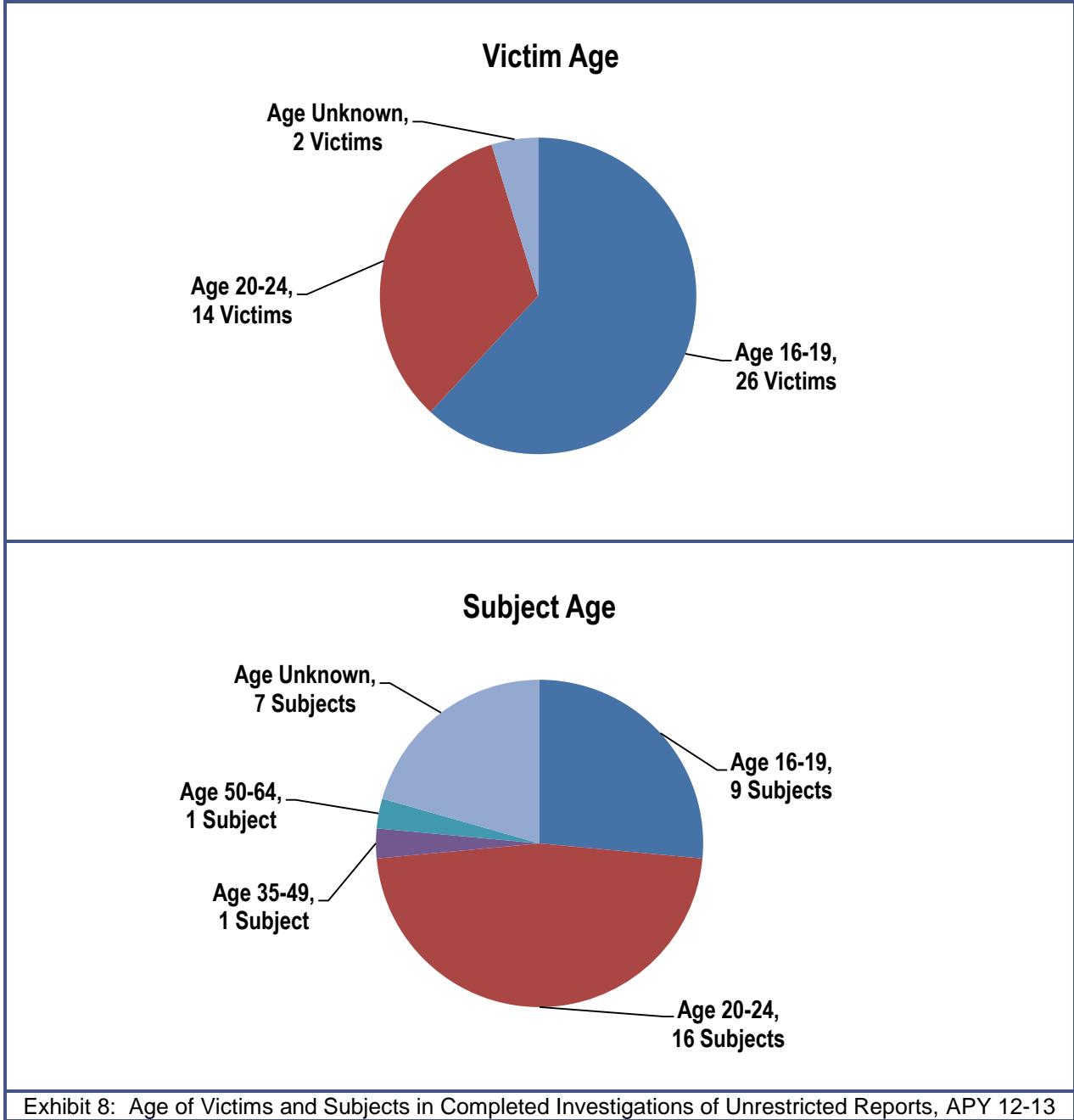
- 4 Subjects – Victims declined to participate in military justice action
- 1 Subject – Allegations unfounded by command legal review of case
- 2 Subjects – Evidence supported commander action
- 1 Subject – Court-Martial charge preferred on sexual assault charge
- 1 Subject – Adverse Administrative Action – Cadet Discipline System

Demographics of Unrestricted Reports

The following demographic information is drawn from the 34 investigations of sexual assault that were completed during APY 12-13. These investigations involved 42 victims and 34 subjects.

Exhibit 7 shows victim and subject gender. Exhibit 8 (next page) illustrates victim and subject age in completed investigations of Unrestricted Reports in APY 12-13.





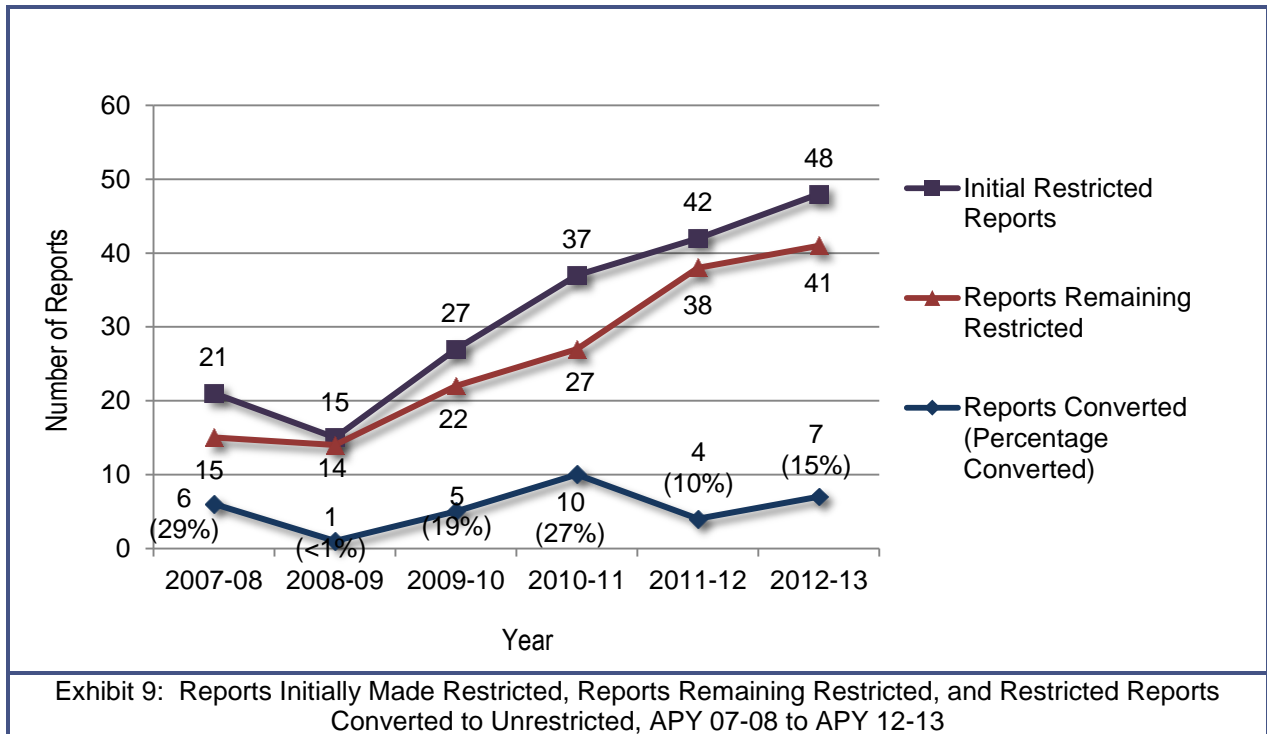
APY 12-13 Restricted Reports of Sexual Assault

SARCs and SAPR Victim Advocates (VAs) ordinarily collect information about Restricted Reports. Because Restricted Reports are confidential, covered communications as defined by Department policy, SAPR personnel only collect limited data about the victim and the allegation being made. As with Unrestricted Reports, Restricted Reports can be made for incidents that occurred in prior reporting periods and incidents that occurred prior to military service.

In APY 12-13, there were 48 initial Restricted Reports of sexual assault.

- Of the 48 reports, seven converted to Unrestricted Reports at the request of the victim.
- At the close of APY 12-13, 41 reports remained Restricted.²³
 - Seven cadets/midshipmen made a Restricted Report and obtained services for a sexual assault that occurred prior to military service.
 - 34 cadets/midshipmen made a Restricted Report and obtained services for a sexual assault that occurred while in military service.

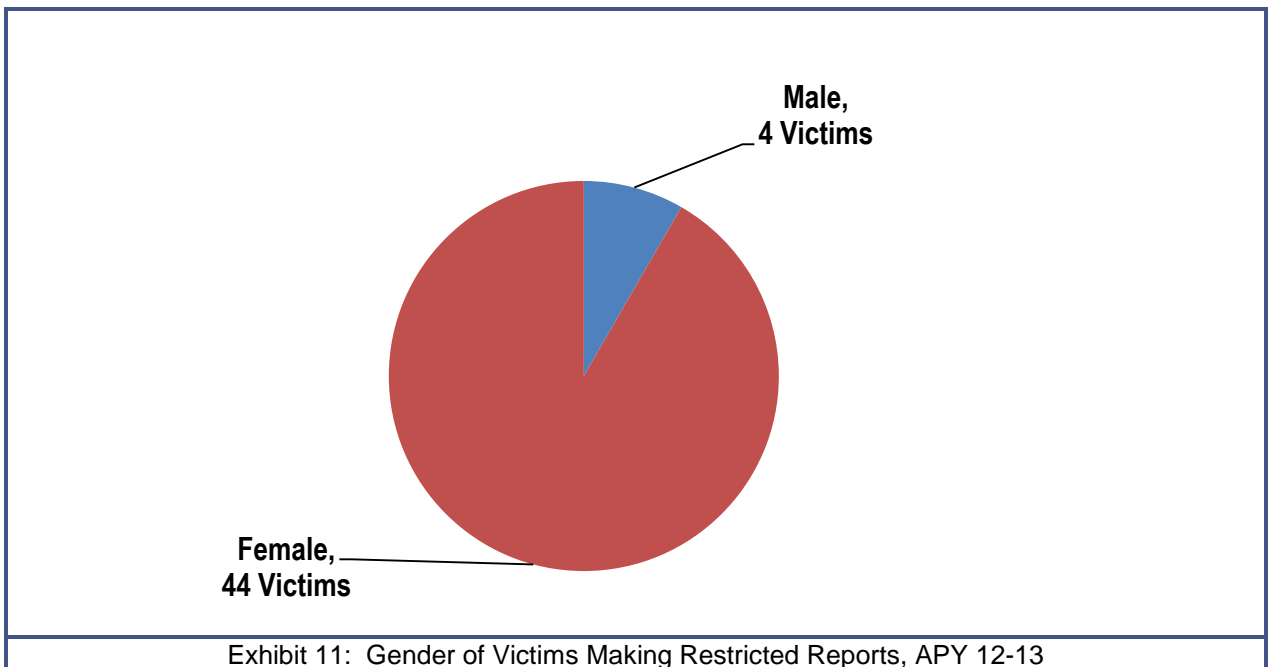
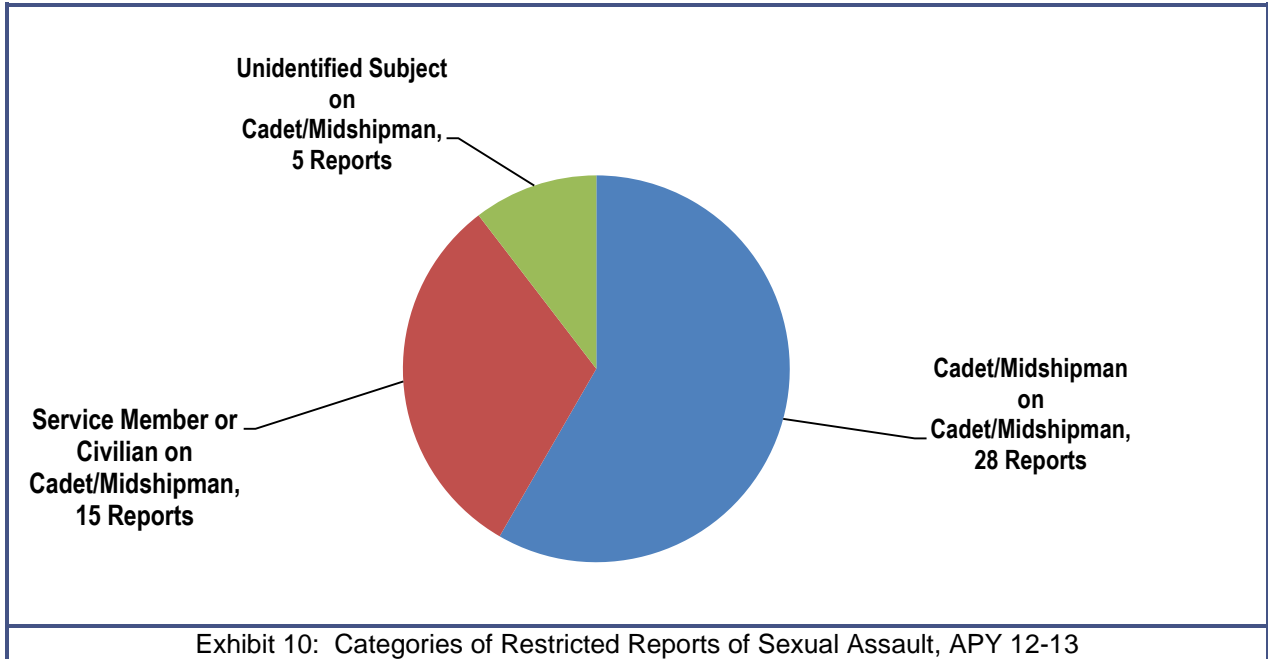
The percentage of victims desiring to convert their Restricted Reports to Unrestricted Reports at the MSAs has fluctuated from year to year. Exhibit 9 shows the Restricted Reports and conversion rates for the past six APYs.

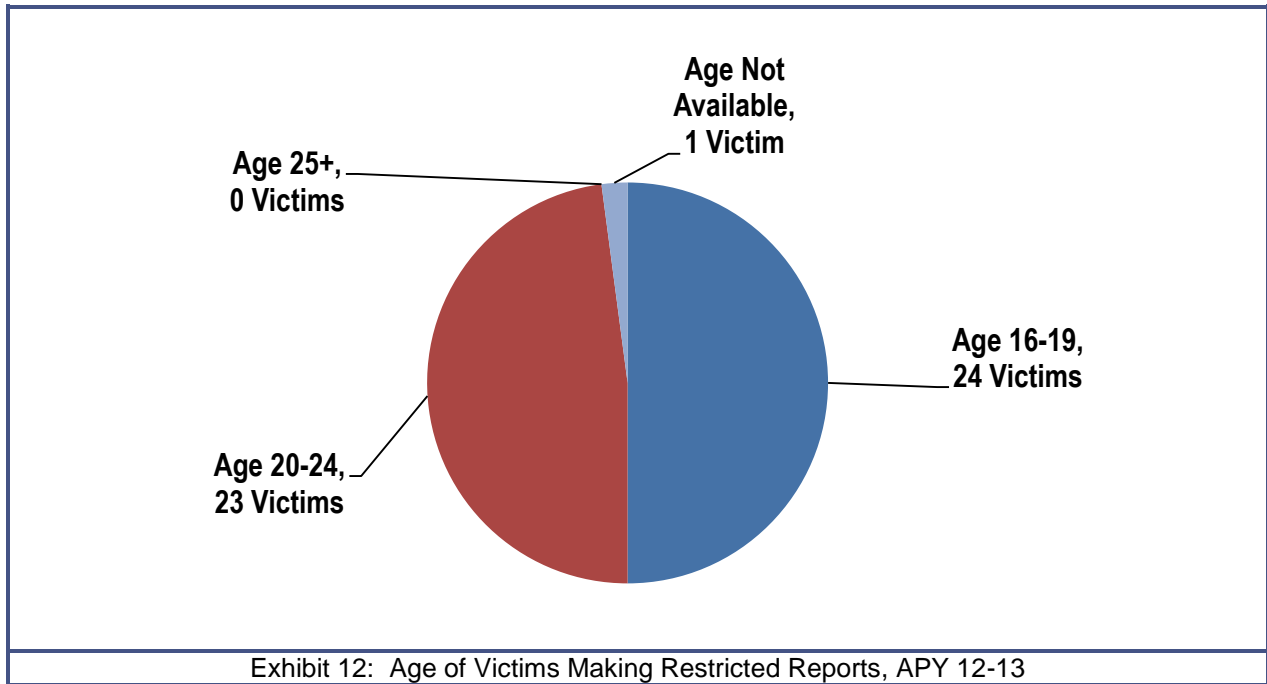


²³ The Restricted Reports that converted to Unrestricted Reports are included in the Unrestricted Report data cited earlier.

Demographics of Restricted Reports of Sexual Assault

The following information pertains to cadets and midshipmen who made a Restricted Report of sexual assault. Exhibit 10 shows the categories of Restricted Reports reported to the MSAs and Exhibits 11 and 12 provide the victim gender and age data, respectively.





APY 12-13 Service Referral Information

Sexual assault response coordinators (SARC) and SAPR Victim Advocates (VA) are responsible for ensuring victims have access to medical treatment, counseling, and legal advice. Referrals for these services are made to both military and civilian sources. A referral for service can happen at any time while the victim is receiving assistance from a SARC or SAPR VA and may happen several times throughout the military justice process. This year, SARCs and SAPR VAs at the MSAs made an average of seven service referrals to victims making Unrestricted Reports. For victims making Restricted Reports, SARCs and SAPR VAs provided an average of six service referrals per report.

Department policy requires that a sexual assault forensic examination (SAFE) be made available to victims of sexual assault. A SAFE is conducted only with the victim's consent. In APY 12-13, three victims making Unrestricted Reports and six victims making a Restricted Report elected to undergo a SAFE.

SEXUAL HARASSMENT

Reporting of sexual harassment is approached differently than the reporting of sexual assault. While both behaviors are unacceptable, sexual harassment is a human relations issue that requires a different response than the crime of sexual assault. As a result, Department policy encourages resolution of sexual harassment at the lowest

interpersonal level.²⁴ However, Service members are not mandated to confront harassment personally and may elect to resolve the matter by making an informal or formal complaint. In APY 12-13, there were no formal complaints of sexual harassment reported to the MSAs and a total of 11 informal complaints of sexual harassment at the MSAs.

- 0 informal complaints at USMA
- 3 informal complaints at USNA
- 8 informal complaints at USAFA

STATISTICAL DATA SUMMARY

- Although no prevalence data is available for this APY report, sexual assault historically is a significantly underreported crime at the MSAs, meaning that the sexual assaults reported to DoD authorities are outnumbered by the sexual assaults estimated to occur through past anonymous surveys of cadets and midshipmen.
- Proportional to incidents, female cadets and midshipmen file more reports of sexual assault; underreporting is greatest by male victims of sexual assault.
- Over the past few years, more victims of sexual assault have made reports at USAFA than at the other two MSAs. Given that the past-year prevalence rates of unwanted sexual contact have been similar at USNA and USAFA over the past few years,²⁵ the greater number of reports seen at USAFA is not likely due to a higher crime rate. Rather, it appears that other factors are motivating Air Force victims to come forward, including a moderately greater level of confidence in the USAFA response system. Adding support to this observation is the fact that several cadets each year make reports to USAFA for incidents of sexual assault and abuse that occurred prior to their coming into military service.
- As of the writing of this report, across the Active Component the four Services (Army, Navy, Marine Corps, and Air Force) had experienced a substantial increase in reports of sexual assault. At the end of FY13, reports made to the Services increased by an average of 50 percent over the number of reports received in FY12. After considering the totality of the circumstances, the Department assessed this increase in reporting as largely due to improved victim confidence throughout the Services, based on a number of Department-wide initiatives undertaken in FY12 and FY13 to improve sexual assault response. This substantive increase in reporting experienced in the Active Component did not occur at the MSAs, with their overall reporting decreasing from 80 reports in APY 11-12 to 70 reports in APY 12-13.

²⁴ DoD Directive 1020.2, Diversity Management and Equal Opportunity in the Department of Defense, 5 February 2009

²⁵ As established by the 2010 and 2012 Service Academy Gender Relations Surveys.

ASSESSMENT OF MSA PROGRAMS: FINDINGS COMMON TO ALL ACADEMIES

The goals of this assessment are largely two-fold:

- To determine whether the MSAs have sexual harassment and assault policies, procedures, and training in place that comply with DoD instructions and directives; and
- To determine the effectiveness of these policies, procedures and training as applied in the MSA environment.

The MSAs were all found to have policies, procedures, and training programs that are generally in compliance with the Department's directives and instructions. Despite being in compliance, sexual harassment and sexual assault continue to exist to varying degrees at each of the MSAs.

Consequently, it follows that policy compliance does not always equate to program effectiveness. Rather, program effectiveness is determined by measuring how well a program performs in a given environment against the goals it sets out to accomplish. While the ultimate intent of the programs being assessed is to enable military readiness and reduce, with the goal to eliminate, sexual assault and harassment, there are more intermediate goals that can be assessed for effectiveness. Each of the DoD's five lines of effort has a goal associated with it:

1. Prevention—Deliver consistent and effective prevention methods and programs
2. Investigation—Achieve high competence in the investigation of sexual assault
3. Accountability—Achieve high competence in holding offenders appropriately accountable
4. Advocacy/Victim Assistance—Deliver consistent and effective victim support, response, and reporting options
5. Assessment—Effectively standardize, measure, analyze, and assess program progress

Each MSA's progress within these lines of effort is documented and evaluated in a forthcoming section. Concerns that apply across all three MSAs are addressed in the sections that follow.

FOSTERING A CLIMATE OF DIGNITY AND RESPECT

Address Damaging Peer Pressure

Leaders, faculty, and staff at the MSAs are committed to eliminating sexual harassment and sexual assault from their respective academies, and are committed to providing a safe environment in which future officers are educated, trained, and developed into leaders of character.

Based on research and ongoing observations by the Department over the past six years, cadets and midshipmen acknowledge that academy leadership take reports of sexual assault seriously and respond appropriately. In addition, it appears that the vast majority of cadets and midshipmen generally support the values of mutual respect and dignity. However, the extent to which cadets and midshipmen feel free to act on these values varies (discussed in greater detail in the focus group section to follow). At each of the three academies, there is evidence that some cadets and midshipmen disregarded academy policies and practices in these areas and engaged in gender-related misbehavior and misconduct, targeting fellow cadets and midshipmen as the focus of crude and offensive language and sexist comments. Observed evidence of misbehavior and misconduct was as follows:

- At the U.S. Military Academy, members of the 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.
- At the U.S. Naval Academy, some midshipmen went against academy rules and rented a house in Annapolis, MD, with the assistance of a sponsor family. The house members hosted an undisclosed number of parties where alcohol was reportedly served to minors. The house was also the scene of an alleged sexual assault involving midshipmen who were members of the USNA football team.
- At the U.S. Air Force Academy, a years-old slide presentation that disparages academy women continued to be circulated by members of at least two sports teams. In addition, informal team customs disparage, taunt, and sometimes chastise individuals that date fellow female cadets.

Each academy's leadership took steps to address the inappropriate behaviors and/or criminal activity that came to its attention. However, the use of email, social media, and other forms of electronic communication made external detection of such unacceptable behavior particularly difficult.

The most unfortunate aspect of this problem is that, at each MSA, the unacceptable behavior of a very few was ignored, tolerated, or condoned by cadets and midshipmen who were aware of the behavior. Well-established scientific research on the dynamics of group behavior indicates that the same social forces that give people a collective sense of identity and purpose also work to maintain the silence or complicity of peers when a few

Action Items:

Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other organizations to advance a climate of dignity and respect

Identify and innovate solutions to address concerns of social retaliation among peers for reporting sexual assault or for taking action against inappropriate conduct

Provide influencers with the skills, knowledge, and commitment to effect ongoing mentorship and reinforcement to prevent sexual harassment and assault

misbehave. When not challenged by peers, the few individuals involved in the problem behavior set a new social norm, allowing the misbehavior and misconduct to perpetuate.

MSA leadership, faculty, coaches, and cadets and midshipmen share responsibility in eliminating disrespectful behavior fostered by inappropriate peer pressure:

- The MSAs should employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other cadet/midshipman organizations to advance a climate of dignity and respect.
- The MSAs should identify and innovate solutions to address concerns of social retaliation among peers for reporting sexual assault or for taking action against inappropriate conduct.
- MSA leadership should provide influencers, such as faculty, staff, coaches, sponsors, alumni organizations, and cadet/midshipman leaders with the skills, knowledge, and commitment to effect ongoing mentorship and reinforcement to prevent sexual harassment and assault.

The Department encourages the MSAs to expand bystander intervention work to address how the institutions can counter these damaging social forces, instill social courage, and advance a culture of commitment to Service values.

Encourage Further Faculty and Staff Training and Involvement

There is great opportunity at the MSAs for enhanced collaboration among faculty and staff and for greater involvement of faculty, staff, and coaches in SAPR efforts. Specific recommendations for each MSA are made in the academy-specific portions of this report. Common to all MSAs is a desire by faculty and staff, as evidenced in the Focus Group findings, for greater involvement in prevention efforts. MSAs are encouraged to incorporate faculty participation strategically into prevention efforts. This should be done first by integrating learning objectives into academic curricula that address sexual harassment and sexual assault in the military, as USMA did during APY 12-13 and as USNA has begun to during APY 13-14.

All faculty, company/squadron officers, senior enlisted leaders, and staff who directly interact with cadets and midshipmen should receive an Academy-modified version of their Service's Pre-command SAPR training prior to beginning of classes or within 30 days of reporting for duty. Each MSA should modify the training to address academy-specific sexual harassment and assault statistics, programs, and accountability procedures.

Action Item:

Provide an MSA-modified version of its Service's pre-command training for all faculty, company/squadron officers, and senior enlisted leaders

Focus group findings indicate that many cadets and midshipmen appreciate the "real world" relevance their instructors (in particular, the military faculty) bring to education and training. This opportunity should

be harnessed by the MSAs so SAPR training and education is delivered in a relevant and effective manner.

DoD Military Equal Opportunity (MEO) policy also requires additional preparation and training of personnel involved in investigating sexual harassment complaints, providing sexual harassment prevention training, or working in victims' assistance and support programs. The MSAs should submit all locally produced sexual harassment developed training plans used by such personnel to the Defense Equal Opportunity Management Institute (DEOMI) for review and comment consistent with DoD policy.

Action Item:

Submit locally produced sexual harassment related training plans to the DEOMI for review

MSAs are also encouraged to identify other roles and opportunities for faculty and staff involvement. (See "Program Assessment" below.) In doing so, MSAs need to appropriately resource all efforts so the right personnel with the requisite skills are efficiently allocated to the SAPR and POSH programs.

Improve Training Approach

Cadets and midshipmen are receiving information about sexual harassment and assault prevention and response. However, mounting evidence from focus group feedback, assessment observations, and past survey results indicate that much of this training occurs outside the regular duty day, on weekends, or at other times that make cadets and midshipmen less receptive to the concepts being presented. In addition, most of the training is not systematically evaluated to determine if the material presented is achieving the desired outcome (The exception to this is USNA's regular evaluation of the Sexual Harassment and Assault Prevention Education (SHAPE) program). Programs that lack a scientific or theoretical foundation, or lack outcome data to demonstrate some form of effectiveness have been shown to be of limited use. Given the impact that sexual harassment and assault have on a Service member, unit readiness, and the armed forces, the MSAs should develop and implement sexual harassment and sexual assault learning objectives into related classes within core academic curricula.

Action Item:

Develop and implement sexual harassment and sexual assault learning objectives into related classes within core academic curricula

Expand Alcohol Policies

Alcohol consumption remains a significant factor in alleged sexual assaults reported to the MSAs. Of 34 investigations of Unrestricted Reports completed during APY 12-13, 11 (32%) involved the use of alcohol by one or more parties. However, alcohol likely plays a much larger role than what is depicted in reported incidents. The most recent survey of cadets and midshipmen in 2012 found that alcohol use by the offender and/or the victim occurred in about 59% of situations of unwanted sexual contact.

All three MSAs have policies that address individual drinking behavior, and have taken steps to limit the kind and quantity of alcohol available to cadets and midshipmen who are of legal drinking age. However, more can be done to address alcohol service, sales, and availability. For example, USNA leadership this past year engaged alcohol-serving establishments in the local community to request their assistance in ensuring responsible use by midshipmen. The USNA Superintendent himself requested that establishment owners contact the Academy at any time should they encounter evidence of irresponsible use or problematic behavior. All three MSAs should seek out, sustain, and expand this kind of community cooperation as part of a comprehensive alcohol policy.

Action Item:

Review and systematically expand alcohol policies to address risk factors beyond the individual use of alcohol

Based on advice from the Division of Violence Prevention, National Center for Injury Prevention and Control at the Centers for Disease Control and Prevention, the Department encourages each of the academies to review and update their alcohol policies to address factors beyond individual use. Expanded alcohol policies should be comprehensive, involve cadet/midshipmen in the planning and enforcement process, and include:

- **Enhanced policies and skills for serving alcohol.** Responsible Beverage Service (RBS) is designed to promote public safety and reduce risk associated with the retail alcohol environment. The goal of RBS is to reduce alcohol-related problems by educating an establishment's staff on the sales and service of alcohol, and holding them appropriately accountable if their establishment violates applicable laws, such as sales to minors and sales to obviously intoxicated patrons. The academies should review RBS Best Practices in conjunction with existing requirements employed by their state's alcohol beverage control board and apply them wherever possible to all installation establishments dispensing alcoholic beverages. The RBS Best Practices developed by the State of California may be a useful guide for this effort.
- **Sales Times.** The MSAs should review the times that alcohol is sold and consider adjusting as appropriate sales times to cadets, midshipmen, and whenever necessary, other military members. Considerable scrutiny should be

given to curtailing alcohol sales times late in the evening or into the early morning hours.

- **Availability of Alcohol and Consumption Locations.** The MSAs have a limited number of establishments and points of sale for alcoholic beverages on their installations. Existing department policy governs sales at these facilities. However, each of the MSAs have a number of establishments in their immediate communities and surrounding areas that sell alcohol to cadets and midshipmen, or provide lodging where alcohol may not always be used responsibly or in compliance with law. Cadets and midshipmen may also consume alcohol at private and/or unauthorized residences rented by or for cadets and midshipmen in the vicinity of the MSAs. The MSAs should develop and execute a plan to contact and request the voluntary assistance of community establishments, parents, family members, and sponsors to promote responsible alcohol use by cadets and midshipmen. Likewise, the MSAs should provide local establishments with 24-hour contact information should establishments identify irresponsible use and/or parties involving cadets and midshipmen within their establishments. The community engagement techniques used by Great Lakes Naval Station and other Naval installations may be a useful guide for this effort.
- **Drinking Environment.** The MSAs should develop and execute installation policies that impede or deter irresponsible drinking behaviors while transiting or traveling off the installation. The MSAs should review and optimize existing alcohol policies to deter driving under the influence, irresponsible and/or illegal alcohol use while traveling away from the installation, and large-quantity alcohol purchase and/or transportation.

PROGRAM DEVELOPMENT AND ASSESSMENT

As sexual assault and sexual harassment prevention and response initiatives continue to develop and evolve, a centrally coordinated plan is required to ensure program thoroughness and completeness. As the Department established its SAPR Strategic Plan, and as the Services developed new SAPR Strategic Plans in alignment with the DoD SAPR Strategic Plan, the MSAs should develop their own SAPR Strategic Plans organized and executed under the supervision of a single point of accountability. The strategic plan should employ a multidisciplinary approach in prevention, investigation, accountability, advocacy/victim assistance, and assessment. The authority and responsibility for plan implementation, execution, and assessment of effectiveness should lie with a designated MSA staff member, reporting to the Superintendent, who is ultimately responsible for the oversight of the SAPR and POSH programs.

Action Item:

Develop and implement a sexual harassment and assault prevention and response strategic plan, centrally coordinated, executed, and assessed by staff that report directly to the superintendent

Meaningful program performance measurement is essential to ensure all sexual assault and sexual harassment prevention and response efforts achieve the goals for which they were designed. Currently, the MSAs independently assess SAPR training and some behavior trends. However, none of the MSAs has implemented an organized measurement approach to track program impact on the prevalence of sexual assault and harassment, the effectiveness of its response systems to victims, or improvements in individual cadet/midshipman knowledge, skills, and attitudes. USAFA developed a first-of-its-kind draft set of metrics that assesses the gender relations culture. The proposal, called the USAFA Gender Relations Integrated Platform (GRIP), aims to achieve a better understanding of the gender relations culture at USAFA, monitor 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.

The Department encourages further development of these metrics. The Department also encourages the development of similar metrics by USMA and USNA for meaningful program assessment. The development and/or adaption of the GRIP present an opportunity for further faculty input and involvement.

Action Item:

Develop and implement metrics and assessment strategies to evaluate and regularly report progress in sexual harassment and assault prevention and response

FOCUS GROUP RESULTS

While the focus groups conducted by DMDC were independent of the MSA program assessments conducted by SAPRO, the focus group findings support the conclusions and recommendations stated above. Facilitators asked focus group participants for their perspectives on the culture at their academy and how unwanted gender-related behaviors might be diminished. DMDC discussed with participants—cadets, midshipmen, faculty, and staff—how verbal behaviors, such as crude and offensive language and sexist comments, might contribute to a disrespectful environment and might propagate more aggressive behaviors. Directly related to an environment where improper attitudes and behaviors might result in unwanted sexual behaviors is the role of alcohol. The stress-filled life of cadets and midshipmen is conducive to maximizing their social time, which can translate into excessive drinking and associated poor judgment in relationships. Finally, among cadets and midshipmen, protecting one's reputation and social standing is, in their perspective, critical to success at the academy. The result is an unwillingness to take action when improper behaviors occur, either in reporting behaviors that they experience personally or that they witness, or an unwillingness to challenge those who act improperly.

Focus group findings indicated that changing the environment where improper behaviors and poor decisions occur requires heightened emphasis on respect and professionalism. Doing so requires recognition that these factors contribute to a less than professional culture, an acceptance of responsibility to challenge anyone who acts

improperly, and an acceptance of this responsibility as the mark of a future officer and leader.

The focus groups among faculty and staff illuminated a ready and willing resource to help with this cultural change. Because faculty, military leaders, coaches, and other staff members are in constant contact with cadets and midshipmen and often have established trusted relationships, they represent a resource to communicate expectations, model professional behaviors, serve as mentors, and counsel those who trust them. Many faculty and staff members do so already, but based more on their own initiative than a coordinated effort. An opportunity exists for the academies to energize faculty and staff members through an approach that gives them a consistent message to share with cadets and midshipmen, training in skills for dealing with improper gender-related behaviors, and clearer guidance on resources available and reporting requirements.

The *2013 SAGR Focus Group Report* draws many themes and opportunities from the perspectives of cadets, midshipmen, faculty and staff on a number of issues. While some themes were unique to a specific academy, by and large the common themes were similar across all three MSAs. Highlights of the report include:

Program Compliance

Cadets and midshipmen stated in focus groups that they understand the emphasis on sexual assault prevention and response. They agreed that academy officials would take immediate action when an incident occurs. The training cadets and midshipmen receive imparts the factual aspects of prevention and response programs, such as the role of the SARC and SAPR VAs. However, many cadets/midshipmen have never personally experienced sexual assault nor know anyone who has, hence the messaging and training on sexual assault is not highly relevant to them. In order to engage them more fully, cadets/midshipmen stated that they like to hear from people like themselves who have had an experience and from officers who have dealt with situations in the field. They also indicated that small group discussions are much more effective than large lectures because they can discuss issues and hear various opinions or experiences. The leader of small group discussions, however, must be someone knowledgeable in the topic who can maintain control and keep the discussion focused. Finally, while some cadets/midshipmen indicated their commissioned officers and NCOs talk to them about these issues, others indicated these individuals do not.

Reporting Sexual Assault

Cadets/midshipmen discussed their reluctance to report incidents of either sexual assault or sexual harassment due to perceived damage to their reputations. They articulated various repercussions from reporting, such as being ostracized for getting a fellow cadet or midshipman in trouble, getting themselves in trouble for other offenses (underage drinking, fraternization), or being blamed for causing the incident. They believe that calling such attention to themselves can diminish their social standing

among peers and have a future impact on their careers. Cadets/midshipmen also noted that in some instances, they would like to discuss an unwanted incident with someone they know and trust but they are reluctant for fear the incident would have to be reported.

Cultural Issues

Cadets/midshipmen noted that crude and offensive language and sexist comments occur frequently and are an ingrained part of the experience at the academies. While they noted individuals would typically stop offensive comments when asked, cadets and midshipmen feared that any pushback might diminish their standing in the eyes of their peers. Many participants, both cadets/midshipmen and faculty/staff, noted that verbal behaviors, such as crude and offensive language and sexist comments, contribute to a disrespectful environment where more aggressive behaviors might propagate.

Alcohol

Both cadets/midshipmen and faculty/staff indicated that alcohol plays a role in many unwanted behaviors. Alcohol may diminish inhibitions and increase the likelihood to engage in behaviors one might not do when sober. Alcohol plays a primary role in relaxation and their expectations of what it is to be a “normal” college student. What they perceived as overly restrictive academy rules often motivated some to engage in excess during their “personal time.” Additionally, cadets/midshipmen noted that use of alcohol contributes to their reluctance to intervene or report an unwanted incident for fear of being punished for collateral misconduct.

Faculty/Staff Involvement

Faculty/staff indicated that they are motivated to help students deal with personal issues. However, not all faculty/staff members feel prepared to advise cadets/midshipmen, nor are they sure of their requirement for reporting sexual assault. Some faculty/staff members have developed their own approach to mentoring or advising cadets/midshipmen. Additionally, most faculty/staff members see cadets and midshipmen during the “professional” part of their day and do not have the opportunity to observe improper behaviors directly. The training they receive identifies facts about the program, such as the name and location of the SARC, but there is no common message, other than zero tolerance, for faculty and staff to advocate for a heightened sense of accountability and responsibility among cadets/midshipmen.

SUMMARY OF RECOMMENDATIONS FOR ALL MSAs

The following recommendations are based on findings from on-site assessment observations, sexual assault reporting data, and focus group feedback, and are informed by past SAGR survey findings. As described in this report, all MSAs should:

1. Employ purposeful and direct engagement with leaders and supervisors of teams, clubs, and other organizations to advance a climate of dignity and respect.
2. Identify and innovate solutions to address concerns of social retaliation among peers for reporting sexual assault or for taking action against inappropriate conduct.
3. Provide influencers with the skills, knowledge, and commitment to effect ongoing mentorship and reinforcement to prevent sexual harassment and assault.
4. Provide an MSA-modified version of its Service's pre-command training for all faculty, company / squadron officers, and senior enlisted leaders.
5. Integrate Service Command Climate Assessment process into cadet/midshipmen unit structure.
6. Submit locally produced sexual harassment related training plans to the DEOMI for review.
7. Develop and implement sexual harassment and sexual assault learning objectives into related classes within core academic curricula.
8. Review and systematically expand alcohol policies to address risk factors beyond the individual use of alcohol.
9. Develop and implement a sexual harassment and assault prevention and response strategic plan, centrally coordinated, executed, and assessed by staff that report directly to the superintendent.
10. Develop and implement metrics and assessment strategies to evaluate and regularly report progress in sexual harassment and assault prevention and response.

CONCLUSION

Though all MSAs are compliant with current DoD policy, compliance alone cannot advance and sustain a culture of dignity and respect. Effective policy must go hand in hand with strategic plans and initiatives that drive culture change, improve reporting, advance prevention, and build victim confidence in response systems. During APY 12-13, the MSAs worked to enhance SAPR programs, improve SAPR training, and establish an enduring culture of dignity and respect. MSAs leadership spent considerable time promoting sexual assault and sexual harassment prevention and awareness.

Preventing sexual harassment and sexual assault requires participation of the entire MSA community—to adhere to Service standards and values, to promulgate cultural improvements, and to implement and enhance SAPR programs. During APY 13-14, the MSAs must identify innovative programs and curricula that engage and challenge

cadets and midshipmen. MSAs leadership must do more to motivate and mentor cadets and midshipmen to confront misconduct by applying Service values, intervening when possible, and reporting when necessary.