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Description of document: Coast Guard Academy Report to Congress: [Sexual Harassment and Violence for the Academic Program Year 2012-2013](#), March 24, 2014

Request date: 2014

Released date: 01-December-2014

Posted date: 16-March-2015

Source of document: Commandant (CG-611)
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From: Shumate, Jonathan D LCDR
Date: Dec 1, 2014 12:38:31 PM
Subject: RE: FOIA request [FOIA number 2015-CGFO-00455]

Pursuant to your FOIA request, (FOIA number 2015-CGFO-00455), attached is the most recent report on Sexual Harassment and Violence at the U.S. Coast Guard Academy, a report produced under Public Law 112-213 (which incorporates the requirements of Public Law 112-74, which you cited below).

If you have the opportunity, please reply to this e-mail to confirm you have received this response to your FOIA request.

Very respectfully,

LCDR Jonathan Shumate
Judge Advocate
USCG Academy, Hamilton Hall



Coast Guard Academy Sexual Harassment and Violence For Academic Program Year 2012-2013

Report to Congress
March 24, 2014



U. S. Coast Guard

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Foreword

The Coast Guard provides the following report, “Coast Guard Academy Sexual Harassment and Violence for the Academic Program Year 2012-2013,” which has been prepared by the U.S. Coast Guard.

Section 205 of the *Coast Guard and Maritime Transportation Act of 2012* (Pub. L. 112-213) directs the Commandant to report on sexual harassment and sexual violence involving cadets or other Academy personnel for each Academy program year.

The Coast Guard is dedicated to being the employer of choice for both military and civilian members. The Coast Guard and the Coast Guard Academy have zero tolerance for sexual harassment and abide by policies established by the Department of Homeland Security. Sexual harassment and violence degrade productivity and effectiveness, as well as unit cohesion and readiness. It is imperative that we create an environment free from sexual harassment and discrimination of all kinds. This behavior must be driven out of the Service.

Pursuant to congressional requirements, this report is being provided to the following members of Congress:

The Honorable John D. Rockefeller IV
Chairman, Senate Committee on Commerce, Science, and Transportation


The Honorable John Thune
Ranking Member, Senate Committee on Commerce, Science, and Transportation

The Honorable Bill Shuster
Chairman, House Committee on Transportation and Infrastructure

The Honorable Nick J. Rahall II
Ranking Member, House Committee on Transportation and Infrastructure.

I am happy to answer any further questions you may have, or your staff may contact my Senate Liaison Office at (202) 224-2913 or House Liaison Office at (202) 225-4775.

Sincerely,

A handwritten signature in blue ink, appearing to read "R. J. PAPP, JR.", is written over a printed name and title.

R. J. PAPP, JR.
Admiral U.S. Coast Guard
Commandant





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I. Legislative Language

This document fulfills the requirements set forth in the *Coast Guard and Maritime Transportation Act of 2012* (Pub. L. 112-213), as per the following:

SEC. 205. POLICY ON SEXUAL HARASSMENT AND SEXUAL VIOLENCE.

(a) ESTABLISHMENT.—Chapter 9 of title 14, United States Code, is amended by adding at the end the following:

§ 200. Policy on sexual harassment and sexual violence

(a) REQUIRED POLICY.—The Commandant of the Coast Guard shall direct the Superintendent of the Coast Guard Academy to prescribe a policy on sexual harassment and sexual violence applicable to the cadets and other personnel of the Academy.

(b) MATTERS TO BE SPECIFIED IN POLICY.—The policy on sexual harassment and sexual violence under this section shall include specification of the following:

(1) Programs to promote awareness of the incidence of rape, acquaintance rape, and other sexual offenses of a criminal nature that involve cadets or other Academy personnel.

(2) Information about how the Coast Guard and the Academy will protect the confidentiality of victims of sexual harassment or sexual violence, including how any records, statistics, or reports intended for public release will be formatted such that the confidentiality of victims is not jeopardized.

(3) Procedures that cadets and other Academy personnel should follow in the case of an occurrence of sexual harassment or sexual violence, including—

(A) if the victim chooses to report an occurrence of sexual harassment or sexual violence, a specification of the person or persons to whom the alleged offense should be reported and options for confidential reporting, including written information to be given to victims that explains how the Coast Guard and the Academy will protect the confidentiality of victims;

(B) a specification of any other person whom the victim should contact; and

(C) procedures on the preservation of evidence potentially necessary for proof of criminal sexual assault.

(4) Procedures for disciplinary action in cases of criminal sexual assault involving a cadet or other Academy personnel.

(5) Sanctions authorized to be imposed in a substantiated case of sexual harassment or sexual violence involving a cadet or other Academy personnel, including with respect to rape, acquaintance rape, or other criminal sexual offense, whether forcible or nonforcible.

(6) Required training on the policy for all cadets and other Academy personnel who process allegations of sexual harassment or sexual violence involving a cadet or other Academy personnel.

(c) ASSESSMENT.—

(1) IN GENERAL.—The Commandant shall direct the Superintendent to conduct at the Academy during each Academy program year an assessment to determine the effectiveness of the policies of the Academy with respect to sexual harassment and sexual violence involving cadets or other Academy personnel.

(2) BIENNIAL SURVEY.—For the assessment at the Academy under paragraph (1) with respect to an Academy program year that begins in an odd-numbered calendar year, the Superintendent shall conduct a survey of cadets and other Academy personnel—

(A) to measure—

(i) the incidence, during that program year, of sexual harassment and sexual violence events, on or off the Academy reservation, that have been reported to an official of the Academy; and

(ii) the incidence, during that program year, of sexual harassment and sexual violence events, on or off the Academy reservation, that have not been reported to an official of the Academy; and

(B) to assess the perceptions of the cadets and other Academy personnel with respect to—

(i) the Academy's policies, training, and procedures on sexual harassment and sexual violence involving cadets or other Academy personnel;

(ii) the enforcement of such policies;

(iii) the incidence of sexual harassment and sexual violence involving cadets or other Academy personnel; and

(iv) any other issues relating to sexual harassment and sexual violence involving cadets or other Academy personnel.

(d) REPORT.—

(1) IN GENERAL.—The Commandant shall direct the Superintendent to submit to the Commandant a report on sexual harassment and sexual violence involving cadets or other Academy personnel for each Academy program year.

(2) REPORT SPECIFICATIONS.—Each report under paragraph (1) shall include, for the Academy program year covered by the report, the following:

(A) The number of sexual assaults, rapes, and other sexual offenses involving cadets or other Academy personnel that have been reported to Academy officials during the Academy program year and, of those reported cases, the number that have been substantiated.

(B) A plan for the actions that are to be taken in the following Academy program year regarding prevention of and response to sexual harassment and sexual violence involving cadets or other Academy personnel.

(3) BIENNIAL SURVEY.—Each report under paragraph (1) for an Academy program year that begins in an odd-numbered calendar year shall include the results of the survey conducted in that Academy program year under subsection (c)(2).

(4) TRANSMISSION OF REPORT.—The Commandant shall transmit each report received by the Commandant under this subsection, together with the Commandant's comments on the report, to—

(A) the Committee on Commerce, Science, and Transportation of the Senate; and

(B) the Committee on Transportation and Infrastructure of the House of Representatives.

(5) FOCUS GROUPS.—

(A) IN GENERAL.—For each Academy program year with respect to which the Superintendent is not required to conduct a survey at the Academy under subsection (c)(2), the Commandant shall require focus groups to be conducted at the Academy for the purposes of ascertaining information relating to sexual assault and sexual harassment issues at the Academy.

(B) INCLUSION IN REPORTS.—Information derived from a focus group under subparagraph (A) shall be included in the next transmitted Commandant's report under this subsection.

(e) VICTIM CONFIDENTIALITY.—To the extent that information collected under the authority of this section is reported or otherwise made available to the public, such information shall be provided in a form that is consistent with applicable privacy protections under Federal law and does not jeopardize the confidentiality of victims.''.

II. Executive Summary

Five incidents of sexual assault or other sexual offenses involving Coast Guard Academy personnel were reported to Academy officials during Academic Program Year (APY) 2012-2013. One instance of sexual assault or misconduct was substantiated through investigations conducted or monitored by the Coast Guard Investigative Service (CGIS). Two of the remaining cases were unsubstantiated due to lack of evidence and one case remains an open investigation at the time of this report.

During APY 2012-2013 the Coast Guard Academy sponsored seven 90-minute cadet focus group sessions and three 90-minute faculty and staff focus group sessions were conducted. Each cadet session included between eight to fifteen cadets. The three sessions with faculty and staff consisted of faculty members, coaches and athletic staff, and military staff. Each session included between six to thirteen participants. The focus groups met with faculty and staff because they interact with cadets daily. Using the same approach for all focus groups, the facilitators made an effort to root out causes for the behaviors or situations being discussed, as well as draw forth recommendations for improvement from members of the focus groups.

All focus groups concentrated on sexual assault, sexual harassment and sexist behavior; understanding and challenges of reporting procedures; and perceptions of leadership and training. The groups discussed occurrences of unwanted sexual contact, including where and when such occurrences might take place. The focus groups revealed that cadets would stop unwanted behavior if asked, that cadets understand reporting procedures, and that cadets feel leadership would take appropriate action to handle such reports. A vast majority of cadets indicated that they feel very safe at the Coast Guard Academy. Faculty and staff reported that they believed immaturity is a factor in inappropriate behavior and that cadets do not have many social opportunities or training to foster healthy relationships. In addition to sexual assault and harassment awareness and prevention programs, faculty and staff opined there is a need for cultural change to ingrain the importance of these issues within all Academy personnel. They also discussed methods of changing Academy culture and fostering greater civility.

In APY 2012-2013, in addition to current policies, the Coast Guard Academy developed a Sexual Assault Prevention and Response (SAPR) Plan of Action which was based on the Coast Guard SAPR Strategic Plan. This Plan of Action focuses on climate, prevention, response, and accountability. As part of that Plan of Action the Coast Guard Academy established policy to formalize the Coast Guard Academy Sexual Assault Crisis Intervention Team (SACIT), which is a group of leaders from the accuser's and the accused's supervisors, Coast Guard Academy Staff Judge Advocate, Coast Guard Investigative Service, and the Sexual Assault Response Coordinator who work in coordination with each other in responding to any allegation of sexual assault at the Coast Guard Academy. Furthermore, the Coast Guard Academy as part of Sexual Assault Awareness Month, along with the rest of the Coast Guard, participated in a discussion-based "stand down" which included breakout groups on sexual assault and sexual harassment. The Coast Guard Academy will continue to take action to prevent sexual harassment and violence, while providing appropriate support to victims.

III. Report

The Coast Guard's core values (Honor, Respect, and Devotion to Duty) provide the character foundation upon which all members of the Coast Guard are expected to live their lives and carry out their official duties. As the Coast Guard's primary officer accession source, the Coast Guard Academy plays a fundamental role in developing, educating, training, and inspiring future Coast Guard leaders for the challenges they will encounter throughout their careers.

A. Reported Sexual Offenses

Five reports of sexual assault or other sexual offenses involving Coast Guard Academy personnel were made to Academy officials during APY 2012-2013. One instance of sexual assault or misconduct was substantiated through investigations conducted or monitored by the CGIS. The following is a brief summary of each reported case.

October 2012 – A female Coast Guard enlisted member participating in the Coast Guard Academy Scholars program alleged she was the victim of inappropriate touching of a sexual nature by a male civilian also enrolled at the same preparatory college. The female member reported the incident to college authorities, who investigated the allegation and took action in accordance with the college's policies and procedures. The Coast Guard Academy monitored the case, ensuring the Coast Guard member had access to the Sexual Assault Response Coordinator (SARC) and other support resources.

October 2012 - CGIS, Resident Agent Office (RAO) New London received notification that a 1/c (senior) female cadet was inappropriately touched in May 2012 by a civilian male individual while she was assigned to an internship at another federal agency. At the time of the incident, it was reported through the chain of command that had oversight for the internship. The matter was addressed according to the other agency's policies/procedures and support resources were made available to the cadet. Upon the Coast Guard Academy receiving the report and CGIS initiating an investigation, the female cadet freely declined to cooperate with CGIS investigators. No further action was taken in this matter.

April 2013- CGIS, RAO New London received notification that a 4/c (freshman) female cadet was allegedly sexually assaulted by an unidentified male cadet. CGIS initiated an investigation and the 4/c female cadet was assigned a Victim Advocate and given support services. A Sexual Assault Crisis Intervention Team convened to align support and investigative priorities. During the course of this investigation, the 4/c female cadet declined to cooperate with CGIS investigators. The allegation could not be substantiated and no further action was taken in this matter.

May 2013- CGIS, RAO New London received notification that a 3/c (sophomore) female cadet was allegedly sexually assaulted by a male member of the Coast Guard while the cadet was on summer assignment in May 2012. The 3/c female cadet was assigned a Victim Advocate and given support services. A Sexual Assault Crisis Intervention Team convened to align support and investigative priorities. CGIS initiated an investigation and attempted to interview the 3/c female cadet. Initially, she declined to cooperate. However, upon further consideration, the 3/c female cadet ultimately agreed to be interviewed and identified the male enlisted Coast Guard member who allegedly assaulted her. Because the accused was assigned to another Coast Guard unit, this case was transferred to the covering CGIS office for additional investigative action, which remains an open investigation at the time of this report.

May 2013 - CGIS, RAO New London received notification that a 2/c (junior) female cadet was allegedly sexually assaulted by a 2/c male cadet at the Coast Guard Academy. This matter was originally reported through a third party, who had a conversation with the 2/c female cadet. CGIS initiated an investigation. The 2/c female cadet was assigned a Victim Advocate and given support services. A Sexual Assault Crisis Intervention Team convened to align support and investigative priorities. During the course of this investigation, the 2/c female cadet denied that a sexual assault occurred. The allegation could not be substantiated and no further action was taken in this matter.

B. U.S. Coast Guard and Coast Guard Academy Resources and Policies

The policies, procedures, and processes either in effect or implemented by the Coast Guard Academy in APY 2012-2013 include:

Full-Time, Dedicated Sexual Assault Response Coordinator (SARC). Since 2011, the Coast Guard Academy has had a full-time, dedicated SARC serving the Academy community. This dedicated position provides full-time support to personnel assigned to the Coast Guard Academy and U.S. Coast Guard Cutter EAGLE, and has been a critical resource for the Academy.

Certified Victim Advocates. There are currently 25 certified Victim Advocates from across the various divisions at the Coast Guard Academy. This includes Company Chief Petty Officers (senior enlisted members assigned to companies within the Corps of Cadets), Academy staff members, athletic coaches, health clinic personnel, academic faculty members, staff members from the Coast Guard Academy preparatory school program and an Officer Candidate School instructor.

Sexual Assault Prevention and Response (SAPR) Program, Commandant Instruction (COMDTINST) M1754.10D dated April 19, 2012. The purpose of COMDTINST M1754.10D is to establish policy and prescribe procedures for the Coast Guard SAPR program. This instruction establishes the Coast Guard's sexual assault prevention and response management framework. The ultimate purpose of the SAPR program is to eliminate sexual assault within the Coast Guard by providing a culture of prevention, education and training, response capability, victim support, reporting procedures, and accountability that enhances the safety and well-being of all its members. COMDTINST M1754.10D details the systematic manner in which the Coast Guard will work to prevent sexual assaults, and when they do occur, respond to the crime of sexual assault. The instruction captures the best practices from the Armed Services and civilian agencies.

Chapter 5 provides a guide for commanding officers and officers-in-charge on how best to handle allegations of sexual assault. It also captures the latest SAPR guidance, as well as the Victim Advocate (VA) Privilege that was signed into law in the Military Rules of Evidence (MRE 514). Furthermore, the Employee Assistance Program Coordinator (EAPC) is directed to follow all requirements for the EAPC/SARC in Chapter 6.H. of the manual. Finally, the instruction sets forth the Coast Guard developed mandatory training for SARCs and VAs.

Reporting and Responding to Sexual Assault Involving a Cadet or Officer Candidate, Superintendent Instruction (SUPTINST) 1754.1D dated March 23, 2010. The purpose of SUPTINST 1754.1D is to document policy and prescribe procedures tailoring the Coast Guard Academy SAPR program to most effectively utilize the unique support resources at the Coast Guard Academy. The ultimate purpose of this program is to build a culture of prevention,

sensitive response, and accountability in keeping with the Coast Guard's values of honor, respect, and devotion to duty. SUPTINST 1754.1D supplements COMDTINST 1754.10D and is applicable when a sexual assault is reported or alleged to have been committed upon a Coast Guard Academy cadet or Coast Guard officer candidate and the incident occurs (1) on Coast Guard Academy grounds or (2) while the cadet or officer candidate is assigned to the Coast Guard Academy.

Coast Guard Civil Rights Manual, Commandant Instruction (COMDTINST) M5350.4C dated May 20, 2010. The purpose of COMDTINST M5350.4C is to provide policy and guidance for Coast Guard Military Equal Opportunity (EO) and Civilian Equal Employment Opportunity (EEO) Programs. The manual outlines responsibilities and procedures aimed at equipping Coast Guard employees with confidential access to timely and expert advice on EEO/EO matters and provide tools that will assist unit leaders in building a model EEO workplace. The model EEO program prescribed by the Equal Employment Opportunity Commission ensures that all employees and applicants for employment enjoy equality of opportunity in the Coast Guard workplace regardless of race, sex, national origin, color, religion, disability, genetic information, or reprisal for engaging in prior protected activity. Coast Guard policy is to extend to members of the military workforce, as much as is practical, and the same protections are afforded the civilian workforce.

Prevention of Sexual Harassment, Superintendent Instruction (SUPTINST) 5350.8B dated February 14, 2012. The purpose of SUPTINST 5350.8B is to inform all personnel of the Academy's policies regarding prevention of sexual harassment. In addition, it details the responsibilities Academy employees have toward eliminating sexual harassment at the Academy. This instruction uses precise language from the Equal Employment Opportunity Commission for the definition of sexual harassment. Furthermore, it reiterates the Commandant's expectation that all Coast Guard personnel will work to eliminate sexual harassment in the Coast Guard.

Anti-Harassment and Discrimination Policy and Procedures, Superintendent Instruction (SUPTINST) 5350.9A dated February 14, 2012. The purpose of SUPTINST 5350.9A is to inform all personnel of the Academy's anti-harassment policy and their responsibilities to eliminate harassment wherever it may exist in the Academy. It also reaffirms that the Coast Guard Academy's policy is that harassment of any type is unacceptable and will not be tolerated. The policy places emphasis on the Commandant's policy outlined in 2.C.1.c of the Coast Guard Civil Rights Manual, COMDTINST M5350.4C, and provides further guidance on a supervisor's responsibility to attempt to resolve conflicts at the lowest level, and report prohibited harassment that cannot be resolved.

USCG Sexual Assault Crisis Intervention Team (SACIT) Implementation (SUPTINST) 1754.2 dated September 9, 2013. The purpose of SUPTINST 1754.2 is to establish and formalize the Coast Guard Academy Sexual Assault Crisis Intervention Team's (SACIT) specific roles, responsibilities and actions in responding to sexual assault allegations at the Academy. This instruction applies when sexual assault is reported or alleged and the alleged victim is a Coast Guard or other active duty military service member (e.g., cadet, officer candidate, Coast Guard Reserve member on active duty) or a civilian spouse of an active duty service member who is assaulted by their spouse. The SACIT is comprised of a representative from the alleged victim's command, a representative from the accused's command, the responding SARC, a CGIS case agent, and a Servicing Legal Officer. The SACIT shall be convened as soon as practicable upon the Coast Guard Academy receiving a report of a sexual assault. The SACIT is convened to promote communication across programs, discuss appropriate courses of action for each specific

case and carry out those actions within their own technical authorities and expertise in close coordination with each other. This policy ensures early communication between SACIT members to improve timely, thorough, and efficient support services, reporting, investigation and accountability.

C. Results of the Defense Manpower Data Center (DMDC) Service Academies 2012 Gender Relations Survey¹

DMDC conducted Service Academy Gender Relations focus groups from March 4-6, 2013, with Coast Guard Academy cadets, faculty, and staff. This was the third gender relations focus group session conducted by DMDC at the Coast Guard Academy. The first two focus groups were conducted in the spring of 2009 and 2011, establishing a baseline by which to compare the 2013 results. This is the first time DMDC included Coast Guard Academy faculty and staff in the groups. These focus groups serve as an additional tool, complementary to the survey conducted during even years, to ensure sexual harassment and sexual assault policies and programs at the Coast Guard Academy are effective. Caution must be applied to the review of the findings presented. The results are based on qualitative analysis – findings cannot be generalized to all students at Coast Guard Academy. The information provided within this section is based upon DMDC’s October 2013 draft report, “2013 Service Academy Gender Relations Focus Groups: Overview Report;” DMDC’s final report has not been issued as of the date of this report to Congress.

Cadet Focus Group Results:

Seven cadet focus group sessions were conducted at Coast Guard Academy. Each session was scheduled for a 90-minute period. There were two sessions each (a male session and a female session) for freshmen, for seniors, and for sophomores and juniors – a combined total of six sessions. A single mixed-gender session for juniors and seniors was also held. Each session included between eight and fifteen students. Highlights of findings include:

Sexual Assault: The 2013 SAGR focus groups devoted a majority of their time to topics designed to gather cadets’ perceptions on unwanted sexual contact (USC) and their recommendations for its reduction. In each topical area, the facilitator made an effort to draw out causes for behaviors or situations being discussed and recommendations for improvement. The discussions began by sharing with the participants the USC rates from the 2012 SAGR survey and asking whether cadets had seen those results. Cadets were asked to discuss why the rates have increased across the past four survey years. Additional questions were posed for cadets’ knowledge of where incidents were most likely to occur, their thoughts on victims experiencing multiple incidents of USC over time, and the role of “sexting” and pornography. Cadets further contributed comments on the role alcohol plays in USC and when, during the day, it is more likely to occur.

As to why the rates for USC had increased over the past four years, cadets offered multiple reasons for the increase, including “less of a stigma against people that bring up their sexual assault cases” and “it’s okay to report it, more people have had the same experiences.” It was the opinion of the cadets that a majority of on-campus incidents probably occur in the barracks and during liberty hours. Furthermore, it is believed that alcohol plays a large role in the unwanted behavior. The cadets also expressed that they might be more vulnerable to USC on EAGLE²

¹ Provided by Defense Manpower Data Center, Human Resources Strategic Assessment Program

³ Training for rising sophomores. The class is put onto the cutter EAGLE for Coast Guard duties.

because personnel are contained within tight quarters and with less supervision. In response to victims experiencing multiple incidents of USC over time, the cadets believed multiple incidents could be committed by the same person and be a result of reoccurrence or a result of escalation. Cadets also thought reporting one incident on the survey makes you more likely to report having other incidents. Finally, the cadets indicated that sexting can be seen as an invitation to additional unwanted behaviors, such as USC.

Sexual Harassment and Sexist Behavior: This major section of the focus groups posed a hypothesis about the relationship of verbally offensive behaviors, such as sexual harassment and sexist comments, on USC. The facilitator began by sharing results from the 2012 SAGR survey on rates of sexual harassment and sexist behavior at the Academy over the past three surveys and hearing cadets' reactions. Cadets also provided thoughts on the subjective nature of these behaviors and why they are offensive to some and not to others. The facilitator then gave additional findings based on the 2012 SAGR survey that those men and women who experienced USC in the past year also tended to experience sexual harassment and sexist behavior at higher rates. Cadets commented on the possible relationships among these unwanted gender-related behaviors and what the impact might be of addressing the verbal behaviors and possibly reducing USC. Following up, the facilitator asked if cultural factors, such as attitudes of disrespect toward women, contributed to USC. This section ended with a discussion of the possible escalation in severity of behaviors.

Cadets felt that one's background and sensitivity affected whether behaviors were perceived as sexual harassment or sexist behavior. While they believed that crude and offensive behaviors were the most common offenses, they also believed some offenses result from perceived inequity because of gender. From a broader perspective, they indicated that perceived inequality between genders leads to lasting feelings about women in the military. Female cadets indicated male cadets would stop sexist behaviors if asked. Female cadets also indicated they are not afraid to say something about sexist behaviors, nor should they be. Cadets felt that immaturity is a major factor in improper behaviors. Many cadets indicated they are treated fairly regardless of gender. Cadets did note there is a difference between intentionally committing a crime and unintentionally making someone feel uncomfortable. Some cadets indicated a lot of cultural problems are a holdover from the older generation; several female cadets commented that the military culture is progressing slowly toward greater acceptance of women in the military and that change is happening.

Reporting: The purpose for this section was to gain additional understanding of why, even with all of the emphasis on USC and zero tolerance, cadets are still reluctant to report their experiences. Cadets offered a number of potential reasons, especially the perceived repercussions from reporting. The section ended with cadets providing recommendations to remove barriers to reporting.

Cadets indicated a variety of people to whom they would report USC. Cadets indicated the Academy is good at handling reports of USC and that a legitimate USC complaint would yield no social repercussions, although they would welcome more reporting options. Cadets stated that gossip spreading, labeling, and collateral misconduct are major deterrents to reporting and that they are afraid of getting in trouble for reporting. Cadets also indicated fearing trouble for alcohol offense when reporting USC and that they weigh the severity of the incident when deciding to report or not. Gender differences were identified with regards to reporting as well. Male cadets would not be likely to support other men reporting USC incidents, but female cadets

would support other women reporting. Cadets indicated that maintaining the “family” environment is a powerful consideration in reporting USC. Many cadets would prefer to discuss issues with their peers instead of initiating a report. Some cadets would rather take care of the situation themselves.

Perception of Leadership: Another major area for investigation in the 2013 SAGR focus groups centered on perceptions of leadership with respect to being engaged in preventing USC. The presumption is that programmatic aspects of sexual assault prevention and response are in place but require continual emphasis. Leadership at all levels is necessary to make programs maximally effective. Cadets were asked about the degree to which they interacted with leadership on these issues, whether leaders reacted appropriately and lead by example, and what else leaders can do to help diminish USC.

Cadets indicated leadership at the Academy reflects zero-tolerance of USC. They indicated some coaches are proactive about helping cadets report. Cadets indicated that mentors and the Academy’s Women’s Leadership Council are effective. Cadets indicated leadership visibly takes the issue seriously; there is no gray area. They stated that they would feel uncomfortable if company officers discussed USC issues and indicated that, despite the best efforts of the Academy, the cadets become desensitized to messages. Cadets had mixed reactions to viewing staff and leadership as role models and wanted to feel that leadership trusts them more.

Training: Training in sexual assault prevention and response is a recurring topic for surveys and focus groups. The facilitator started by asking cadets to describe the training they receive on these topics, and how they perceive their training in reducing USC. Cadets were also asked to give examples of the most effective training they had experienced. The section on training concluded with a discussion of recommendations for improvements.

Many cadets indicated receiving an abundance of sexual assault prevention and response training. Multiple sexual assault prevention and response trainings have had a positive effect. Cadets indicated receiving sexual assault prevention and response training from a variety of sources and indicated that having speakers who were victims of USC might be influential. Cadets disliked computer-based training and found it ineffective. A key point raised was that cadets believed online training is geared toward the Service, and not the Academy. Cadets thought training from mentors as well as fellow cadets would be well-received. They also noted that the Academy tends to extend a perceived zero tolerance policy to all relationships that occur in the barracks, causing conflicting situations. Cadets knew very little about their Sexual Assault Response Coordinator (SARC) and other resources because of several transitions, but that has been rectified through the new SARC’s high visibility/profile. When asked for recommendations, they suggested training that is relevant to cadets’ roles as future leaders and ensuring sexual assault prevention and response training teaches cadets how to clearly create boundaries.

Additional Recommendations: The final major area of discussion in the 2013 SAGR focus groups was titled “Additional recommendations for addressing USC and sexual harassment.” The purpose was to spend a few minutes reflecting on the general discussion of factors influencing USC at the Academy and to elicit any other good ideas from the cadets on ways to reduce it. To start the conversation, cadets were asked about how they would feel if counseling were provided to incoming cadets with a prior USC experience. Cadets were then asked how well prepared they felt they were for dealing with gender-related issues when they have

subordinates. The facilitator then asked the focus groups if a Dignity and Respect Code, similar to the Honor Code, might be helpful in creating a culture of zero tolerance. The facilitator ended the focus groups by asking cadets for their final thoughts on issues and if there were any questions that were not asked but should have been.

Participants agreed that counseling incoming cadets who experienced USC would be a good idea. Cadets indicated counselors are good resources. They did not favor the idea of implementing a Dignity and Respect Code. Cadets noted they already follow a code of respect, which is the Coast Guard Core Values (Honor, Respect, Devotion to Duty). Overall, cadets opined that they feel safe at the Academy.

Faculty and Staff Focus Group Results:

The 2013 SAGR focus groups were the first sessions held with faculty and staff. Because faculty and staff interact with cadets daily, they were presented many of the same questions posed to the cadet participants to gain a different perspective on issues. The same approach used for the cadet focus groups was utilized. The facilitator made an effort to elicit causes for behaviors or situations being discussed and recommendations for improvement. Each session was scheduled for a 90-minute period. Each session had between six and thirteen participants.

Sexual Assault: The discussions began by sharing with the participants the USC rates for the Department of Defense academies³ and the Coast Guard Academy from the 2012 SAGR survey. Participants were asked whether they were aware of the rates presented and to whether they felt the rates seemed accurate. Additional questions were posed for participants' knowledge of where incidents were most likely to occur, their thoughts on victims experiencing multiple incidents of USC over time, and the role of "sexting" and pornography. Participants further contributed comments on the role alcohol plays in USC.

Faculty and staff voiced their initial reaction to the USC incident rates from the 2012 SAGR survey. Some faculty and staff felt the incidence rates were high, some felt the rates were low. Faculty and staff discussed the increase in incidence rates possibly as a result of the "hook-up" culture, referencing a New York Times article which stated "kids today don't go out on old fashion dates but, go out in groups and just 'hook-up.'" Like cadets, faculty and staff indicated the barracks are the most likely place for USC to occur at the Academy. Faculty and staff also indicated cadets might be vulnerable during summer training experiences. Faculty and staff believed sexting is a social issue. As far as the use of alcohol at the Coast Guard Academy, faculty and staff had a mixed reaction to the idea of completely removing alcohol from the Academy and believed binge drinking is related to current restrictions already placed on cadets and their time constraints.

Sexual Harassment and Sexist Behavior: Similar to the cadet focus groups, this set of questions posed a hypothesis about the relationship of verbally offensive behaviors, such as sexual harassment and sexist comments, on USC. The facilitator began by sharing results from the 2012 SAGR survey on rates of sexual harassment and sexist behavior at other academies over the past four surveys and hearing participants' reactions. The facilitator then gave additional findings based on 2012 SAGR survey that those men and women who experienced USC in the past year also tended to experience sexual harassment and sexist behavior at higher rates. Participants commented on the possible relationships among these unwanted gender-related behaviors and what the impact might be of addressing the verbal behaviors and possibly reducing

³ United States Naval Academy, United States Military Academy, and United States Air Force Academy

USC. Following up, the facilitator asked if cultural factors, such as attitudes of disrespect toward women, contributed to USC. This section ended with a discussion of recommendations for decreasing sexual harassment and sexist behavior.

Faculty and staff indicated sexual harassment and sexist behavior are pervasive in society and cadets reflect attitudes and behavior from society. Faculty and staff opined immaturity is a factor in inappropriate behavior. They did not think cadets had many social opportunities or training to foster healthy relationships. Faculty and staff also stated that they believed cadets have trouble with social situations after graduation. They noted that they do not typically hear offensive language or observe offensive behaviors during the workday.

Reporting: The purpose of this section was to gain additional understanding of why, even with the service emphasis on USC and zero tolerance, cadets are still reluctant to report their experiences. Faculty and staff offered a number of potential reasons, especially the perceived repercussions from reporting. The section ended with faculty and staff providing recommendations to remove barriers to reporting.

Faculty and staff indicated cadets are more likely to report severe behaviors. They also believed cadets are prepared to deal with subordinates coming to them for help. Military personnel opined that cadets are hesitant to report USC for fear of not being believed or damaging their reputation. Faculty and staff recommended creating safer reporting options, although they did not state what those safer options were, as well as fostering a climate where counseling is seen as a good resource for cadets.

Roles and Responsibilities: In this section, participants were asked how they perceived their roles with respect to preventing and responding to USC. They were asked to describe the interactions they have with students on these issues, their interactions with the SAPR staff, and to provide recommendations for helping them better deal with issues.

Faculty and staff saw themselves as mentors and advisors; however stated relationships between cadets and staff varied, especially for USC reporting. Military personnel feel they can use occurrences as teaching moments. Coaches saw themselves as a source of help for gender-related issues but believed cadets were more likely to go to upperclass cadets for help. Faculty and staff noted that the goals for diversity can sometimes lead to beliefs that decisions are not based on merit alone. Faculty and staff indicated emphasis from senior leaders about their response to sexual assault and harassment is helpful but additional training in sexual assault prevention and response would be beneficial. They saw Victims' Advocates as viable and useful tools as well.

Cultural Change: The facilitator began this section by stating that some people believe the Academy can improve USC prevention and response by changing its culture and attitudes toward this issue. Participants were asked if they agreed and how such change could be made. The section ended with a question about the usefulness of a Dignity and Respect Code.

In addition to sexual assault and harassment awareness and prevention programs, faculty and staff opined there is a need for cultural change to ingrain the importance of these issues within all Academy personnel. They discussed methods to change Academy culture and foster civility, and lauded such improvements as holding an Academy-wide Sexual Assault Prevention and Response Stand-Down and making the President of Cadets Against Sexual Assault (CASA) a more prominent position. Faculty and staff believe gender relations are better now than over the

last decade but indicated the Academy needs to do more to challenge the “status quo.” Faculty and staff noted the goals of a Dignity and Respect Code can be achieved through education and social interaction.

Additional Recommendations: The final major area of discussion in the 2013 SAGR focus groups was titled simply “Additional recommendations for addressing USC and sexual harassment.” The purpose was to spend a few minutes reflecting on the general discussion of factors influencing USC at the Academy, including allowing cadets who experienced USC prior to coming to the Academy to receive counseling.

Faculty and staff stated that the Academy should offer counseling and make counseling a more viable option. Coaches also opined that they are a good resource because they have a unique opportunity to interact with students on issues, like USC, because the coaches get to know the cadets prior to their arrival and have opportunities for conversations other may not be able to have with the cadets.

D. Plan of Action

The Coast Guard Academy continues to improve its sexual harassment and sexual violence prevention programs through the use of periodic reviews and assessments of the unit climate and by implementing effective training and awareness programs. The Coast Guard Academy also maintains a close relationship with, and monitors the policies of, the other service academies. Additionally, this review process has aligned the reporting and prevention programs within the Academy with that of the U.S. Coast Guard to better enable cadets to integrate into existing systems and programs established in the Service.

In APY 2012-2013, the Coast Guard Academy developed and initiated a Sexual Assault Prevention and Response SAPR Plan of Action. This plan is based on the Coast Guard SAPR Strategic Plan, and covers the same four basic areas: climate, prevention, response and accountability. The stated goals of this action plan include:

- Developing a culture that promotes the elimination of sexual assault and sexual harassment through open communication and training;
- Designing and delivering a robust sexual assault prevention program across the Academy community to enhance sexual assault awareness and intervention measures and ultimately eliminate sexual assault;
- Improving timely, thorough, and efficient response capabilities to victims by identifying and harboring all available victim services including external state resources;
- Formalizing training and data collection procedures to track sexual assault training and response capabilities at the Coast Guard Academy, allowing for continuous feedback to make programmatic improvements over time;
- Improving the availability and quality of response resources and trusted peer networks;
- Establishing an environment where, when an assault is committed, victims come forward to report the offense with confidence, trusting that they will be protected and cared for without fear of reprisal or retaliation; and,
- Strengthening the program of victim advocacy extending throughout the process.

Each of these goals includes actionable and measurable results, and seeks to address the barriers sexual assault victims encounter when considering making a report. As part of this plan, the Coast Guard Academy intends to continue to provide specific and effective training to all cadets on sexual harassment, sexual violence, civil rights, and human relations. These trainings are summarized below:

Preventing Sexual Assault/Sexual Violence Training: All cadets were given the Coast Guard's annual Sexual Assault Prevention and Response mandated training in APY 2012-2013. In addition to this annual training, each class received a specific area of training to build on prior knowledge.

- During the initial summer indoctrination evolution, the incoming class received 75 minutes of Sexual Assault Prevention and Awareness training and 75 minutes of Human Relations training. The training covered a review of Academy cadet regulations and the two types of sexual assault reporting mechanisms (unrestricted and restricted). Cadets were also given scenarios to discuss and practiced bystander intervention techniques. Finally, cadets were presented with a review of their responsibilities and rights, and the resources available to them in case they or a classmate were sexually assaulted.
- 4/c (freshmen) and 3/c (sophomores) cadets were given comprehensive training on types of reporting for sexual assaults, sexual assault myths, types of date rape drugs and their effects, recognizing vulnerable situations, and steps to take if victimized.
- 1/c (seniors) and 2/c (juniors) cadets received detailed training on the type and effects of date rape drugs. The training consisted on how to recognize date rape drugs, where persons are most susceptible to being drugged, symptoms of the drugs, and the actions a person should take if they suspect they have been drugged.

In April of 2013, as a part of Sexual Assault Awareness Month (SAAM), the entire Coast Guard, including the Academy, participated in a "Sexual Assault Awareness Event," which was a 1.5 hour discussion-based "stand down" that all commanding officers/officers-in-charge were directed to hold with their units. The Coast Guard Academy also scheduled several training sessions during and around SAAM, including one for all faculty and staff that featured breakout groups on sexual assault and sexual harassment. The cadets received the same information as was provided to faculty and staff, but tailored for their environment and circumstances. The training was scenario based, and included information on recognizing, responding to and preventing sexual assault.

Also during the same time period, the Academy medical clinic conducted two unannounced sexual assault drills designed to train clinic personnel in providing proper resources to sexual assault victims, as well as to identify potential gaps in response procedures.

Civil Rights/Human Relations Training

All cadets were given Civil Rights Awareness mandated training in APY 2011-2012, in accordance with COMDTINST M5350.4C. In addition to this annual training, each class received a specific area of training to build on prior Civil Rights/Human Relations knowledge.

During the initial summer indoctrination evolution, the incoming class received four hours of Civil Rights Awareness Training, including one hour of Sexual Harassment Prevention.

- 4/c cadets (freshmen) received Basic Human Awareness Training, which identifies where values originate and how these different origins may affect how an individual communicates.

- 3/c cadets (sophomores) received Human Relations training facilitated by Company Chiefs and Company Officers throughout the 2012-2013 training year.
- 2/c cadets (juniors) received Human Relations and leadership-specific training facilitated by the Company Officers and Company Chiefs.
- 1/c cadets (seniors) received a four-hour Civil Rights Awareness training, which focused on managerial responsibilities, cross-cultural communications, and sexual harassment prevention with fleet-wide application.

Additionally, all cadets were given Sexual Harassment Prevention (SHP) training. SHP training covered Coast Guard Academy and Coast Guard policies, to include expectations and examples of professional military behavior while serving as a cadet. All classes received an hour lecture/discussion to review the definition of sexual harassment, and how to identify sexual harassment/hostile work environment. Also covered were sexual harassment reporting procedures through the chain of command, appropriate external resources, and the opportunity for confidential reporting. Each class discussed scenarios with peers on how best to address a potential sexual harassment case. Different scenarios prevented repetition and ensured there was cognitive growth in leadership and awareness. Training and methodology were designed to be applicable to subsequent summer assignments.

Victim Advocacy and Staff Training

VA training is held annually and is offered to new VAs at the Coast Guard Academy by a dedicated SARC. It is a comprehensive three-day training course designed to teach VAs to identify sexual assault, how sexual assaults can be reported, and how to best provide support to victims. While VAs are currently only required to attend the training once, the Academy strongly encourages its VAs to participate in the annual training as a refresher course, as well as to assist in the training of new VAs.

All military and civilian faculty who are new to the Academy are required to attend the New Faculty course. The New Faculty course contains a block of instruction taught by the SARC and the Academy's legal officer on various aspects of sexual assault. The training includes discussing sexual assault in the military and college environments, the Uniform Code of Military Justice (Article 120), different types of reporting requirements, handling an alleged report properly and providing support to a victim, especially a cadet.

All Academy faculty and staff are required to take annual Coast Guard Learning Portal training for Sexual Harassment Prevention and Sexual Assault Prevention and Response.