U.S. Department of Homeland Security

United States Coast Guard

Culture of Respect (COR) Integrated Process Team (IPT) Phase I Report

Performance Technology Center (FC-Tptc)

Analysis, Acquisition & Evaluation Branch

Yorktown, VA

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Summary

Why the IPT Did This Study

From August 2011 through March 2012, the Sexual Assault Prevention and Response (SAPR) Task Force reviewed and assessed SAPR across the Coast Guard. The task force report recommendations led to the establishment of the flag-level Sexual Assault Prevention Council (SAPC) and the SAPR Strategic Plan. Under the SAPC, the Prevention and Advocacy Standing Committee (PASC) stood up to address training and sexual assault awareness activities. The SAPC determined that sexual assault training must also address respect issues to improve our culture. The Coast Guard Force Readiness Commander (FC-C) established an integrated process team (IPT) to develop innovative multi-level organizational training and performance support solutions targeting all members of the Coast Guard. The IPT's goal is to improve the Coast Guard's culture of respect, including SAPR, and the prevention of sexual harassment, bullying, hazing, discrimination, retaliation, and intimidation with deliverables specifically targeting leadership development and command cadre preparation support.

What the IPT Recommends

To ensure a synergistic approach, we recommend that the SAPC track and monitor the status of the intervention development and implementation.

We also recommend that the IPT continue to work with program offices and stakeholders to develop strategies and tactics for considering and prioritizing the interventions listed throughout the report.

Once complete, we recommend that the IPT create an implementation and evaluation plan to determine the effectiveness of the interventions.

Finally, we recommend that the Coast Guard conduct a similar analysis every 3.5 to 4 years to align with the Commandant's transition.

Culture of Respect (COR) Integrated Process Team (IPT)

Strategic Needs Assessment

What the IPT Did

We conducted a strategic needs assessment (also called a gap analysis) and compared the current state of Coast Guard culture, the optimal state of culture, and noted any gaps. We analyzed the reason for the gaps and categorized the gaps into 4 categories (skills/knowledge, environment, motivation/incentive, and assignment/selection).

What the IPT Found

A. The analysis revealed 41 gaps, and we provided numerous recommendations to close each gap. Most notably, we categorized these gaps/findings into 6 common themes:

1. Accountability
2. Leadership
3. Data/Information
4. Policy
5. Communications/Messaging
6. Training

B. We took a systems approach to this analysis, and as such, many gaps/findings encompass more than one theme. Examples:

1. There is no common understanding of the Coast Guard core values. (Themes: **Training & Communications/Messaging**)

2. Accession points omit some culture of respect (COR) learning objectives from their training curricula and do not consistently focus on the same COR issues. (Theme: **Training**)

3. Sexual harassment policy falls under Equal Employment Opportunity (EEO) and employment discrimination. Research from extant data review shows that sexual harassment can lead to sexual assault; reporting those incidents within EEO may lead to stove-piped information. Sexual harassment can be much more than employment discrimination. (Themes: **Policy, Data/Information, Communications/Messaging, & Leadership**)

4. Information and guidance for reporting or handling of COR situations is not quickly accessible to victims or personnel needing help and is spread throughout Coast Guard sites/Portal. (Theme: **Data/Information**)

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Abbreviations and Definitions

Abbreviations

COR……….Culture of Respect
IPT………...Integrated Process Team
PTC………..Performance Technology Center
SAPC……...Sexual Assault Prevention Council
SAPR……...Sexual Assault Prevention and Response
SNA………..Strategic Needs Assessment

Definitions (from Standard Operating Procedures (SOP) for the Coast Guard's Training System, Volume 2, Analysis and International Society for Performance Improvement (ISPI) where noted)

Analyst. A person who performs a range of analyses, normally a Coast Guard performance technologist or certified performance technologist.

Assignment & selection. An intervention to improve performance that involves matching the "right" people to specific jobs.

Culture of Respect. The optimal state free from assault, harassment, hazing, bullying, intimidation, retaliation, and discrimination.

Environmental. Those recommendations that seek to close gaps in the performer's current environment (e.g., better work design, easily accessed standardized workflow procedures, etc.).

Evidence based practice. Using current and valid quantitative and qualitative research to make informed decisions about human performance as it affects results through people, processes, and organizations (ISPI).

Extant Data. Analysis of records and files collected by an organization reflecting actual employee performance and its results (for example, attendance figures, help desk tapes, callbacks for repair, employee evaluations).

Interventions. The recommendations that are the outcomes of a performance analysis. This is also known as a solution.

Motivation & incentives. Recommendations for increasing the performer's personal desire to perform; aids to help performers in seeing the desired performance is important performance supports, tools, training etc. to increase performer confidence, new incentive program based on performer input for what would be motivating.

Qualitative data. Descriptive data involving observations, interviews, focus groups, and other non-statistical methods (ISPI).

Quantitative data. "Hard numbers" found in surveys/questionnaires, pre and post tests, existing databases, and statistical analysis.

Skills & knowledge. A strategy (or strategies) such as training, electronic job aids, Job Aids, better/quicker access to publications, etc. that reduces or eliminates gaps in performer's skills and knowledge.

Supporting rationale. Quantitative and qualitative data from interviews, focus groups, organizational surveys, and extant data review that supports the findings and recommendations.

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Background

From August 2011 through March 2012, the Sexual Assault Prevention and Response (SAPR) Task Force reviewed and assessed SAPR across the Coast Guard. The task force report recommendations led to the establishment of the flag-level Sexual Assault Prevention Council (SAPC) and the SAPR Strategic Plan. Under the SAPC, the Prevention and Advocacy Standing Committee (PASC) stood up to address training and sexual assault awareness activities. The SAPC determined that sexual assault training must also address respect issues to improve our culture.

In addition to the SAPR Task Force, SAPC, and PASC initiatives, the Coast Guard Force Readiness Commander (FC-C) established an integrated process team (IPT) to develop innovative multi-level organizational training and performance support solutions. The IPT's goal was to identify measures to improve the Coast Guard's culture of respect, including SAPR and the prevention of: sexual harassment, bullying, hazing, discrimination, retaliation, and intimidation. Deliverables specifically targeted leadership development and command cadre preparation support. A Culture of Respect (COR) Integrated Process Team (IPT) Charter memorandum from FC-C dated 02 Jan 2014 established the IPT and provided a framework for the effort (Appendix A-Phase I Outputs/Deliverables).

Purpose and Scope

FC-C tasked the Performance Technology Center (PTC) with conducting a Strategic Needs Assessment. COR IPT members included personnel throughout the Coast Guard and analysts from PTC. The IPT chair held a "kick-off" meeting on 27 January 2014 with the COR IPT membership to discuss the charter specifics and expectations.

Phase I (Foundations) of the strategic needs assessment (SNA) focused on assessing the current state of organizational culture. The COR IPT also identified a desired or "optimal" state, determined the gaps between the current state and optimal state, and made recommendations to close the gaps.

The scope of the COR IPT Phase I included the following:
- Determine current state, optimal state, and gaps using strategic needs assessment;
- Research and benchmark best practices for affecting and maintaining a change in organizational culture;
- Research and benchmark practices shown to demonstrate improved culture of respect; and
- Determine unique culture of respect needs for personnel completing accessions, leadership touch points, and command cadre preparation.

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Method

The COR IPT conducted a strategic needs assessment (SNA) in accordance with the Standard Operating Procedures (SOP) for the Coast Guard's Training System, Volume 2, Analysis (Figure 1) to examine the external and internal factors that affect performance within the context of an organization's business strategy.
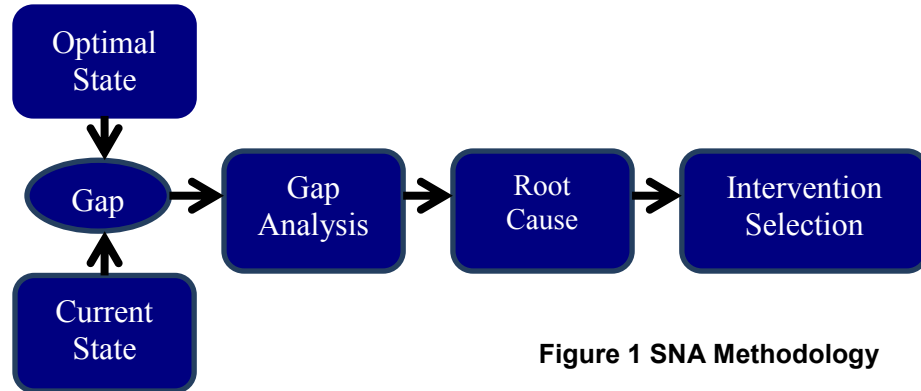
Figure 1 SNA Methodology

A SNA is a systematic and data driven process of:

- Articulating desired outcomes based on given organizational or program capstone documents such as mission, vision, most probable scenarios, intelligence, and criteria ("optimal state").
- Comparing desired outcomes to the actual state to determine gaps at the organizational or unit level.
- Analyzing gaps as to their scope, magnitude, and priority of resolution based on the cost to close the gap as compared to the cost of ignoring it.
- Identifying root causes for gaps and potential solutions for closing those gaps.

Analysts collected data through a review of extant data and interviews with personnel at all levels of the Coast Guard, with other military services, colleges and universities and the private sector. Additionally, the COR IPT analysts conducted focus groups with Coast Guard Academy cadets, Cape May week 8 recruits, the LEAD Council, Prospective Commanding Officer/Prospective Executive Officer (PCO/PXO) students, and Mid-grade Officer Career Transition Course (MOCTC) students. Last, the COR IPT reviewed organizational change models. The Coast Guard recently mandated the PROSCI model as the standard organizational change model for use within the service.

Method

Extant Data Review

The COR IPT reviewed a wide variety of data sources, both internal and external to the Coast Guard. Coast Guard sources included policy, doctrine, and tactics, techniques, and procedures (TTP); numerous survey reports and messages; strategic plans; cultural assessments and studies; training; white papers; etc. Sources external to the Coast Guard included publications, congressional sub-committee briefings, legislative proposals, websites, news articles, intervention programs, etc. The extant data review provided context and focus to the analysis and helped the IPT recognize the breadth of issues that impact organizational culture. *Appendices B & C* provide a comprehensive list of documentation that the team reviewed in Phase I.

In addition to the extant data review, analysts attended several leadership, culture, and SAPR presentations. Analysts also attended military justice proceedings, including an Article 32 hearing for a Coast Guard member charged with Uniform Code of Military Justice (UCMJ) violations relevant to this analysis.

Interview data were consolidated and organized using three processes. The first process involved identifying if specific statements were considered a "Problem", "Characteristic", "Example", or "Recommendation". The second process involved analyzing and sorting the content to determine in which "problem" category it belonged (i.e. leadership, trust, consequences, poor behavior, taking care of people, communication, policy/guidance, bystanders, victim support, perpetrator characteristics, and societal).

After organizing each data point into the appropriate framework "bucket", the analysis team parsed the information to remove duplications, and summarized the remainder into common statements, or "Issues".

Focus Groups & Interviews

The analysts conducted focus groups and interviews across all levels of personnel within the Coast Guard to determine the current and optimal state of the organizational culture of respect; in total, the team interviewed 289 people. Once the team determined the optimal state, the analysts put this into a succinct statement, and the COR IPT Guidance Team and SAPC reviewed it.

After determining the current and optimal state, analysts identified the performance gaps and interventions.

Throughout the interview and focus group discussions, the analysts asked interviewees for recommendations and suggested interventions to correct or improve the current state. The analysts compiled and used this list in the next step of the analysis. *Appendix J* provides a list of questions used during the focus groups and interviews.

Method

Focus Groups & Interviews (Continued)

Performance Gap/Recommendation Development
Following the focus groups and interviews for optimal state, the collected data was analyzed to identify gaps between the optimal and current state of the Culture of Respect in the Coast Guard. Data was sorted into human performance-based gap categories identified in CG TRASYS SOP Volume 2:
- Skill/Knowledge (SK)
- Environmental (ENV)
- Assignment/Selection (AS)
- Motivation/Incentive (MI)

The analysis team reviewed all findings and grouped them into six root themes (see Appendix Q for definitions of these categories):
- Accountability
- Leadership
- Data / Information
- Policy
- Communications / Messaging
- Training

The themes helped the analysts organize the findings and recommendations in a way that will assist in Phase II implementation strategies. Appendix Q provides a breakdown of specific findings/recommendations organized by these root themes and identifies which programs are affected.

Intervention Selection
The majority of the interventions were identified from the interviews and focus groups. Headquarters Program Offices should consider and prioritize the interventions in Phase II using the following factors:

Impact: degree of positive effects on system/performers.
Cost: estimated resources (manpower, money, equipment, tools, etc) to implement.
Acceptability: degree to which intervention will be accepted by users/stakeholders.
Integration: degree of control that a program office has to implement the intervention.

Way Forward
This report provides information on the purpose, methodology, findings, and recommendations formed from data collected from Coast Guard personnel and external organizations. While some of the recommendations are already being put into place, others will require a more substantive effort for implementation. In Phase II, the COR IPT will work with program offices and stakeholders to develop strategies and tactics for considering and prioritizing the interventions listed throughout the report.

In Phase III, the COR IPT will create an implementation and evaluation plan to determine the effectiveness of the interventions.

**Findings
and
Recommendations**

This report includes both qualitative and quantitative data. The team directly interviewed 289 active duty members (from senior officers and enlisted to recruits and cadets), reservists, civil service employees, and retirees (see Appendix J) to identify the current state of Coast Guard culture and develop the optimal state framework. Additionally, the team reviewed 17 years of organizational assessment survey (OAS) data, 5 years of Defense Equal Opportunity Management Institute (DEOMI) Organizational Climate Survey (DEOCS) roll up reports for the Coast Guard, and several other large scale culture and climate studies including the Master Chief Petty Officer of the Coast Guard's culture assessment.

Overall, the COR IPT found that there are gaps between the current state of culture and the optimal state. As such, this report highlights the gaps between the current and optimal state and provides findings and recommendations to close the gaps.

It is difficult to determine the exact number of victims of bullying, hazing, harassment, intimidation, assault, and retaliation because no single office or database tracks this information. Workgroups and program offices, such as the SAPR Military Campaign Office (MCO) and the Coast Guard's Office of Human Resources Strategy and Capability Development (CG-1B1), continue to gather information, as it becomes available, and willingly shared it with the COR IPT. Additionally, the team included accounts of bullying, hazing, harassment, intimidation, discrimination, assault, and retaliation as told by victims during interviews, focus groups, and as part of the extant data review. Some of these stories appear in appendix D, as quotes (*callouts*) in the report, and as supporting rationale within the report. The report does not directly attribute stories and call outs to specific personnel.

Some recommendations represent relatively minor changes to existing programs; other recommendations require fundamentally different approaches to Coast Guard processes, policies, and procedures.

In conclusion, the COR IPT recommends that the Coast Guard conduct a similar analysis every 3.5 to 4 years (to align with the Commandant's transition) to evaluate recommendations after implementation. This will determine the future current state and evaluate how the interventions impact culture.

Skills & Knowledge (S/K) Gap Findings

Skills and knowledge influences on performance are the cognitive information, abilities, or discrimination processes the end-user/performer must memorize, or have access to (job aids) in order to accomplish a task.

Recommendations

TRAINING; COMMUNICATIONS/ MESSAGING

S/K 1 Finding: There is no common understanding of the Coast Guard core values. Interviews across the organization indicate an inconsistent interpretation of honor, respect, and devotion to duty.

Recommendation 1: Expand the core values definitions so they are clear and less likely to be subject to individual interpretation. Create a workgroup to develop standards to fully use data from COR IPT focus groups (see appendix M). Require posting of core values in every workspace for reinforcement. Reinforce core values through consistent messaging from leadership, promulgated to all levels. Engage with target publics over all social media pages intended to reinforce core values and command climate expectations.

Recommendation 2: Standardize training using examples to clarify core values at all accession points including recruitment, and add more in-depth SAPR and COR training to recruiter and recruiter-in-charge resident courses. This will allow recruiters to better discuss expectations with applicants.

Supporting Rationale

- "We are losing our focus on core values and they are subject to interpretation."

- "Due to the unavoidable reality of accession training where recruits learn from overt communications as well as tacitly from command climate, we must deliberately and pervasively inculcate the Coast Guard Core Values, not just as abstract theoretical constructs, but as practical guideposts for personal decision making both on duty and off."

- "If we require EEO statements shouldn't we also require our standards to be posted?"

Recommendations

TRAINING

S/K 2 Finding: **Accession points omit some culture of respect (COR) learning objectives from their training curricula and do not consistently focus on the same COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation).**

Recommendation 1: Develop consistent standardized lesson plans for all accession training on these topics allowing for open discussions. Update training at each accession point to include all culture of respect issue topics as indicated below (note: PTC analysts will work with each of the schools to determine and help them develop standardized content to cover the missing COR topics):

Cape May: Coast Guard core values; bystander/battle buddy, influence of behavior. **NOTE:** The *Recruit Training Pocket Guide* **DOES** include hazing and sexual assault.

Coast Guard Academy: Coast Guard core values, guiding principles, relating Coast Guard core values to everyday actions. Aligning core values with cadet personal values.

OCS: Training is not consistent with other Coast Guard accession points. OCS takes a tiered approach to presenting the Core Values based on student demographics (example: prior enlisted direct commission officers get a different lesson than non prior service officer candidates). The training, however, misses inclusion, diversity, discrimination, bulling, hazing & retaliation, defining CG Core Values, relating CG Core Values to everyday actions, aligning Core Values w/personal values, guiding principles, case studies, role play.

Recommendation 2: Research further implementing a formalized battle buddy (or consider perhaps "rescue buddy") training program at Cape May and throughout the Coast Guard. (see Battle Buddy Program proposal for TRACEN Cape May in appendix N).

Supporting Rationale

- The Coast Guard will have standard content throughout all accession points and the content will cover all culture of respect issues.

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Recommendations

**TRAINING;
COMMUNICATIONS /
MESSAGING**

<u>S/K 3 Finding</u>: **Extant data review and interviews indicate that training and messaging on COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation) is inconsistent.**

Recommendation 1: Standardize Coast Guard-wide messaging to include all COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation).

Recommendation 2: Include a link in COR-related mandated training courses to the electronic job aid/computer "app" that the IPT recommends in ENV 1. The system can link to a testing item in the on-line mandated training.

Recommendation 3: Conduct analyses on the existing Sexual Assault Prevention Workshop developed by PACAREA and D13 and on the triennial Civil Rights Awareness/Sexual Harassment Prevention training to determine feasibility of integrating into one culture of respect workshop. If feasible, use this new training workshop (called COR Training Workshop in this report) throughout the Coast Guard and tailor course for leadership and use in leadership training. Consider implementing this as mandated training and give personnel credit as part of the mandated training requirements. Determine the viability of creating a deployable training team, based on the Leadership and Management School (LAMS) deployable team concept, that provides exportable training on COR topics. Consider sending instructors who give this training to the Coast Guard Instructor Development Course and Team Leader Facilitator Course. Develop training aids for discussions at local units as a follow up.

"Two thirds of the people we're talking to [the Coast Guard workforce] who are more likely to be potential assailants than they are to be victims," she said. "I'm not sure they know or understand what sexual assault looks like or feels like in the moment. We need to help them understand what not to do. So I think it [the workshop] is a great step in the right direction because it gets people talking about sexual assault for the four hours we're together." -from a CG sexual assault victim via CG SAPR MCO Survivor Story

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Recommendations

S/K 3 Finding Continued: Extant data review and interviews indicate that training and messaging on COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation) is inconsistent.

Recommendation 4: Establish a single program-level office to review and approve COR materials prior to use (e.g., marketing, messages, intervention plans, etc). Leadership will need to determine an office to conduct these reviews and do a manpower study to determine if additional resources are needed. (See ENV 3).

Recommendation 5: For all training on COR issues, frame consistent content according to service level; e.g., 4/c cadets/boot camp/early OCs receive the same course content, 3/c cadets/ALP/later OCs receive the same course content, 2/c cadets/1c cadets/LAMS receive the same course content; all C-schools, all A-schools, all Command Training, all Leadership courses (CPO, CWO, MOCTC) receive training geared toward the students' leadership position and/or rank.

Supporting Rationale

- The Sexual Assault Prevention Workshop takes approximately four hours and is given to groups of 50 to 75 personnel at a time. The course discussion starts as a collective group spending the first two hours discussing the issues, policies, and procedures pertaining to sexual assault. Then the class separates into two groups by gender to engage in an open dialogue about the perceived problems, potential misperceptions, and solutions. The Sexual Assault Prevention Workshop has an existing lesson plan that is very well received and considered successful.

- Having inconsistent training and messaging on COR issues puts the Coast Guard at risk and has potential legal implications.

- Lack of standardized lesson plans can lead to misalignment with Coast Guard policy.

- "The only opportunities thus far Coast Guardsmen have had to listen to or read about the experiences of survivors of sexual assault have been through the Coast Guard's Sexual Assault Prevention Workshop or the 2013 Sexual Assault Prevention and Response Summit. Just as there are many reasons why victims choose not to report an assault, there are many reasons why even when they do, their stories remain untold, their voices unheard, their call to action unheeded."

- In the 2014 Federal Employee Viewpoint survey (CG Specific data) 14.4 % indicated that they disagree with the statement that, "I can disclose a suspected violation of any law, rule, or regulation without fear of reprisal". 18.2% were neutral and 3.6 % indicated "do not know".

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Recommendations

TRAINING

S/K 4 Finding: **The Coast Guard training system is missing or has limited learning objectives that focus on the prevention of bullying, intimidation, retaliation, and other COR issues (sexual assault, harassment, discrimination, hazing).**

Recommendation 1: Make changes to the following curricula to include the missing training content related to COR issues:

For all courses below, expand curriculum to include a fuller discussion of other COR issues. Use real world examples and structured lesson plans to assist instructors with the proper responses and answers.

Company Commander Course: This is the most thorough course teaching COR principles. Use this course as a model for the others.

Apprentice Leadership Program (ALP): Expand curriculum to include a fuller discussion of discrimination and define sexual assault. Create standardized, scripted lesson plans/facilitator guides to assist instructors with course content.

Leadership and Management School (LAMS), Chief Petty Officers Academy (CPOA): Create standardized, scripted lesson plans/facilitator guides to assist instructors with course content.

Midgrade Officer Career Transition Course (MOCTC): Need presentation on SAPR and diversity.

Senior Leadership Principles and Skills (SLPS): Directly address COR issues.

Recruiter/Recruiter-in-Charge Course: Address all COR issues not just sexual harassment and assault.

Sector Commander Course: Address COR issues.

Boat Forces Command Cadre Course: Address COR issues during the module on climate and conduct.

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Recommendations

S/K 4 Finding Continued: The Coast Guard training system is missing or has limited learning objectives that focus on the prevention of bullying, intimidation, retaliation, and other COR issues (sexual assault, harassment, discrimination).

Recommendation 1 Continued: Make changes to the following curricula to include the missing training content related to COR issues:

Prospective Commanding Officer/Officer in Charge/Executive Officer/Executive Petty Officer (PCO/PXO) Course: Address COR issues.

Command Assignment Preparatory Training Course: Include all COR issues and hazing beyond just part of military justice.

Sexual Assault Prevention and Response (SAPR): In all SAPR training indicate and give examples of male-on-male risks, numbers. (Note: Already corrected in the latest version of mandated training e-learning by using examples).

Sexual Assault Prevention Workshop (SAPW) (SARC, lawyer, CGIS facilitated workshop)**:** Addresses most COR issues through examples. Add discrimination, retaliation, and civil rights (see S/K 7-COR Training Workshop).

Recommendation 2: Further research tailoring the Sexual Assault Prevention Workshop (COR Training Workshop) for a leadership audience. Incorporate it into the leadership development continuum. Include all COR topics in training at all leadership courses and where sexual assault/harassment and discrimination is taught. For the new two hour block of SAPR in leadership courses, include COR material as well. Use the Company Commander course as a model for teaching COR principles and ensure retaliation, bullying, and intimidation are included. (see S/K 3.3 recommendation).

Recommendation 3: Use other venues, such as Team Coordination Training and Operational Risk Management, to continue discussion of COR issues.

Supporting Rationale

- In order to create a culture of respect, the Coast Guard needs to consistently train and message these COR items to set expectations.

- Standardized training ensures repeatable, reliable, and valid courses.

Recommendations

TRAINING <u>**S/K 5 Finding**</u>**: Extant data review and interviews indicate that the Coast Guard system does not train the recognition of bullying, hazing, bystander intervention, and retaliation.**

Recommendation 1: Include recognition of undesirable behaviors in the COR Training Workshop.

Recommendation 2: Reward or recognize people who refuse to be bystanders and who report inappropriate behavior. Expand current policies to specifically address retaliation when people who refuse to be bystanders report inappropriate behavior (examples: CIM 1600.29, Discipline and Conduct; COMDT Pub 1500.17B, Command at Sea; CI 1306.1D, Command Senior Enlisted Leader (CSEL) Program; CI 1000.9, Pregnancy in the Coast Guard; CI 1610.1, Hazing Awareness Training; CI 1750.7C, Coast Guard Family Advocacy Program; CIM 1754.10D, Sexual Assault Prevention and Response (SAPR) Program; CIM 6200.1B, Coast Guard Health Promotion Manual; also see ENV 12 for additional specific policy changes). Additionally, establish expectations for reporting inappropriate behavior in those policies.

Supporting Rationale

- Training for harassment primarily focuses on the legal (EEOC) aspects of sexual harassment but not other forms of harassment or how this can lead to more serious types of behavior if not corrected.

- "Bullying, intimidation and other undesirable behaviors don't occur in a vacuum. Silence empowers the perpetrator to continue and increases the potential to raise the behavior to the next level. People know it is going on and if left unchecked becomes worse."

- "Current culture is reactionary instead of being proactive with regards to COR behaviors. People see problems, but simply ignore them, or just don't want to get involved."

- "Members are afraid to speak up because they are ostracized and they don't want to get their friends in trouble. There are no consequences for being a bystander."

- "With the Family Advocacy Program being separate from sexual assault and other victim programs, this might be another valuable resource."

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Recommendations

S/K 5 Finding Continued: Extant data review and interviews indicate that the Coast Guard system does not train the recognition of bullying, hazing, bystander intervention, and retaliation.

Recommendation 3: Consider implementing the Red Flag Campaigns on bases with "A" schools, the Academy, and Cape May.

- The Red Flag Campaign is a free public awareness program project of the Virginia Sexual Assault and Domestic Violence Action Alliance, funded by private sector companies and the Centers for Disease Control and Prevention, designed to address dating violence and promote the prevention of dating violence on college campuses. The campaign uses a "bystander intervention" strategy that encourages friends and other campus community members to "say something" when they see warning signs ("red flags") of dating violence in a friend's relationship. The campaign posters reflect racially and ethnically diverse models, and illustrate both heterosexual and same-sex relationships.

Recommendation 4: If implemented as recommended above, evaluate the implementation of the Red Flag Campaign and, if determined to be of value, create a standardized curriculum with real Coast Guard scenarios.

Recommendation 5: Further consider using an interactive presentation to conduct a tailored interactive performance for the Coast Guard. Record the presentation and use it in the recommended COR Training Workshop.

Supporting Rationale

- Posters and flags for the Red Flag Campaign are free. Need to have volunteer advisory committee member sign up with organization to be on their board (requires 2 meetings per year). The Air Force Academy and the Marine Corps use the Red Flag Campaign.

- The COR IPT chair and lead analyst evaluated the SAPR interAct Performance Troupe hired by the U.S. Navy as part of their prevention efforts. It is an impactful theatrical audience interactive role-playing presentation and can be tailored to specific COR topics. The SAPR sexual assault predatory behaviors, victim blaming, care for victim and bystander intervention. The cost is between $5,000 to $8,000 depending on whether they have another session in the vicinity, which would reduce travel costs. They also offer discounted rates for multiple dates or additional shows on the same date.

Recommendations

TRAINING

S/K 6 Finding: Coast Guard independent duty health services personnel are not always trained or do not always understand how to care for Coast Guard victims of sexual assault and/or how to handle Coast Guard sexual assault reports. DoD chaplains new to the Coast Guard are not familiar with the nuances of implementing sexual assault response policy within the Coast Guard.

Recommendation 1: Provide mandatory Coast Guard specific training to chaplains on the nuances of implementation of sexual assault response policy within the Coast Guard utilizing situational examples. For example, if the victim tells his/her parents and the parents then report to authorities, it becomes an unrestricted report.

Recommendation 2: Provide training to independent duty health service personnel on the reporting, victim care, and process to coordinate sexual assault physical exams with a qualified medical facility.

Supporting Rationale

- Since chaplains are key personnel that victims can talk to about sexual assault without it being an unrestricted report, chaplains need to know the Coast Guard reporting requirements and how to apply these requirements to help victims.

- Chaplains receive their training through the Navy, which does not include Coast Guard specific training on restricted and unrestricted reports.

- Independent Duty Health Services personnel can take restricted reports, but some are unsure about what to do with the information to keep it a restricted report. (Finding from Victim Response Recovery Care group).

Recommendations

TRAINING

S/K 7 Finding: Based on interviews and instructional design research, computer based mandated training (MT) is an ineffective delivery system for teaching core values and COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation).

Recommendation 1: Add electronic job aid/computer "app" (to be developed) access as part of the mandated training requirements (see ENV 2). This will make it practical so that personnel can go to one place to access information needed in real-time. Use mandated training to pass information regarding the reporting of all COR issues. This training will meet the annual training requirements.

Recommendation 2: Ensure newly created/updated COR/SAPR training includes all COR issues and newly, specifically defined core values. Create affective* training (e.g., COR Training Workshop) that is a Coast Guard-wide requirement. Standardize scenarios/examples. (See S/K 3.3)

Supporting Rationale

- Mandated training is best used for knowledge, not affective learning. For example, to change behaviors related to COR issues, personnel have to have emotional impact for acceptance and to change attitudes. Presentations similar to the SAPR stand-down with discussion is the best way to affectively change behaviors.

- Interviewees cited the Sexual Assault Prevention workshop as a Coast Guard best practice because of the emotional impact.

- Interviews indicated that face-to-face training of COR topics is highly preferred over e-learning.

Affective Learning Domain is the domain that deals with attitudes, motivation, willingness to participate, valuing what is being learned, and ultimately incorporating the values of a discipline into a way of life.

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Recommendations

ACCOUNTABILITY; TRAINING

<u>**S/K 8: Finding**</u>**: Based on interviews, some civilian personnel hiring officials are reluctant to deny potential employment to personnel found to have previously committed COR violations (sexual assault, harassment, discrimination, hazing, retaliation, intimidation, bullying).**

Recommendation 1: Clarify policy on considering records of COR violations in hiring decisions.

Recommendation 2: Create a standardized curriculum and train hiring officials on existing policy and any changes.

Supporting Rationale

- Some civilian personnel are concerned with being named in an employment discrimination lawsuit and are therefore reluctant to deny potential employment.

- Managers are not trained on what to do with a derogatory report. They need to ask the question, "how will the individual I hire affect the integrity of the service". If the individual will affect the integrity of the service, they can be denied without concern of it being grounds for discrimination.

- OPM refers to the integrity of the service as a suitability determination in hiring and adjudication of existing employees. "Suitability refers to a person's identifiable character traits and conduct sufficient to decide whether employment or continued employment would or would not protect the integrity or promote the efficiency of the service".

Recommendations

COMMUNICATIONS / MESSAGING; TRAINING

"The CG needs to better support the transition from technical to leadership skills prior to personnel being put in leadership positions."

<u>**S/K 9 Finding**</u>: **Based on interviews, some members feel that twenty-eight leadership competencies are too many to retain and they mistake them for "ladders" for different ranks.**

Recommendation 1: Further research the best way to formalize and communicate the leadership competencies as part of the Coast Guard's competency management system. Re-label the 28 competencies to identify them as leadership attributes/traits into the four broad categories (Leading Self, Leading Others, Leading Performance and Change, Leading the Coast Guard) that correlate with the defined responsibility levels and required levels of expertise.

Recommendation 2: Teach professionalism and what it means to be a Coastguardsman or woman. Incorporate best practices from the Secretary of Defense Professionalism workgroup into the COR Training Workshop to train Coast Guard men and women what it means to be a professional in the Coast Guard.

Supporting Rationale

- Interviews indicated that the 28 competencies are both not remembered and frequently misunderstood.

- Personnel perceive the competencies as a ladder as you go up in rank rather than being like our core values — used throughout Coast Guard career. The model is not intuitive at all.

- In interviews, members stated that they feel that the Coast Guard uses many different models for leadership training instead of a standard model.

Recommendations

TRAINING

S/K 10 Finding: Based on extant data review and interviews, there are gaps in the current leadership development continuum that allow personnel to go years without any formal leadership training that reinforces Coast Guard values and leadership standards. Leadership development touch points (e.g., ALP, LAMS, CPOA, SELC, MOCTC) do not fully address COR issues or accountability.

Recommendation 1: Analyze the existing leadership continuum. First determine the scope of leadership training gaps in Coast Guard career tracks (officer, enlisted, and civilian) and then identify solutions. Research further requiring members selected for advancement to E-7 to attend the CPOA prior to making E-7 and CWO selectees to attend CWO professional development course prior to promotion. Analyze requiring leadership training for upward mobility and determine which leadership positions this required training would affect (note: include scenario-based COR issues (sexual assault, harassment, discrimination, hazing, retaliation, intimidation, bullying) leadership development and how to effectively deal with issues and encourage and support positive behaviors such as walking around to get a pulse on environment and on setting the example. Incorporate COR principles and core values into all leadership training. This is a standard taught at the beginning of all TRACEN courses.

Recommendation 2: Provide the Leadership Diversity Advisory Councils (LDAC) resource/training material to help support local units with maintaining accountability.

Recommendation 3: Examine the use of the "Just Culture" model (from white paper-CG-1131 CAPT Morrison) to help standardize leadership actions in defining culture and responding to three areas: errors, at-risk behavior, and reckless acts.

Supporting Rationale

- The Leadership Development Center (LDC) recently developed an optional Midgrade Officer Career Transition Course (MOCTC) for newly selected O-4s. The LDC continues to offer the Senior Leadership Principles and Skills (SLPS) course when available.
- There are no formal Coast Guard leadership training requirements for E-4 and E-6 or O-2, O-3, O-5, and O-6. Some O-1s and O-2s attend LAMS, and some O3s and O4s attend MOCTC.
- The CG needs to better support the transition from technical to leadership skills prior to putting personnel in leadership positions.

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Recommendations

TRAINING

S/K 11 Finding: **Based on interviews, Coast Guard personnel are not fully aware of perpetrator/predator characteristics.**

Recommendation 1: Identify and train personnel on perpetrator/predator characteristics and behaviors. This will make personnel more aware and potentially reduce victimization.

Recommendation 2: Standardize all SAPR and leadership training to include the description of predator/perpetrator. (note: the new SAPR mandated e-learning training incorporated the perpetrator/predator description via a rapid task analysis done at PTC).

The following is a list of characteristics and behaviors identified through the SAPR mandated e-learning analysis and this analysis. A predator:

The former commanding officer of the (b) (6) *described the sexual hazing perpetrator on his ship as a highly motivated, very responsible crewmember, lead Coxswain and Boarding Officer, chair of the Human Relations Council, and mentor for junior officers.*

- Starts small-makes remarks-reminds potential victim of control/authority.
- Is usually a few steps senior to the victim; e.g., E-5 on E-2, O-2 on E-4.
- Uses position to quell resistance.
- Can be a jerk then sweet to get victim to let their guard down.
- Can be a high performer who gets awards and or promotions (appearance only).
- Is most often a serial offender.
- Is usually well liked.
- Is a good performer, but competence does not equal character.
- Displays characteristics exactly from the "Take the Helm" video.
- Is someone who mentors and takes personnel under their wing. Acts as a confidant.
- Groom their victims.
- Look for vulnerability.
- Looks like everyone else.
- Enlists others to help them.
- Is predominately a male. 98% of predators are male.
- Makes everything look normal-like they were just hooking up-like their victim was initiating-makes it hard to prove.
- Looks for opportunity or makes opportunity-drinking.

Supporting Rationale

- "I didn't realize, before the sexual assault, where the threat was going to come from," she said. "I was fairly good at keeping myself away from the creeps, because ships have creeps, but I didn't realize I also had to take care of myself around people I trusted." *Sexual Assault Victim via CG SAPR MCO Survivor Story*
- "Perpetrators know the likelihood is that they will continue their career with little risk of being caught, much less punished. They often become very skilled serial predators, with many victims, as they rise through the ranks. And they become skilled at currying favor with their superiors and colleagues, effectively hiding their intent." - *Response System to Adults Sexual Assault Crimes Panel website*

Recommendations

TRAINING; COMMUNICATIONS/ MESSAGING

S/K 12 Finding: Based on interviews, recruits and non-rated personnel receive little clarity on specific organizational expectations, their identity in the Coast Guard, and how to transition into the field.

"Recruits, when arriving at first unit are told to forget everything they have learned at boot camp-that things are not done that way at the unit."

Recommendation 1: Deliver a transition brief during week 8 of basic training. Ensure recruits understand the responsibility of being a non-rate and no longer a recruit.

At a minimum, the transition brief should cover the following topics:

- The Interact model;
- Standards and expectations vs. behavior;
- Getting rid of rate-ism (my rate vs. your rate) in the Coast Guard;
- Culture of Respect;
- Military bearing; and
- The models of performance expected of a non-rate in the field.

"Personnel need to have a CG identity-need to know, without question, how they fit into the organization."

Recommendation 2: Conduct an analysis to determine how to best provide an opportunity to continue building on and reinforcing Coast Guard expectations regarding behavior after boot camp and prior to A-school.

Recommendation 3: Local commands need to reinforce and model Coast Guard standards of behavior and military bearing at their units. The same standards should apply no matter where Coast Guard personnel are assigned (i.e., the standard you walk past is the standard you accept).

Supporting Rationale

- The Air Force includes a transition week at the end of basic training.
- DoD services send their boot camp graduates directly to technical school.

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Environmental (ENV) Gap Findings

The workplace provides environmental performance influences. They include the policies, procedures, instrumentation, ergonomics, tools, and climate that facilitate the accomplishment of a task.

Recommendations

DATA / INFORMATION

ENV 1 Finding: Based on review of Coast Guard intranet sites and interviews, information and guidance for reporting or handling of COR situations (sexual assault, harassment, discrimination, hazing, retaliation, intimidation, bullying) is not quickly accessible to victims or personnel needing help and is spread throughout Coast Guard sites/Portal.

Recommendation 1: Develop an electronic job aid/computer "app" that is accessed via the CG standard workstation and other non-standard devices (such as mobile devices). This job aid/"app" should include step-by-step instructions for dealing with each of the COR issues (sexual assault, harassment, discrimination, hazing, retaliation, intimidation, bullying) including how to get help, reporting options, contact information, processes, etc. Additionally, the electronic job aid/"app" should address these issues as the issue pertains to each role: supervisor, victim, bystander, friend, etc.) (see S/K 3.3.) Assign one individual or program office to maintain the electronic job aid/"app". That individual/program office should work with a council, similar to flag-level SAPC or separate offices as described in ENV 5, to review and approve all information contained in the electronic job aid/"app".

Recommendation 2: Develop a pocket quick reference guide to distribute throughout the Coast Guard. This would contain all key information on what to do if sexually assaulted or harassed. (See the Navy's Military Sexual Trauma Quick Series Guide distributed through the Fleet and Family Support Center as an example).

Supporting Rationale

- Whether a victim, supervisor, or any Coast Guard personnel, this electronic job aid/computer "app" will provide a centrally located, easy to use tool that provides help, determines what to do, and time lines.

- The CG SUPRT site does not address all COR issues.

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Recommendations

ACCOUNTABILITY; DATA/ INFORMATION

ENV 2 Finding: Coast Guard personnel have been discriminated against and sexually harassed.

Recommendation 1: Develop targeted prevention efforts towards units, ratings, and specialties where there is a significantly high number of victims/subjects (i.e., an imbalance of males and females). (See figures 2 & 3 pg. 31) Establish organizational goals to reduce discrimination and sexual harassment by a specific metric. Set a check and balance system to ensure proper reporting and resolution.

Recommendation 2: Encourage increased and more accurate reporting of COR incidents (assault, hazing, harassment, bullying, intimidation, retaliation, and discrimination) and follow through with accountability for offenders.

"Ratings are like a club and if you aren't one of their ratings, you are ostracized. Not considered the same caliber- disrespect is allowed."

"CO disapproved of being pregnant in the Coast Guard. In front of mess cook, he said "if you keep this thing you will fail- you need to tell your shipmates your career is over!"

Supporting Rationale

From the CG Female Retention Working Group Report (2006): Gender and race discrimination are a source of serious dissatisfaction for women in the service. Gender discrimination issues appear to be more difficult to identify (prove) than race discrimination, therefore may be more difficult to address. Females leave Coast Guard due to feelings (discouraged, degradation, embarrassment, hopelessness, worthlessness, depression, etc.) brought on from being sexually harassed. Often, situations are not reported because females feel embarrassed, don't necessarily want to get the harasser in trouble but want the behavior to stop, don't want to be labeled as a trouble maker & have that reputation follow them to another unit, & don't have faith in the system (i.e. even if they do say something, they won't be treated seriously or fairly, fear that Command will assume harasser's innocence and move person making complaint, which draws further attention to situation.) One hundred phone calls to involuntarily discharged women yielded 80 assertions of some form of harassment, usually at the hands of relatively junior leaders. While the circumstances were different, the common thread was that the women wanted to leave the Coast Guard and did what was necessary to accomplish that goal.

2014 OAS data shows that 17% of all Coast Guard personnel surveyed indicated that racial/ethnicity-based discrimination is a problem at their unit/command.

2012 DEOCS indicated 18.29% of Coast Guard personnel felt they had been discriminated against due to gender (14.58% of women compared to 3.71% of men). There was little difference in 2013. 2014 OAS data indicated that 24% responded that sex based and gender based discrimination is a problem at their unit/command.

COR IPT interview data indicated that personnel showed bias against women, minority dependants, mothers, certain ratings (e.g., women especially in engineering rates like MK, GM, EM, DC that are mostly male dominated), specialties, communities (e.g., cutter, aviation, etc.).

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ENV 2 Finding Continued: Coast Guard personnel have been discriminated against and sexually harassed.

"We hear repeatedly that your child was not issued in your sea bag."

"Women shouldn't have to work twice as hard to prove we are half as good!"

Supporting Rationale

- School chief indicated she felt racially discriminated against. Her supervisor said she was the "only visible minority on staff". Another member indicated he and dependents were racially harassed in officer housing.

- The Coast Guard published pregnancy rules in aviation because of possible effects on fetus while flying. "Stigma is if a woman gets pregnant, she will be grounded, so the command would rather not have women. They call it "intentional" vs. "unintentional", but "unintentional" is socially permitted (example: a pilot grounded because of a broken leg)."

- Gender diversity is a big issue at certain locations and in certain rates: aviation/female pilots, engineering ratings, surf stations, dive rating. (note: rescue swimmer rating has 4 females out of 376).

- Female interviewee said "I wanted to be a rescue swimmer when I joined, but was told that women couldn't be rescue swimmers."

- "The first analytical look at CG-OAS data related to respect of CG personnel was conducted in 2014 by COR-IPT.**"**

"Proving the intent to discriminate required by this order in sexual harassment prosecutions is extremely difficult, as the trial counsel must show the purpose of the sexual harassment was to discriminate and that it was committed with the purpose of discriminating against someone because of his or her protected status."
Blackmore, 2013 (See Appendix G)

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ENV 2 Finding Continued: Coast Guard personnel have been discriminated against and sexually harassed.

Supporting Rationale
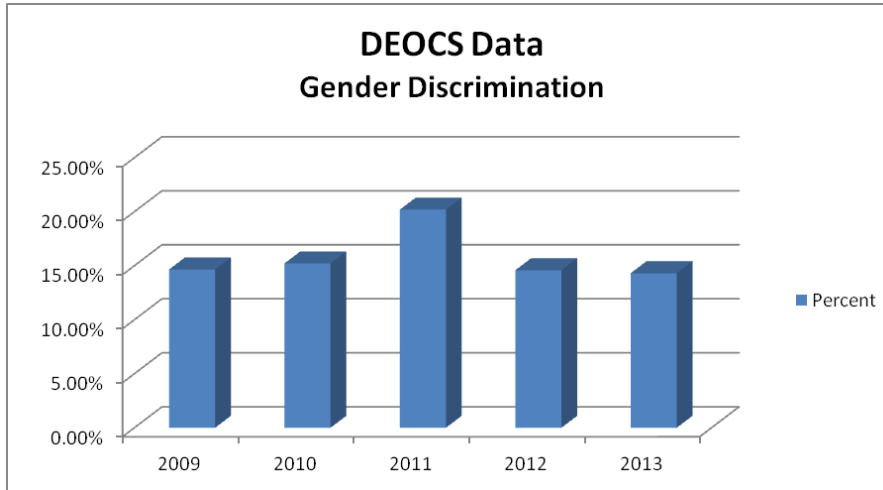
Figure 2 DEOCS CG Roll Up Reports: Experienced Discrimination Based on Gender (Sex)

NOTE: For all years, gender discrimination was higher than race/nationality/origin/color, age, disability, or religion
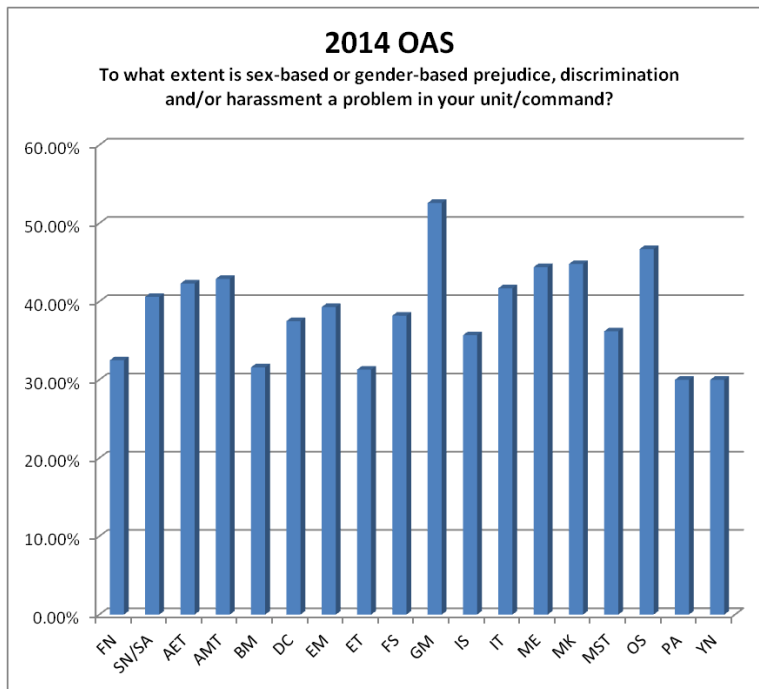
Figure 3 2014 OAS: Sex-Based or Gender Based Discrimination
NOTE: This only includes ratings where response to the survey question was close to 30% or above

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Recommendations

POLICY; DATA / INFORMATION; COMMUNICATIONS/ MESSAGING; LEADERSHIP

ENV 3 Finding: Sexual harassment policy falls under Equal Employment Opportunity (EEO) and employment discrimination. Research from extant data review shows that sexual harassment can lead to sexual assault; reporting those incidents within EEO may lead to stove-piped information. Sexual harassment can be much more than employment discrimination.

Recommendation 1: Examine feasibility of redefining policy to include sexual harassment as a form of sexual violence as an enabler to sexual assault. (Sexual Assault Prevention: Reframing the CG Perspective to address the lowest level of sexual violence continuum-sexual harassment– Study-(See appendix G)). This would include any kind of sexual harassment, such as conditions of employment and workplace behavior.

Recommendation 2: Research the Army's Sexual Harassment/Assault Response (SHARP) Program as a potential strategic integration model for Coast Guard sexual harassment and assault prevention efforts.

Recommendation 3: Develop and use a reliable system to track and retain information on all sexual harassment investigations. (see ENV 22).

> *" Blatant sexual harassment of women that is ignored; Cutters-attitude toward women is contest to see who will "get" this one (Officers and Enlisted). There is a connection in the workplace violence continuum of behaviors that may eventually lead to a sexual assault. "*

Recommendation 4: Clarify and enforce policy requiring documentation of sexual harassment. Define appropriate levels of documentation and specify process for documenting consequences for sexual harassment behaviors. Develop accountability measures for supervisors (e.g., commanding officers and officers-in-charge) who fail to adequately document all sexual harassment behaviors.

> *"We have an anti-discrimination policy and the perpetrators know that as long as they don't do anything that falls into one of the protected categories, they can get away with their behavior."*

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ENV 3 Finding Continued: Sexual harassment policy falls under Equal Employment Opportunity (EEO) and employment discrimination. Research from extant data review shows that sexual harassment can lead to sexual assault; reporting those incidents within EEO may lead to stove-piped information. Sexual harassment can be much more than employment discrimination.

Recommendation 5: Develop a database that includes ALL COR issues (sexual assault, harassment, bullying, hazing, intimidation, discrimination, retaliation). Consult database to review a member's history for possible leadership selection and assignment and to determine if repeat offenses occurred. (see ENV 4)

Recommendation 6: Create a standardized COR issues (sexual assault, harassment, bullying, hazing, intimidation, discrimination, retaliation) template for the Coast Guard's administrative remarks form CG-3307 (page 7's) structured like a check list that includes the option to select items, such as inappropriate comments or bullying, and the criteria for selecting the item.

Supporting Rationale

- Coast Guard policy specifically states sexual harassment is not the same as sexual assault and trains personnel accordingly. This artificial distinction between sexual harassment and sexual assault is inconsistent with other parts of sexual harassment policy and creates needless confusion. At its core, this distinction is completely contradictory, as the Civil Rights Manual's definition of sexual harassment includes sexual assault. In the SHP Training section of the Civil Rights Manual, sexual assault is characterized as criminal activity while sexual harassment only pertains to employment and conditions of employment. The introduction to the Anti-Harassment and Hate Incidents Procedures (AHHIP) Policy, which states that the Coast Guard has determined the most effective way to limit harassing conduct is to treat it as misconduct, is not aligned with this notion. It is also inconsistent with the responsibility of CO/OICs in responding to sexual harassment reports, where the CO/OICs are directed to take appropriate administrative and disciplinary action. (*Blackmore, 2013*-see appendix G).

- Sexual assault and harassment seem to target specific groups of women, specifically women who are perceived as encroaching into male-dominated territory.

- The Coast Guard does not adequately track cases of sexual harassment when they occur with other policy or UCMJ violations.

- With the exception of the Army, the armed services, including the Coast Guard, do not explicitly address sexual harassment as an enabler of sexual assault in their SAPR policies and training.

- Sexual harassment behaviors, if left unchecked, can elevate to sexual assault.

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Recommendations

ENV 3 Finding continued: Sexual harassment policy falls under Equal Employment Opportunity (EEO) and employment discrimination. Research from extant data review shows that sexual harassment can lead to sexual assault; reporting those incidents within EEO may lead to stove-piped information. Sexual harassment can be much more than employment discrimination.

Supporting Rationale

- In the National Defense Authorization Act for Fiscal Year 2004 (2004 NDAA), Congress required the three DoD academies to establish policies, programs, and procedures to address sexual harassment and sexual assault incidents. Additionally, they were to provide annual reports on sexual harassment and sexual assault incidents. Initially, these requirements did not apply to the Coast Guard Academy, but the Coast Guard Academy did adopt sexual harassment and assault policies, programs, and procedures similar to the DoD academies on its own accord.

- In the 2012 Workplace and Gender Relations (WGRA) report, 6.1% of women and 1.2% of men indicated that they experienced unwanted sexual contact. Of the 6.1% of women surveyed that experienced unwanted sexual contact, 30% indicated that the offender sexually harassed them before or after the situation, 8% indicated that the offender stalked them, and 20% indicated that the offender both sexually harassed and stalked them. Of the 1.2% of men surveyed that experienced unwanted sexual contact, 19% indicated that the offender sexually harassed them before or after the situation, 2% said that the offender stalked them, and 21% indicated that the offender both sexually harassed and stalked them. 50% of women and 40% of men indicated being sexually harassed by the offender.
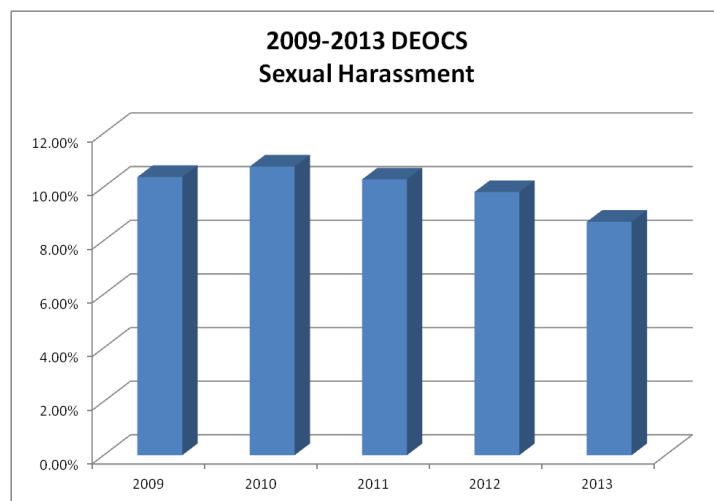
Figure 4 DEOCS CG Roll Up Reports: Experienced Sexual Harassment (Women)

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Recommendations

DATA / INFORMATION; POLICY; LEADERSHIP

ENV 4 Finding: Based on interviews and review of an actual EEOC case, the CG does not actively track members held administratively accountable or discharged because of some COR violations (harassment, bullying, hazing, retaliation, discrimination, intimidation). Upon retirement, some of these members are hired into Coast Guard civil service positions.

Recommendation 1: Develop a new database system that documents, "flags", and tracks COR offenses (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) in a centralized system. Documentation should specify the nature of the offense and final adjudication. For example, if a member of the command cadre is relieved for cause due to a lack of confidence based on sexual harassment or discrimination, etc. specify it and track it. Documentation should include partner and dependent maltreatment (see ENV 3.5). Make information on COR offenses by former Coast Guard employees available to hiring officials to reduce the likelihood of perpetrators being brought back into the Coast Guard as civilians or contractors.

"Accountability is not consistent with rules/policies. Ex: CG indicates we will not tolerate discrimination, yet even when found guilty of these offenses the individual remains in the CG and there are no consequences."

Supporting Rationale

- The CGIS Washington Field Office enters criminal UCMJ violations into the NCIC database. Some COR violations (harassment, bullying, hazing, retaliation, discrimination, and intimidation) are not entered into the database unless they become threatening behaviors.
- A military member was reduced in rank and asked to leave the service after being involved in a sexual harassment complaint. That member retired and came back in the Coast Guard as a civilian. As a civilian, this individual was charged and found guilty of discrimination and retaliation. The EEOC Administrative Judge wrote "he denied in his deposition that he had ever been involved in any complaint of sexual harassment or any EEO complaint whatsoever. Following his testimony, however, Complainant's counsel confronted him with evidence of a sexual harassment complaint in which he was involved when he was a uniform member of the military. Later in the testimony he testified that he could not remember if he got a letter of reprimand as a result of the sexual harassment investigation. At the continuation of his deposition he eventually admitted he had received a letter of reprimand." "This testimony [referring to Supervisor's testimony regarding sexual harassment case] is simply not credible. If he did not know that EEO encompasses sexual harassment, then he has no business being a supervisor in the Federal Government. Second, his lack of memory as to whether he received a letter of reprimand with regard to that sexual harassment complaint is difficult to fathom, given that the disciplinary action was apparently issued near the tail-end of his military career." As a result of being found guilty by EEOC Administrative Judge as a civilian, this person was given a letter of reprimand which was never put in their permanent record. This person is still a supervisor in his same position and applied and was initially accepted as a Victim Advocate. (See Appendix D for more details)

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ENV 4 Finding Continued: Based on interviews and review of an actual EEOC case, the CG does not actively track members held administratively accountable or discharged because of some COR violations (harassment, bullying, hazing, retaliation, discrimination, intimidation). Upon retirement, some of these members are hired into Coast Guard civil service positions.

Recommendation 2: Maintain offenses in records of military personnel as long as the member is employed in the Coast Guard. Engage civilian personnel and OPM/NAGE to assess the feasibility of an agreement that will allow negative COR documentation to remain in civilian employees official records for the duration of their employment with the Coast Guard.

Recommendation 3: Require hiring authorities to justify the hiring of an employee with an adverse record, explicitly outlining why the hire is in the best interest of the Coast Guard.

Supporting Rationale

- An OIC convicted of poaching was discharged from the Coast Guard and was hired back into the Coast Guard. The behavior of the individual included COR offenses such as bullying, and it further illustrates how the system lacks accountability in some situations.

Recommendations

POLICY; LEADERSHIP

ENV 5 Finding: Based on interviews and review of extant data, specific program offices are silos and not synergistic. Units' locally developed SAPR interventions (e.g., training, job aids, posters) that do not align with Coast Guard policy may cause unintended harm to victims. The units develop interventions to fill gaps in guidance and policy resulting from program office silos.

Recommendation 1: COR (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) interventions should go through one office for review and approval. Currently, this is implemented through the Communication Strategy 2015 and goes through the SAPR MCO.

Recommendation 2: Examine Coast Guard Headquarters program offices (Civil Rights, Diversity, and Leadership and the SAPR office) for possible reorganization to ensure continuity and optimal alignment capabilities, possibly under one Human Resources program level office, and co-locate staff near each other. Alternatively, establish a flag level team as a coordinating body (similar to SAPC) of senior executives to coordinate COR activities. The program office or flag level team should vet all interventions related to COR issues.

Supporting Rationale

- COR issues all relate and should not be stove-piped through separate offices.
- Commands try to fill gaps in policy by developing local programs. Some of these local programs are incorrect or not in alignment with current policy.
- Senior levels lack awareness of these locally generated interventions.

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Recommendations

**POLICY;
DATA /
INFORMATION;
COMMUNICATIONS/
MESSAGING;
TRAINING;
LEADERSHIP**

ENV 6 Finding: **Based on interviews and extant data, Coast Guard recruiting offices do not always provide clear expectations of Coast Guard life before potential recruits enlist. Additionally, current policy does not preclude only one person from accepting or dis-qualifying a candidate; background checks on candidates lack the rigor needed to select the best qualified person.**

Recommendation 1: Recruiting Office Washington, DC created a caretaking command plan, which was determined to be a best practice. Consider implementing this plan Coast Guard-wide (see appendix H). Include recruit rights in the next update to *The Helmsman* (print an online pamphlet and provide to inbound recruits to prepare them for recruit training).

Recommendation 2: Improve the screening process at Coast Guard recruiting to identify perpe-trators, including a psychological assessment and exploring the possibility of reviewing juvenile records. Army, Navy, and Air Force perform a psychological assessment using the Army Re-search Institute's tailored adaptive personality assessment system (TAPAS) (see supporting ra-tionale). Additionally, further analyze the overall Coast Guard recruiting process to examine the best way for recruiters to screen and process applicants for COR issues (see Boise Coast Guard Recruiting Process Evaluation in Supporting Rationale). Use a two-person integrity check Coast Guard wide on each applicant as is done in some recruiting offices as a best practice.

Recommendation 3: Standardize the use of a recruit qualification record that some recruiting offices currently use (see appendix H). As a part of this qualification record, require prospective recruits to fill in the pre-screening questionnaire sheet.

Recommendation 4: Recruiter training does not explain the recruiting process in the same way the process is performed in the field. Use the existing checklist as a job aid, and conduct a train-ing requirements analysis (TRA) on Recruiter School to align tasks performed in the field.

Recommendation 5: CGRC should develop an intervention that addresses culture and COR issues. This intervention will help clarify expectations of behavior prior to entering the Coast Guard (see the *Southwest* video as a model). Begin the dialogue about SAPR and COR issues with applicants at recruitment by adopting initiatives already underway in the other military ser-vices. This effort would include discussion of the organization's expectations regarding conduct, reinforcement of the inherent right of recruits to be secure in their person despite the often ad-versarial nature of recruit training, and written acknowledgement of their understanding and commitment to abide by Service policy and the core values. Consider developing a high impact recruiting video that will appeal to young people coming into the Coast Guard. This can make them aware of the difference between society and military expectations. Make it mandatory to watch the video before taking the oath to join the Coast Guard. Explain expectations clearly and end with a statement similar to the Australian General in the SAPR stand down, "*If you're not up to it, find something else to do with your life.*" (See ENV 15 Finding)

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Recommendations

ENV 6 Finding Continued: **Based on interviews and extant data, Coast Guard recruiting offices do not always provide clear expectations of Coast Guard life before potential recruits enlist. Additionally, current policy does not preclude only one person from accepting or disqualifying a candidate; background checks on candidates lack the rigor needed to select the best qualified person.**

Supporting Rationale

- "Recruiter training is not sequenced in a manner that follows the recruiting process."

- "The Military Entrance Processing Stations use a battery of five questions called the *Omaha five* to elicit information from applicants that might reveal either disqualifying conditions or difficulty adjusting to military life. Coast Guard applicants are asked these questions as part of their MEPS physical processing."

- Another assessment instrument used is the officer interview form. A three-person interview panel uses the form to rate OCS, DCO, and other applicants for Coast Guard commissioning programs.

- The Coast Guard is researching the availability of psychometric personality testing that could be useful in recruiting. The Army is using Tailored Adaptive Personality Assessment System (TAPAS) to judge the ability of an applicant to succeed in the Army. USAF and Marines are looking into it. Summary of TAPAS: "The U.S. Army requires efficient and effective methods for entry-level Army selection and classification decisions. Accordingly, TAPAS was developed to assess personality factors related to performance in the Army. TAPAS assesses up to 21 sub-dimensions of the Big Five personality factors and several additional personality characteristics relevant to military settings. Of particular importance is that TAPAS is designed to be resistant to faking good, so that it can be used for high stakes assessment such as enlistment testing. Each TAPAS item consists of two statements, balanced in social desirability, and a respondent picks the statement that is "more like me." Two item pools were developed and item response theory was used for to administer items as a computerized adaptive test (CAT). Early results from an initial operational test and assessment (IOT&E) indicate little adverse impact on females and minority groups. In addition, mean scores for Army applicants who take TAPAS as part of enlistment screening are very similar to Air Force applicants who are administered TAPAS for research purposes only, which indicates good resistance to faking."

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Recommendations

ENV 6 Finding Continued: Based on interviews and extant data, Coast Guard recruiting offices do not always provide clear expectations of Coast Guard life before potential recruits enlist. Additionally, current policy does not preclude only one person from accepting or disqualifying a candidate; background checks on candidates lack the rigor needed to select the best qualified person.

Supporting Rationale

Findings from the Coast Guard Recruiting Office Boise Process Evaluation as described in ENV 6.2:

(Note: this particular analysis only reviewed the process at one recruiting office)

The recruiting process was examined through three dimensions with different degrees of importance weighting:
1. Character (critical)
2. Academic potential (very important)
3. Law violations (important)

This evaluation was goal-based and used the Coast Guard's core values, honor, respect, and devotion to duty, as a reference.

Limitations:

- Currently accepts recruits with low scores who are only available for few ratings.
- Lack of consistency between recruiters when screening areas covered by dimensions.
- "Good guy" effect. Recruiter will overlook low scores or infractions, including frequent law violations if recruit shows good motivation.
- Lack of measurement of office "foot traffic" to see impact and overall initial candidate pool.
- Lack of measurement for recruits who are unqualified or who are turned away for other reasons, no measure of effectiveness.
- Currently accepts over half of recruits with prior law violations.
- Passive process and limited exposure within community.
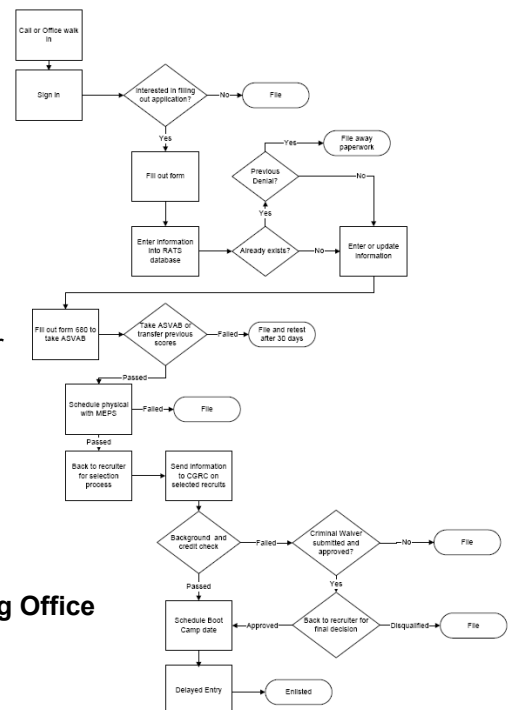
This flowchart shows Recruiting Office Boise's recruiting process

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Recommendations

POLICY; DATA / INFORMATION; COMMUNICATIONS/ MESSAGING; LEADERSHIP

ENV 7 Finding: Based on interviews, the perception is that the Coast Guard lacks a structured mentorship program that supports all personnel across the service. The perception is that the existing program is for diversity purposes only.

Recommendation 1: Develop a centralized Coast Guard-wide program (not unit developed) that creates mentoring/sponsorship opportunities for employee development. A possible structure would include pairing up senior enlisted leadership with CPOA graduates, Midgrade Officer Career Transition Course (MOCTC) graduates with newly commissioned ensigns. Incorporate action items (similar to MOCTC with meetings once a month and then follow on support post graduation). Consider modeling the program in a manner similar to the Marine Corps' mentoring program.

Recommendation 2: Develop a database that allows people to pair up with people with similar interests (e.g., like a Mentor Match.com). Establish a strict selection and vetting process to get the best mentors. Look for positive leaders, ask personnel for recommendations, and follow up with an interview. Establish the mentoring program as a volunteer opportunity, not select and direct.

Supporting Rationale

- The perception is that Coast Guard mentorship program is primarily a diversity program.
- The Marine Corps has a mentoring program. Every Marine, from the private graduating recruit training to the Commandant, has a mentor. The Marines have a guidebook on how to mentor and specific training. They use a self-assessment tool that incorporates honor, courage, and commitment to help a mentee set goals. The mission of their mentoring & buddy system program is to:
  - Empower junior leaders to positively affect the development of subordinates.
  - Facilitate genuine concern between the mentor and Marine mentee.
  - Increase unit cohesiveness.
  - Establish a covenant between leader and subordinate, both committing to personal and professional excellence.
  - Ensure accountability, responsibility, and evaluation of both the mentor and mentee.

Recommendations

DATA / INFORMATION; COMMUNICATIONS/ MESSAGING; LEADERSHIP; TRAINING

ENV 8 Finding: Based on interviews, headquarters program managers do not always use survey information as part of ongoing management of the diversity, leadership, and civil rights programs to assess and monitor the level of respect Coast Guard personnel receive.

Recommendation 1: Program managers responsible for respect in the Coast Guard (e.g., diversity, leadership, civil rights) and subprograms (e.g., race/ethnicity/gender retention/advancement, mentoring, alternative dispute resolution) should use survey data to measure at what levels they are achieving their missions. They should use the data to gain insight on how to improve organizational culture.

Recommendation 2: Flag officer and senior executive service (SES) leadership should set clear expectations for organizational culture. Headquarters programs should support the expectations by updating policy, implementing programs and tools, and establishing metrics to determine success.

To support Recommendation 2, consider the following:

- Analyze how best to train unit commanders to compare DEOMI survey data with that of their unit's mission execution success and rates of advancement, promotion, SWE, and EOCT scores.

- Create tools for unit commanders to assist them with addressing issues found in data (as outlined above).

- Create tools for unit commanders to assist them with using OAS data to identify trends, assess climate, and make changes.

Recommendation 3: Analyze and act on measurements and findings.

For example:
- Organize (i.e., descriptive statistics) data to gain perspective with relation to the other armed services and track progress. For example, the Workplace and Gender Relations survey of Active Duty members.
- Organize (i.e., descriptive statistics) Coast Guard OAS data to gain greater gender perspective by such subgroups as rating, unit type, age, ethnicity/race inside Coast Guard. Again track progress.
- Correlate other data with survey data to determine the percent of women sexually assaulted and harassed by rating and unit type.
- Organize qualitative data from such sources as gold and silver badges.
- The programs responsible for culture of respect in the Coast Guard should reach out to human performance technology experts to assist with analysis, expanded research (e.g., interviews, focus groups), and insights.
- Monitor academic research on the subject.

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ENV 8 Finding Continued: Based on interviews, headquarters program managers do not always use survey information as part of ongoing management of the diversity, leadership, and civil rights programs to assess and monitor the level of respect Coast Guard personnel receive.

Supporting Rationale

- Headquarters program offices cannot provide perspective from Coast Guard Organizational Assessment Survey (OAS) data, Federal Employment Viewpoint Survey (FEVS) data, or Defense Manpower Data Center (DMDC) data on the levels, trends, and comparisons of respect with Coast Guard Personnel.

- CG is not getting accurate picture of climate because we do not consistently participate in the DMDC surveys:

  - Coast Guard did not participate/fund *DMDC 2012 Workplace and Gender Relations Survey of Active Duty Members (WGRES-AD).*

  - The *DMDC 2010 Workplace and Gender Relations Survey of Active Duty Members*, in which Coast Guard participated, showed similar results to 2012 *WGRES-AD.*

  - Results of 2009 and 2013 Workplace and Equal Opportunity Survey of Active Duty Members (WEOS-AD) have not been released by DoD Civil Rights.

- Data is not used to measure and optimize mission performance.

Recommendations

**POLICY;
COMMUNICATIONS/
MESSAGING;
LEADERSHIP**

ENV 9 Finding: Based on interviews and extant data, personnel perceive that the time necessary to adjudicate sexual assault cases is excessive-over a year depending on the case.

Recommendation 1: Implement recommendations from the Judge Advocate of the Coast Guard (TJAG) Chartered Military Justice Workgroup (See Appendix O).

Supporting Rationale

- There is not enough legal staff to efficiently adjudicate cases in a timely manner. Cases can take 10 months between the article 32 hearing and the court-martial. Legal Service Command proposed staffing additional personnel.

- The Coast Guard does not have cadre of experienced trial attorneys. Coast Guard District and Area attorneys do everything from military justice to operations law. There are very few specialists.

Recommendations

COMMUNICATIONS/ MESSAGING; POLICY; LEADERSHIP

ENV 10 Finding: Based on interviews, personnel perceive that the time it takes to investigate and adjudicate discrimination cases is excessive. Additionally, interviews revealed that Coast Guard personnel perceive that these cases get dismissed wrongfully.

Recommendation 1: Increase transparency with completed cases and messaging. Release message traffic, similar to *good order and discipline messages,* describing other COR cases, excluding any PII for active duty members.

Recommendation 2: Reduce the amount of time for investigations and adjudication; research hiring outside personnel (if needed) to investigate.

Supporting Rationale

- Per the Coast Guard Civil Rights office, all discrimination investigations are done externally by contractors. Personnel interviewed perceive that the Civil Rights office investigates their own cases and may be misrepresenting the number of cases in the Coast Guard to keep the numbers low.

- Per the EEOC FY 2012 Annual Report on the Federal Work Force, the affirmation rate of final agency decisions fell 10.5% since 2011. Monetary payouts in fiscal 2012 marked an 18% increase from the previous year (EEOC).

- Personnel don't trust the process and are unwilling to spend the time or cost to pursue a formal case.

- Based on the 2013 DEOCS survey, of the 1,434 people who said they had been discriminated against 1,341 did not report, 711 confronted the individual, 482 reported to their supervisor, 118 reported to EO/EEO, and 123 filed a formal complaint. The majority, 32.73%, were very dissatisfied and 22.28% were moderately dissatisfied with the issue resolution reporting formally or informally.
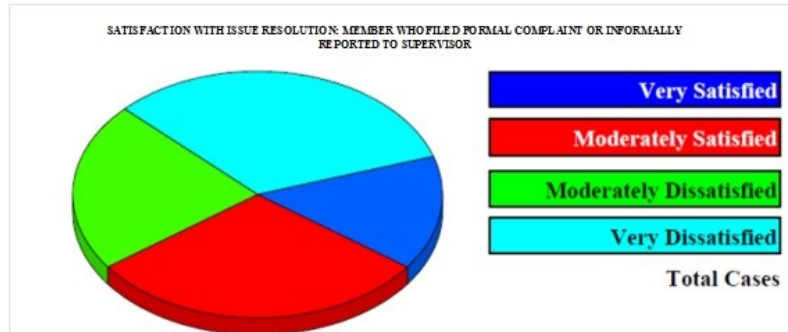
Figure 5: Satisfaction with issue resolution

- Similar to sexual assault reporting, personnel do not believe that reporting discrimination will make a difference and are afraid of retaliation and a case affecting their career.

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Recommendations

**POLICY;
DATA /
INFORMATION;
COMMUNICATIONS/
MESSAGING;
LEADERSHIP;
TRAINING**

<u>**ENV 11 Finding**</u>**: Based on interviews and review of extant data, consequence standards for policy or UCMJ violations vary between officer, enlisted, and civilian. In many cases where the accused is a high performer, interviewees said that they perceive that leaders focus on the positive performance rather than the violation, and, in essence, brush the problems "under the rug" (see ENV 2).**

Recommendation 1: Review personnel policies for best practices to document COR violations and provide recommendations for accountability actions. Update policies to be more specific and to remove ambiguity.

Recommendation 2: Research creating policy that holds bystanders accountable for not intervening when they see certain UCMJ or policy violations. Positively recognize members and leaders who hold others accountable to the standards. Do not penalize members if they take appropriate action.

Recommendation 3: Develop a COR violation "spectrum" which defines lower level, middle level, and high level COR behaviors. Study this further and determine what behaviors should be documented and how to document. When COR violations are identified, protect the Coast Guard from potential future offenses by encouraging commands to consider separation for members who have a pattern of lower level COR violations (harassment, bullying, hazing, discrimination, retaliation, intimidation). Consider referring middle level COR cases to higher level for disposition and identify what and when offenses are separation worthy. Consider making some violations of COR (harassment, bullying, hazing, retaliation, discrimination, intimidation) lawful general orders, violations of which are punishable under Article 92, UCMJ (see ENV 18.1). Consider creating policy requiring leaders to document lower level, middle level, and high level COR offenses and take action, regardless of "ruining a person's career".

"Organization is at fault-has not defined-lack of information so people create their own ideas. When policy is not clear, people interpret the policy in their own way.

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Recommendations

ENV 11 Finding Continued: **Based on interviews and review of extant data, consequence standards for policy or UCMJ violations vary between officer, enlisted, and civilian. In many cases where the accused is a high performer, interviewees said that they perceive that leaders focus on the positive performance rather than the violation, and, in essence, brush the problems "under the rug" (see ENV 2).**

Recommendation 4: Increase transparency of specific consequences stemming from COR violations (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) in *good order and discipline messages* for military personnel. Encourage civilian personnel office to engage OPM/NAGE to identify proper administrative tools to document and publish civilian COR violations that will promote transparency for civilian employees.

Recommendation 5: Develop a supervisor's job aid using examples from the LDC's tool kit, and develop a Coast Guard administrative remarks form CG-3307 template for COR violations (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) (see ENV 3.5).

Recommendation 6: Research working with DoD to update the separation program designator (SPD) codes on military separation documents to make them more specific. The codes should indicate the exact reason, for example, sexual harassment, sexual assault, racial discrimination, retaliation and not just misconduct or courts-martial. Conduct an integrity check by a second person to ensure that proper codes are assigned and entered properly (see ENV 12, ENV 18.2, and A/S 4).

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ENV 11 Finding Continued: Based on interviews and review of extant data, consequence standards for policy or UCMJ violations vary between officer, enlisted, and civilian. In many cases where the accused is a high performer, interviewees said that they perceive that leaders focus on the positive performance rather than the violation, and, in essence, brush the problems "under the rug" (see ENV 2).

Supporting Rationale

- There are no real standards for punishment of civilians and the policy document is outdated (1999).

- We are not holding people accountable and policies are not being enforced. Accountability is not consistent with rules and policies.

- "Implicit understandings of accepted cultural practices are generated what is rewarded and what is punished." ((b), 2009-SAPR Summit)

- "With regard to sexual aggression in particular, tolerance of infractions within the organization has been shown to increase the likelihood of continued sexual aggression." ((b), 2009-SAPR Summit)

- "There are cases of civilians abusing civilians and being promoted rather than held accountable. Even when reported, reports are ignored or even when found guilty, the command does not take action."

- "Bystanders don't intervene- the family away from family has been lost-that culture is not encouraged anymore."

- "We see where the CSO will call a SPO and request relevant CG-3307 and the command did not document, therefore it is not in the system. The record disappears."

- Good order & discipline data on civilians indicates: "Details of the circumstances surrounding the below listed actions are limited to protect individual privacy." There should be no expectation of privacy for those who have administrative actions taken against them for unacceptable behavior.

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Recommendations

ENV 11 Finding Continued: Based on interviews and review of extant data, consequence standards for policy or UCMJ violations vary between officer, enlisted, and civilian. In many cases where the accused is a high performer, interviewees said that they perceive that leaders focus on the positive performance rather than the violation, and, in essence, brush the problems "under the rug" (see ENV 2).

Supporting Rationale

- Military members are given the option to retire and then come back into the Coast Guard as Civil Servants after they did something that would normally result in disciplinary action (see ENV 4, ENV 18, and A/S 4).

- "Messaging for good order and discipline indicates inconsistent consequences for same infraction based on rank. Shouldn't officers be held to higher standard than enlisted?"

- "Accountability is not consistent with rules/policies. Ex: CG indicates we will not tolerate discrimination, yet even when found guilty of these offenses the individual remains in the CG and there are no consequences."

- "We have an anti-discrimination policy and the perpetrators know that as long as they don't do anything that falls into one of the protected categories, they can get away with their behavior."

- "There is no declaration of zero tolerance in policy related to COR issues other than if the position requires security clearance. They will not grant clearance if there are problems with the member. Have seen where the hiring command will remove the clearance requirement to hire the person then a year later, add the clearance requirement back in. Games being played. It goes back to the Command and there is no strong policy to prevent the command from bringing them back in."

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Recommendations

ENV 11 Finding Continued: Based on interviews and review of extant data, consequence standards for policy or UCMJ violations vary between officer, enlisted, and civilian. In many cases where the accused is a high performer, interviewees said that they perceive that leaders focus on the positive performance rather than the violation, and, in essence, brush the problems "under the rug" (see ENV 2).

"Boys will be boys attitude. Very much still around-easier to think there isn't a problem."

Supporting Rationale

- Interviews revealed that members perceive that: "Officers are given different punishments than enlisted for same offenses. (Good Order & Discipline). Enlisted can no longer "survive" NJP due to new reenlistment criteria."

- People are not held accountable for "small" infractions. Supervisors give a variety of reasons including, I don't want to ruin somebody's career or I don't want to have a hard conversation. Supervisors often ignore poor behavior like swearing, failure to salute, and basic military protocol.

- "One person can get away with it while another does the same thing and gets slammed-so people see that if they get away with it, it becomes acceptable behavior."

- ""Boys will be boys" attitude. This attitude is very much still around-easier to think there isn't a problem."

"I'm certain that if I had reported the assault to him [the CO], he would have sent me home," she said. "He probably would have believed he was doing me a favor, but it would have separated me from my support group. I also think he would have been concerned about how it [the sexual assault] made him look. He was real big on how his bosses looked at him, and a sexual assault under his command would have [in his mind] made him look bad. I think that would have shaded his response to me and to the assault." -Sexual Assault Victim via CG SAPR MCO Survivor Story

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Recommendations

**POLICY;
TRAINING;
COMMUNICATIONS/
MESSAGING;
LEADERSHIP**

ENV 12 Finding: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Recommendation 1: Update CG instruction on workplace violence and threatening behavior prevention (COMDTINST 5370.1A) and incorporate lessons learned from real-life incidents. Ensure this policy aligns with and includes other COR policies, such as the prevention of bullying, hazing, harassment, intimidation, and retaliation. Develop a job aid for personnel to reference if they find themselves in this type of situation.

Recommendation 2: Clarify and align Coast Guard expectations and consequences for COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation) and offenses in all policy, doctrine, and TTP.

Recommendation 3: State and reinforce unit command philosophies through ongoing conversations with unit personnel.

Recommendation 4: Update berthing area policies to require that the entry door must remain open when someone, other than a roommate and regardless of gender, is in the room (see page 54 for other items not consistent with repeal of Don't Ask, Don't Tell).

Recommendation 5: Standardize the definitions of the Core Values (see S/K 1).

Recommendation 6: Update policies to encourage handling of situations at the appropriate level vice the lowest level. Edit policies as indicated on pages 55-59.

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

- COR expectations and consequences are vague.

- Coast Guard-wide instructions on workplace violence including bullying, harassment, and other risky behaviors are not promulgated. Some personnel are not aware of the behaviors that lead to violence and they have no clear instruction on what to do during a workplace violence situation.

- "No clearly defined terms for "culture" or "respect". There are distorted views of these terms. For example, some people have the view of respect as an entitlement, while others see it more as something that is earned."

- "We are not being clear on the standard of behavior, yet we are less willing to provide second chances than we have in the past. Some of the best examples people have to pass on are from situations where they failed."

- "Ability to give range of expectations-this infraction…resolve/remedy. Use to have to sign a page 7 saying you understood expectations-welcome aboard policy. We no longer do this. We can't leave it up to leaders, we need to have standards. Don't leave it up to one person to decide whether something happened."

- "Lack of team, unit, and organizational commitment and increased focus on individual commitment - It's all about me - I'm committed to myself first - this model is not conducive to a true military team."

- "Processes are systematically broken and cause ambiguity."

- "Policy keeps on changing."

- There is no definitive line between "ribbing" and harassment. There is a varying interpretation of tradition.

- "CO's are entrusted to know what is hazing and what isn't. Where do you draw the line with initiation, hazing, and discipline? You know hazing when you see it. The COMDT instruction for line crossing ceremonies is left up to the command. "

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

Coast Guard processes do not allow visibility of potential personnel issues

- "There are a lot of repeat offenders. They have blips in their record that could have been handled before it got out of hand, if we had the information."
- SECDEF memo "Final Recommendations of the Ft. Hood Follow-on Review" states that the Department "will strengthen its policies, programs, and procedures in the following areas: addressing work place violence, ensuring commander and supervisor access to appropriate information in personnel records…"

Lack of specific guidance/process is an issue

- "There's a lot of activity and efforts organization-wide to address issues to make improvements; however, it's difficult to be aware of the efforts." (no tracking/ awareness mechanism). (see ENV 3, ENV 4, ENV 22)
- "Vague instruction and little training on how to manage civilians."
- "There is no real guidance-too general-for unit level Leadership Diversity Advisory Council (LDAC) responsibilities."
- "Don't ask Don't Tell repeal on cutters – No guidance on how to deal with berthing situations."

Policies conflict with service needs

- "The workforce shaping tools recently implemented (career retention screening panel (CRSP) and high year tenure (HYT), are creating inexperience within the workforce at the E-6 through E-8 levels and this inexperience can be tied to other leadership issues such as SA/SH, safety issues, mishaps, racism, etc."

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Recommendations

ENV 12 Finding Continued: **Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.**

Supporting Rationale

Personnel Manual: Pregnancy in the Coast Guard, COMDTINST 1000.9 chapter 7.A
- This instruction conflicts with policy on pregnancy and parenthood for personnel in the aviation community. Aviation regulations are not reflected in the Pregnancy in the Coast Guard COMDINST.

Doctrine for the U. S. Coast Guard, Coast Guard Publication 1
- The Coast Guard Ethos is not mentioned anywhere in Pub 1.

Military Assignments and Authorized Absences, COMDTINST M1000.8A chapters 1.c.6.i; 1.C.8.c; 1.E.6.b; 1.E.19
- This manual includes the following verbiage for assignment to OIC, XPO, and instructor billets, *"[includes the] ability to work harmoniously with others…".* is absent for assignment to an EPO billet and other assignments that require screening including special assignments.

Coast Guard Recruiting Manual, COMDTINST M1100.2E chapter 2.B.1.m Homosexual Conduct
- This entire manual is outdated and was written prior to the repeal of DADT.

Discipline and Conduct, COMDTINST M1600.2
- Chapter 1.A.3 states that, "…*service members will be informed of the Coast Guard policy on sexual conduct".* The term *sexual conduct* is vague.
- Chapter 1.D.3, Prohibition on Extremist and Criminal Gang Activity states that, *"…Prohibited conduct… Committing any intentional act, including conduct or speech, when on duty, when in uniform, at any time when aboard a military vessel or installation, when utilizing a government communications system, or when communicating with another member of the armed forces, which…"* This conflicts with general idea that Coast Guard military members are on duty 24/7.
- Chapter 2.B.2 Sexual Harassment states, *"All acts of sexual harassment are degrading to the offended individual and detrimental to the military profession." "…Commanding officers and officers in charge have a responsibility to look into all allegations of sexual harassment and to take prompt and effective action. They must be aware of all courses of action available to them to deal with sexual harassment allegations."* Where can members find courses of action? What is "prompt and effective action?" (Include suggestions/ideas in the policy)
- Chapter 2.C Hazing states, *"…The Coast Guard has no place for dehumanizing treatment. Commands shall investigate any hazing incident and initiate appropriate administrative or disciplinary action against the perpetrators and those in the chain of command who are determined to have tacitly condoned such practices, either by inaction or neglecting to investigate reported incidents."* What is "appropriate administrative disciplinary action?" (Include suggestions/ideas in the policy)

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

Coast Guard Civil Rights Manual, COMDTINST M5350.4C Anti-Discrimination/Harassment Policy Statement
- *These policies indicate that "immediate and appropriate" action will be taken in cases where discrimination and/or harassment have occurred. Take "appropriate measure to prevent reprisal"; "appropriate steps to end harassment", etc.* Appropriate steps are not defined. (Include suggestions/ideas in the policy)
- *Acceptance or Dismissal of cases. Based on 29C.F. R §1614 processing requirements, the Regional Civil Rights Manager will accept or recommend the dismissal of all or a portion of the allegations of a complaint. Item J. "It is moot"* Inconsistent with 29 C.F. R §1614, which states (5) "That is moot or alleges that a proposal to take a personnel action, or preliminary step to taking a personnel action, is discriminatory."

Command at Sea, COMDTPUB P1500.17B Chapter 6.D Human Relations.
- Policy states *"...you must be prepared to enforce policy or unjust treatment of personnel in any form at this command"* In the enforcement piece of preventing sexual harassment, maintaining equal opportunity is missing.

Command Senior Enlisted Leader (CSEL) Program, COMDTINST 1306.1D
- This instruction states, *"...Ensure a positive climate and an atmosphere of respect and professionalism, with zero tolerance for discrimination, sexual harassment and/or sexual assault.* What does *"zero-tolerance"* mean? What are the ramifications to cases of discrimination, harassment, and/or sexual assault?

Hazing Awareness Training, COMDTINST 1610.1
- Chapter 2.E states, *"Commanding officers receiving complaints of, or information concerning hazing have a responsibility to investigate and to take prompt effective action…".* What is considered "prompt" and "effective"? (Include suggestions/ideas in the policy)

Coast Guard Hazing Policy Statement
- Enclosure 1 states, *"There is no place in the Coast Guard for dehumanizing treatment and every incident of hazing shall be investigated and appropriate disciplinary action initiated against the perpetrators, including those in the chain of command who tacitly condone such practices either by their inaction or by neglecting to investigate reported suspected incidents."* What is "appropriate disciplinary action"? (Include suggestions/ideas in the policy)

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

Coast Guard Family Advocacy Program, COMDTINST 1750.7C
- Chapter 6 states, *"…The rights of the perpetrator shall be respected while providing adequate protection for the victim…".* What is "adequate protection"? (Include suggestions/ideas in the policy)

Sexual Assault Prevention and Response (SAPR) Program, COMDTINST M1754.10D
- Chapter 4 states*, "Building a culture that eliminates all behaviors and commentary that could serve as a precursor to sexual assault. Immediately address and seek to eliminate sexist, racist, and homophobic attitudes towards others. Prohibit the use of offensive jokes and other commentary that is demeaning to others and permits a culture of disrespect. Take actions to eliminate offensive posters or publications from the workplace. Respect your fellow service members, regardless of rank, rate, gender, cultural background, or sexual orientation."* Add "religious beliefs" after "sexual orientation".

- Chapter 6 states, *"Promoting intrusive leadership and active prevention from bystanders. In order to prevent sexual assaults, leaders need to engage with their people to ensure they have the knowledge to prevent sexual assaults from developing. Similarly, every member of the Coast Guard family needs to know that they have an affirmative duty to intervene in a developing situation, when possible, to respect and care for others, that they will be rewarded for taking care of each other, and that they could be held accountable for not taking action when doing so would prevent an assault."* This says that members "will" be rewarded for taking care of each other, and "could" be held accountable for not taking action to prevent an assault. What is "developing situation"? (Include suggestions/ideas in the policy)

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

Sexual Assault Prevention and Response (SAPR) Program, COMDTINST M1754.10D (continued)

- 2.C – Resources and Prevention Best Practices; Chapter 2.C states, *"Every service member and supervisor (civilian or military) must be thoroughly familiar with this Manual, including both prevention and response strategies and policies."* The words "service member", then referring to civilian or military, is incorrect. Civilians are not service members. Change to "Every CG member (civilian or military)..."

- *"The Coast Guard offers a robust training program for service members to be trained as VAs, and it is offered at various locations annually. Civilian employees may also be assigned to the role of a VA if in the best interest of the command, and they are held to the same standards and training obligations as uniformed VAs. The VA's role is to not only respond and care for victims of sexual assault, but also to act in a prevention capacity by being an information resource at the unit and assisting the SARC with prevention activities. It is strongly recommended that all units have at least one trained VA."* Civilian employees can no longer serve as a Victim Advocates. (Per SAPC meeting November 17, 2014-this will change and civilians will be allowed to serve as victim advocates).

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ENV 12 Finding Continued: Coast Guard policy, doctrine, and TTP are not clear or consistent and/or lack specificity for COR expectations.

Supporting Rationale

Coast Guard Academy and Policy Statement, COMDTINST 5400.14 Mission Requirements of the USCG Academy

- ..."*maintain an environment that fosters a high sense of honor, loyalty, and dedication to service".* This does not reflect specific CG core values.

Superintendent Instruction 5350.8B
- Indicates *"Be an active bystander".* This conflicts with COMDT policy of no bystanders in the Coast Guard.

Coast Guard Health Promotion Manual, COMDTINST M6200.1B
- Chapter 6.A.1 Stress Management states, *"...Appropriate referral to an individual trained in stress management includes but not limited to Medical Officer, EAP, and Chaplain."* Chapter 6.C.4 does not include PTSD or stress related to assault, harassment, discrimination, retaliation, etc.

Administrative Grievance Procedure, COMDTINST 12771.1
- This instruction states, '*It is important to remember that all parties involved in the grievance process shall be free from restraint, interference, coercion, discrimination, and/or reprisal. Grievances can arise in any workplace and supervisors must take care not to discriminate or take reprisal action against any employees filing grievances. Such discriminatory or reprisal action **may** be considered a disciplinary offense.*
- **The actual COMDTINST indicates 6.d:** *Such discriminatory or reprisal action by a supervisor **is** considered a disciplinary offense.* "May" needs to be changed and need consistent, accurate information dispersed to the field.

Recommendations

**POLICY;
DATA /
INFORMATION;
COMMUNICATIONS/
MESSAGING;
LEADERSHIP**

ENV 13 Finding: Based on interviews and extant data, the Coast Guard lacks support for victims of COR issues, aside from sexual assault. Research shows similar emotional impact regardless of incident type.

Recommendation 1: Conduct exit interviews or develop an online survey for those who are transferring or leaving the service; the data would go to the CO and CO's supervisor. By conducting interviews, the Coast Guard can find out specifically what we are not doing to provide help to victims and correct it.

Recommendation 2: Consider expanding support services to include support for victims of all COR issues (sexual assault, harassment, discrimination, hazing, bullying, intimidation and retaliation) and examine which situations require support services. Consider expanding EAP legal services for civilians or permit Coast Guard attorneys to provide advice to support civilian victims of sexual assault, harassment, and discrimination.

Recommendation 3: Review policy to determine feasibility of moving victims (civilians and military) out of their current workplace when COR issues are discovered to avoid a hostile work environment and retaliation. If implemented, determine threshold (severity of offense) for moving victims and ensure that commands/units are trained on what to do in these situations (see S/K 3-electronic job aid/computer "app".)

Supporting Rationale

- "There is no support to get career back on track when a case does not have enough evidence and the member is found not guilty." (subject/victim)

- "For discrimination cases, Coast Guard leadership personnel are provided Coast Guard lawyer yet victim must pay for own." (military & civilian)

- Interviews indicated that some members feel their supervisors' attitude is "If I don't have proof [of a COR violation], I can't do anything about it."

- "No support for addressing victim after a situation/failure of justice."

- "Civilians and military members frequently continue to work at the location with the alleged perpetrator. There are no guidelines for moving them out of the situation away from the abuser."

- "There is no complete database that captures the actual reason why an officer or other personnel leave the service. Yes, they are assigned a code, but the codes rarely capture the actual reason they depart active duty."

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Recommendations

**POLICY;
DATA /
INFORMATION;
COMMUNICATIONS/
MESSAGING;
LEADERSHIP;
TRAINING**

ENV 14 Finding: Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.

NOTE: The SAPR MCO's Victim Response and Recovery Care Committee (VRRCC) group addressed and resolved many of the issues raised to the COR IPT by victims including weight gain, flagging direct access records (see appendix P), transfer policy, and a job aid for COs and OINCs.

Recommendation 1: Further analyze response, recovery care issues, and successes with prior victims in order to determine best practices moving forward.

Recommendation 2: Allow trusted relationships (example: telling parents, best friend, etc.) as a restricted reporting policy option, similar to the CG Academy's Cadets Against Sexual Assault (CASA) program. Review Coast Guard and other services' policies on trusted relationships to determine what relationships should be allowed for restricted reporting.

Recommendation 3: For personnel transferred after reporting a sexual assault, notify the local CO and chaplain when member reports to unit (note: similar to procedures for HIV policy). Determine whether this should be mandatory or with victim permission.

Recommendation 4: Address victim and military whistleblower (non-bystander) support through policy vice annual ALCOAST based on the Military Whistleblower Protection Act; promulgate the policy and enforce. Explore changing the civilian whistleblower policy with OPM/NAGE to make it consistent with military policy, but relative to civilian punishment rather than UCMJ (note: see Supporting Rationale, sections B and C, which describe social ostracism).

Recommendation 5: Continue to reinforce message of supporting victims when they report sexual assault. Expand information published in *good order and discipline messages* to include administrative actions taken (e.g., separations, retirements, clearance revocations, etc). Write the messages in an easy-to-understand manner, rather than "legalese". Provide victims of sexual assault with information and options, but do not force "help" if a victim does not want it. Include campaign and further support for male victims. Advertise and message widely. Notify the victims of sexual assault of the full scope of consequences and punishments awarded to their assailant, as required by law and Coast Guard policy. Fully implement changes in National Defense Authorization Act (NDAA) regarding victims' rights including scope of punishment.

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Recommendations

ENV 14 Finding Continued: Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.

"My main objection to the current system is that a victim who has just had their power and control taken away by a sexual assault has even more power and control taken away by our response. That means the Coast Guard hurts and re-victimizes victims as often as it helps or protects them."
From Sexual Assault Victim via CG SAPR MCO Survivor Story

Recommendation 6: Implement psychological services programs for sexual assault victims (consider modeling programs after similar ones used by the U.S. Navy). A victim care tracking system would need to become a part of these services.

Recommendation 7: Document, track, and analyze data for all victims that have been medically discharged or retired. This will help determine if there are connections to sexual assault, harassment, discrimination, bullying, hazing, and retaliation. Also document and track discharges stemming from other sexual assault related issues such as weight gain, substance abuse, and other medical board separations related to and occurring after the assault.

Recommendation 8: Fund, participate, and use data from the DoD Workplace and Gender Relations Survey.

Recommendation 9: Further research the necessary level of support needed to get a former accused member's career back on track when the evidence indicates the accused was not in any way culpable.

Supporting Rationale

- Department of Defense policy (DoDI 6495.02, Encl 4, Sec 1.e) permits a victim to still file a Restricted Report even if the victim has previously confided in a person within the service, so long as the confided-in person is not in the victim's chain of command.)

- ALCOAST 281/14 on the Military Whistleblower Protection Act: *"To maintain the integrity of our Service, no Coast Guard member should feel threatened because he or she reported criminal activity. We expect our members to demonstrate moral courage when faced with an adverse situation. Retribution against Coast Guard personnel who report a criminal offense undermines the military justice system and erodes good order and discipline."*

- Civilian Whistleblower policy, sections B and C:
  B. *"Ostracism, which is the exclusion from social acceptance, privilege, or friendship with the intent to discourage that individual from reporting a criminal offense or otherwise discourage the due administration of justice, or*

  C. *Maltreatment, which is treatment by peers or by other persons, that, when viewed objectively under all the circumstances, is abusive or otherwise unwarranted, unjustified, and unnecessary for any lawful purpose that is done with the intent to discourage reporting of a criminal offense or otherwise discourage the due administration of justice and that results in physical or mental harm or suffering, or reasonably could have caused physical or mental harm or suffering. Mal treatment does not require a senior-subordinate relationship as is required for maltreatment under Article 93, UCMJ."*

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Recommendations

ENV 14 Finding Continued: Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.

Supporting Rationale

- "Victims are not allowed to confide in their trusted relationships (parents, friends) without it potentially being an unrestricted report and this is essential for their well-being."

- "No protection of career loss as members are medically discharged as not fit for duty. Women, whether a victim of sexual assault or in the general population, are more likely than men to be labeled with BD and BPD Bipolar Disorder (BD: a mood disorder) and Borderline Personality Disorder (BPD) (American Psychiatric Association 2000) having such feelings after being assaulted is deeply human, not "sick." Women's Policy Journal of Harvard.

- Men are a large population of unwanted sexual contact. Per the 2014 RAND study, between 9,000 and 13,000 male service members were sexually assaulted. Thus the House report accompanying the FY2014 National Defense Authorization Act mandated that GAO review DoD's efforts to address sexual assaults of male service members. The Coast Guard was given specific recommendations. See GAO, *Military Personnel: DOD's and the Coast Guard's Sexual Assault Prevention and Response Programs Face Implementation and Oversight Challenges*, GAO-08-924 (Washington, D.C.: Aug. 29, 2008). DOD and the Coast Guard concurred with all of GAO's recommendations.

- "We are not informing commands why a victim is being transferred to their unit." (privacy issues)

- "Gossip is an issue when we move victims (privacy issues)."

- "Victims are ostracized, there is a stigma. Power is taken from them and they don't feel like they can claim it back. No one believes them, no one helps them."

- "A lot of victims-one of the biggest concerns is that they feel they will not be taken seriously. Another dynamic-they have seen where those who have come forward are penalized."

- "Past year, very worried about SARCs and victims-everybody is out there with biases-creating problems-Coast Guard is running scared-victims are being followed-"have to help them!" Some victims don't want or need "help" they just want to move on with life. With only a 20% report rate-it has become like a witch hunt trying to find victims."

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ENV 14 Finding Continued: Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.

Supporting Rationale

"For a lot of victims-one of the biggest concerns is that they feel they will not be taken seriously. Another dynamic-they have seen where those who have come forward are penalized."

"I think, if the Coast Guard wants to create a culture that supports victims, it needs to help Coasties at all levels realize that if a victim participates in the investigative and judicial process, they're not doing it for their own gain. It's a long, difficult, painful process that gives the victim almost nothing in return. They have to recount the intimate details of the assault with strangers at least four times; with CGIS, the prosecutor, the defense, and the members' panel. Their career will be negatively impacted because they'll spend hours preparing for trial instead of working on qualifications, studying for the service wide exam, or attending to other professional growth. Their relationships will change. Friends and co-workers will question the victim's motives and credibility. The victim will be treated differently than they were before they made the report. They may be pitied, coddled, resented, or isolated. This abnormal, unhealthy state of affairs is a constant reality for the victim and, if they stay engaged through trial, it lasts for at least a year. Participating in an investigation and trial often prevents, delays or complicates the victim's efforts to heal and move on."

Recommendations

ENV 14 Finding Continued: **Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.**

Supporting Rationale

- Weight gain is a side effect of post traumatic stress disorder (PTSD), but we discharge victims because of their weight without investigating the root cause of the weight gain.

- "The Sexual Assault victim doesn't believe that reporting the sexual assault impacted her career, but it's clear she believes that the assault itself, and the resulting trauma has adversely affected her career." She said: 'This feels like failing to take personal responsibility, but, one of the symptoms of depression for me is weight gain and I was on the weight program a couple times between 2008 and 2010. That is the only negative thing in my record, so I believe when I was passed over in 2012, it was because I had been on the weight program.'"

- "I was only on the weight program because I was battling this depression, which was only caused by the sexual assault. If I had handled the trauma of the assault better, I probably could have avoided the negative impact to my career."

- If a victim chooses not to file an unrestricted report, they are not given the same options of protections/transfer, etc.

- Civil service employees do not get the same support as military members, specifically, being moved or having the alleged perpetrator moved.

- "Victims are being re-victimized by the military commanders falling all over themselves to do the right thing. They are taking away their weapons, security clearance, etc. Victims just want to get on with their lives."

- "EAP support services are not meeting victim's long-term needs. The Navy has a program where you can go talk to a psychologist for 12 sessions in a year and we have EAP. But EAP programs are for minor work or family issues and not set up to deal with the possible long term needs of sexual assault victims. It is like giving someone a band-aid for a broken leg."

- "It goes without saying that the CO must be extremely vigilant to ensure the member's confidentiality is not compromised. If you inform someone else in your command, you should advise [the victim] of your decision."

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Recommendations

ENV 14 Finding Continued: **Based on interviews and extant data review, some personnel perceive a lack of victim support for sexual assault.**

Supporting Rationale

- "They made it so you no longer have to report counseling for sexual assault. But if you go through TRICARE and see a civilian psychologist, the psychologist has to diagnose you with something for billing purposes. Something like anxiety, post traumatic stress, depression, whatever. If you get diagnosed with anything, the Coast Guard can involuntarily discharge you. So they are saying, people can report and get help, as long as the assault did not cause any mental problems, then you can keep your job." (NOTE: Coast Guard 2012 data indicates that only 9 members were involuntarily separated out of 165 unrestricted and restricted reports of sexual assault. The Coast Guard does not track those that have been med-boarded, medically retired, related substance abuse, or weight gain issues other than adjustment disorder.)

- The main reasons why women chose not to report incidents were: they thought it was not important enough to report (75% – 19 percentage points higher than 2010), they did not want people gossiping about them (74% – unchanged from 2010), and they did not want anyone to know (70% – 8 percentage points higher than 2010). (source: Academy Gender Relations Study 2012) (NOTE: Other than the Academy, the Coast Guard, as a whole, has not participated in the Workplace and Gender Relations Survey since 2010.)

- "For example, I was in a position where I was talking to a young lady that had been assaulted in the past and she informed me that the person who assaulted her was still in the Coast Guard. However, she never knew what punishment her assailant received because she was transferred and there was no follow up. This lack of information was really weighing on her progression through the Coast Guard. In this circumstance, without divulging any personal information about the individual, I did find out that the he had been on the advancement list for Senior Chief but he was no longer recommended. I informed her of that and she was very relieved that something had in fact happened. My question is: are we educating members, both victims and those who were perhaps just aware of the situation, as to the final results of an investigation? More so, are the junior members getting the "reality" not the "perception" from their own leadership and using it as a lessons learned? I know it is hard to capture, but to me it seems to be a breakdown in communication between senior leadership at a unit and their subordinates."

Recommendations

**COMMUNICATIONS/
MESSAGING;
TRAINING;
LEADERSHIP**

ENV 15 Finding: Based on interviews, some personnel perceive there is a gap between military expectations and societal values; some new members do not conform to military expectations.

Recommendation 1: Reinforce COR values at the local unit level using the CPO mess and wardroom. (See ENV 21.1 and ENV 21.2)

Supporting Rationale

- "Coast Guard reflects society-we inherit"

- "Societal problem-long-term-sense of entitlement"

- "Social media/trash TV"

- "Internet pornography availability"

- "Bullying 24/7 via internet/ email/ social sites"

- "Society is a microcosm showing disrespect"

- "Our moral compass is gone-lack of respect for themselves and others."

- "Lack of values/Open sexuality"

- "When members arrive to their first unit, we don't teach/reinforce COR values until it might be too late. Society and regional cultures that people come from influence perceptions that don't always align with organizational values/expectations. There is a gap between military norms and a wider gap in values. Can't expect to be re-spected when Friday night you are out partying and acting out and then Monday you are in the workplace-there isn't a light switch."

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Recommendations

DATA / INFORMATION; COMMUNICATIONS/ MESSAGING; LEADERSHIP

ENV 16 Finding: Based on interviews, personnel perceive an individual's focus is more on advancement and their own evaluation than taking care of people.

Recommendation 1: As stated in the 2014 Commandant's Direction, clearly communicate at the unit level that personnel need to look at what is best for the Coast Guard first then what is best for the unit and individual. Encourage and promote service-based behaviors over individual accomplishments.

"As a Coast Guard, we will: Place Service above Self" –Commandant's Direction 2014

Recommendation 2: Examine best practices for the use of incorporating 360 feedback reviews.

Supporting Rationale

- "Leaders need to be adaptable to our environment not adapt environment to meet their career goals."

- "Attitude is that if you don't participate you don't get high OERs/likeability factor-this can be considered when evaluated for promotion."

- ADM Loy's *career fear* concept.

- "People are afraid to "ruin careers" by documenting with a p 7, especially with the new re-enlistment guidelines."

- "Walking on eggshells-paranoia of career, misunderstandings."

- "The Chiefs' Mess is no longer the "force to be reckoned with" when it comes to the boundaries of respect. They are not consistently being empowered with the ability to make take care of things / make decisions (without being "second-guessed" by the officer corps.)"

- "Zero-defect mentality-if you make a mistake, you will be passed over."

- "I think everyone wants to be on SAPR parade for OER bullets."

- "The senior leaders care about themselves and their careers, they really don't care about the folks that work for them. "

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Recommendations

**POLICY;
DATA /
INFORMATION;
LEADERSHIP;
TRAINING;
COMMUNICATIONS/
MESSAGING**

ENV 17 Finding: Based on interviews, personnel perceive that some Coast Guard personnel accept poor behavior as status quo.

Recommendation 1: Conduct an analysis on toxic leadership within the Coast Guard. According to LTG Ulmer, Jr, (US Army, retired): "Toxic leaders are individuals whose behavior appears driven by self-centered careerism at the expense of their subordinates and unit, and whose style is characterized by abusive and dictatorial behavior that promotes an unhealthy organizational climate." (*Ulmer, 2012*)

Recommendation 2: Based on the results of the toxic leadership analysis, if necessary, develop appropriate training, evaluations systems, and resources for personnel to remove toxic leadership from the organization.

Recommendation 3: Research best practices for assessing command climate and reporting findings up the chain of command to address issues.

"These were high performers who had accomplished much, but had done so on the backs of their people who suffered under their authority. I spoke to the Admiral afterwards, and he told me that the most troubling part of the toxic leader problem is that when a relief finally does occur, no one is surprised because that person has a long standing service reputation for being a caustic leader (Even though the OPM record does not reflect it.) So, the person was given great authority despite a service reputation for being a destructive leader."

Supporting Rationale

- "Bullying, harassment, etc. is acceptable in military culture."
- "Hazing is considered ok."
- "Senior people exhibiting bad behavior and not being penalized-I did it way back in the day so why penalize them-attitude."
- "Command/CG minimizes problems."
- "Attitude is "I got through it so can you; doing it my way or the highway; fostering wrong behavior."

Continued on next page

Recommendations

ENV 17 Finding Continued: Based on interviews, personnel perceive that some Coast Guard personnel accept poor behavior as status quo.

Recommendation 4: Charge the CPO mess and wardroom to take ownership of SAPR and other COR issues as a unit deck-plate leadership initiative.

Recommendation 5: Provide clear messaging that the Coast Guard expects personnel to act and speak in a manner which, if placed on the front page of the newspaper or recorded in the media, Coast Guard senior leaders would find it acceptable.

"On my last boat the Command Climate was absolutely horrible. Every day I dreaded going in for fear of being yelled at by the CO or XO. It was to the lengths that the CO would sometimes chew out the BMC in front of the whole crew. Life was miserable and no one would speak up for fear of negatively affecting their careers. Mid-level leadership (the Chiefs) would also not say anything due to the above mentioned. I truly wanted to go to the Sector Gold Badge or higher about it but as a BM striving for Command Cadre jobs, I needed the CO's recommendation. After I left, a member of the crew almost committed suicide because of his frustrations with the Command, but luckily went to the Chiefs and asked for help."

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Recommendations

ENV 17 Finding Continued: **Based on interviews, personnel perceive that some Coast Guard personnel accept poor behavior as status quo.**

Recommendation 6: Encourage and empower peers to police and correct bad behavior. Incorporate bystander components into team coordination training to address safety issues. Use COR scenarios and use team coordination training as a way to encourage peers not to be a bystander.

Recommendation 7: Provide clear direction to unit leadership that Coast Guard personnel expect them to police and immediately address poor behavior (for example, inappropriate jokes) and to document the situation if it is not stopped.

Supporting Rationale

- "The command climate at this unit is by far the worst of any unit I have worked for. The command is only concerned with issues that directly affect them. The command as a whole turns a blind eye to mistreatment of personnel at the unit and refuses to stand up for members who are being unjustly persecuted and mistreated. Issues that are brought up to the command are seldom addressed or even acknowledged. As a whole the members attached to this unit seem to be angry, disgruntled, and abused."

- "There's a CWO here at this unit that talks down to his shop, purposely selects individuals that he wants to go on deployments with, calls his subordinates dumb, retards, screw ups, etc. and he makes comments that they just wasted his time and made him feel stupid. . ."

- "At one point in my career after going to my supervisor due to harassment I was told it was my fault and was not recommended for advancement twice following the situation. Later when the same member who was harassing me began the same behavior to them they apologized but at that point it was too late to take the two advancement tests I had missed."

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Recommendations

ENV 17 Finding Continued: Based on interviews, personnel perceive that some Coast Guard personnel accept poor behavior as status quo.

Recommendation 8: Examine best practices for the use of incorporating 360 feedback reviews, DEOCS data, and OAS data to address unit level concerns. Higher level supervisors should inform deck plate leadership of issues they find.

"Recently our engineering officer addressed all of the enlisted workforce as "a bunch of idiots that don't know what they are doing". What kind of senior officer addresses his enlisted workforce that way? What kind of example is this "person" giving to all the junior petty officers?"

Supporting Rationale

- "When someone shows up at a unit and feels uncomfortable or disagrees with behaviors and language they are seeing and hearing, they don't feel they can speak up because they are new. As it is they show up and after a few months of seeing and hearing this, they figure this is the way it is and it is no big deal."

- Hazing, in the form of organizational customs and traditions, are accepted as part of the culture like fraternities.

- "Lack of professionalism in communications between peers."

- "Inappropriate jokes are accepted behavior."

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Recommendations

POLICY; COMMUNICATIONS/ MESSAGING; LEADERSHIP

ENV 18 Finding: Based on interviews, the Coast Guard has allowed perpetrators of COR issues to escape accountability and instead resign, retire, or transfer.

Recommendation 1: Define and set threshold for separating individuals who commit substantiated COR violations (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) (see ENV 11.3).

Recommendation 2: Review policies regarding feasibility of assigning specific codes to the certificate of release or discharge from active duty form (DD-214) when a member is discharged or prohibited from re-enlisting for COR issues (sexual assault, harassment, bullying, hazing, retaliation, discrimination, intimidation) (see ENV 11, ENV 12, and A/S 4).

Supporting Rationale

- *"The deck is stacked against the military sexual trauma (MST) victim who reports the assault, because even to get a hearing, he/she must persuade the officer(s) in her chain of command to proceed with the case, and the prosecution rate reflects that officers are rarely open to such persuasion. In 2011, fewer than 8 percent of reported cases went to trial (recall that only 13.5 percent of MST incidents are even reported). Of those that went to trial, 191 of the accused were convicted, and an estimated 10 percent of perpetrators resigned in lieu of courts martial, which effectively means the military allowed rapists to quit their jobs to avoid facing charges."* U.S. Department of Defense 2012b; Burke 2012.

- "By allowing members to resign or retire in lieu of courts martial for all COR issues we are allowing potentially dangerous members back into society with no punishment, we are not holding them accountable thus creating a culture that "allows" this behavior, they could come back into the CG or other organizations as civilians and do the same thing."

Recommendations

POLICY

ENV 19 Finding: Based on a review of extant data, through interviews, and from findings received from other SAPR MCO chartered groups, the Coast Guard does not provide sufficient measures to prevent sexual assault.
NOTE: The SAPR MCO's Prevention Innovation Committee started to collect data and resolve other prevention issues raised to the COR IPT by interviewees.

Recommendation 1: Review video camera installation policy and consider installing them in and around barracks and cutter passageways that are attached to berthing areas or staterooms. Based on research this can serve as both a deterrent for sexual assault and provide evidence for case adjudication.

Recommendation 2: Separate genders in barracks by floors or wings.

Recommendation 3: See alcohol recommendations in ENV 20.

FY14 Sexual Assault Reports - Location Breakdown

- Off-Base — 44%
- Off-Base: port call — 8%
- U/W — 6%
- On & Off-Base — 6%
- On-Base — 17%
- Unknown — 19%
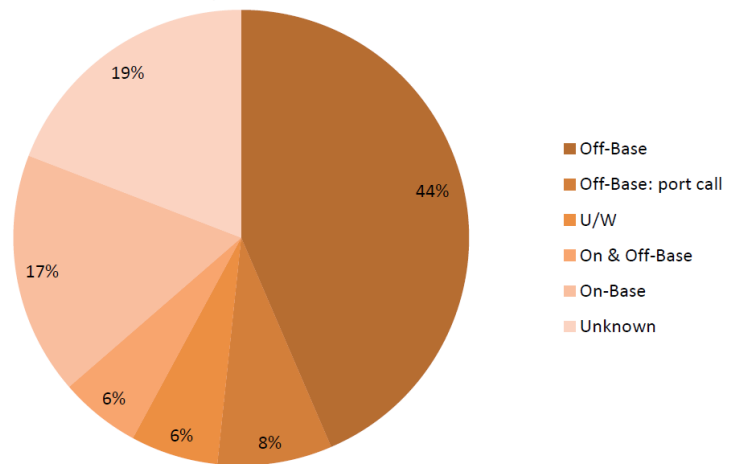
"Sexual assault prevention and response encompasses more than policy statements and more than check-the-box training – it must be an extension of each service member's ethos, inculcated into our everyday planning, training, and operations. An operating environment free from threat of sexual assault must be part of our culture." **(ADM Papp Testimony, 2013)**

Supporting Rationale

- "The ability to see what is going on in the barracks environment is not sufficient. Not all training centers have cameras in the barracks areas. The ones that do can help to prevent sexual assaults and are used for cases to prosecute."

- Male and females are allowed to berth on the same floor.

- Alcohol consumption is not always effectively monitored.

- Research shows that video cameras are an effective deterrent for sexual assault.

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Recommendations

**POLICY;
DATA /
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LEADERSHIP;
TRAINING;
COMMUNICATIONS/
MESSAGING**

ENV 20 Finding: Based on interviews, Coast Guard bases and units often do not assign watch standers to on-base clubs, and restaurants and bartenders cannot always effectively determine "of age" patrons.

NOTE: The SAPR MCO's Prevention Innovation Committee started to collect data and resolve other alcohol related issues raised to the COR IPT by interviewees.

Recommendation 1: Consider implementing Air Station Barbers Point command policy of using security guards to stand watch at on base clubs Coast Guard wide. The security watch stander and bartender must work together to cut-off alcohol consumption when they observe abuse. Recommend implementing the responsible drinking (0, 1, 2, 3) guidelines supported by the Coast Guard Work Life program office Coast Guard wide.

Recommendation 2: Following policy as outlined in the Coast Guard MWR Manual (M1710.13C, Enclosure (9)), ensure on base bartenders or security watch standers check each member's identification upon entering the club to ensure validity/member's age. Once checked, use disposable wrist bands or a hand stamp to help identify those who are of legal age.

Recommendation 3: Research the "That Guy" campaign (www.thatguy.com) for Coast Guard wide implementation (cited as a best practice from Community Service Command Director of MWR).

Supporting Rationale

- In 2014, alcohol factored in 58% of Coast Guard sexual assault cases by number of victims (Fiscal Year 2014 Sexual Assault Coast Guard Report).

- Units are not always effectively monitoring alcohol consumption on base. CG Community Services Command oversees on base clubs and restaurants and can write more stringent policy to ensure responsible drinking in these establishments. The Coast Guard MWR Manual (M1710.13C, Enclosure (9)) outlines the requirements for on base food and beverage operations and requirements for serving alcoholic beverages.

- The drinking policy varies. Personnel cannot drink within 12 hours of duty, driving a boat, operating a simulator, or handling weapons. There is no such policy for instructors, except for at Cape May.

- Victims and bystanders are afraid to report or get involved when there is collateral misconduct of drinking. "A" school students reported that they have seen peers get punished for getting involved. The "A" school students also stated they will not get involved for fear of it affecting their careers.

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Recommendations

ENV 20 Finding Continued: Based on interviews, bases and units often do not assign watch standers to on-base clubs and restaurants and bartenders cannot always effectively determine "of age" patrons.

Recommendation 4: For on base events outside of the MWR program, require event points of contact (POCs) to request, in writing, permission to serve alcohol. COs must approve each request and require the following: the POC must be of legal drinking age, remain at the event for its entirety, the POC must not consume alcohol, must serve food in addition to alcohol, no end of event games/drinking games (example: finishing all of the alcohol before the end of the event), must offer other alternatives to drinking and provide activities during the event, and must provide transportation for members who consume alcohol, if needed.

Recommendation 5: Add personnel assigned to instructor positions into the time restrictions on alcohol consumption policy found at operational units, and consider alcohol restrictions in foreign port calls.

Recommendation 6: Implement recommendations from the SAPR MCO Victim Response and Recovery Care Committee (VRRCC) regarding new policy for bystander misconduct charges.

Recommendation 7: Review current alcohol policy for Unaccompanied Personnel Housing and provide Coast Guard with standard policy.

Supporting Rationale

- "How many assaults occur due to alcohol in port calls? Why not adopt DOD type policies that restrict alcohol during foreign port calls? Female service members are being accused of bogus inappropriate relationship claims for locking doors. Did you ever consider the door was closed and locked b/c of fear of sexual assaults? Stop targeting females who are often placed alone w/out a peer group and implement policies to protect them. The alcohol restriction for cutters in foreign ports is a no brainer."

Recommendations

**POLICY;
DATA /
INFORMATION;
LEADERSHIP;
COMMUNICATIONS/
MESSAGING**

ENV 21 Finding: Based on observation and interviews, Coast Guard members do not consistently enforce military bearing throughout the service.

Recommendation 1: Local commands need to reinforce Coast Guard standards of behavior and military bearing at their units using the CPO mess and wardroom to address this. Local units should maintain and enforce military bearing consistently in the field. Ensure personnel use the proper courtesies (sir or ma'am, chief, attention on deck, first name use); make this consistent throughout the Coast Guard. Align CPO Mess with the Wardroom regarding expectations of standards and enforcement.

Recommendation 2: In places where there might be confusion (e.g. under awnings and walkways where there is partial cover) post consistent signs requiring military bearing. Sector Miami and TRACEN Yorktown are good examples. At Sector Miami the covered area outside of the Coast Guard Exchange is a "no salute zone", while at TRACEN Yorktown, salutes are required outside in covered walkways.

Supporting Rationale

- Saluting, professional language, sir or ma'am, Chief, attention on deck, first name use, etc. is not consistent throughout Coast Guard.

- When members go to their first unit they are sometimes told to ignore everything they learned in boot camp.

- "Some senior enlisted feel they do not have to salute junior officers."

Recommendations

DATA / INFORMATION

ENV 22 Finding: Based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data.

Recommendation 1: Per "Report of the Response Systems to Adult Sexual Assault Crimes Panel" recommendation 3-A, consider implementing the U.S. Army's model for calculating prosecution and convictions rates, which will provide accurate and comparable rates by tracking the number and rates of acquittals and alternate dispositions in sexual assault cases.

Recommendation 2: Research how to track and document all discrimination complaints both formal and informal. Establish separate categories for tracking complaints (e.g. harassment, different types of discrimination (age, religion, race, etc.), hazing, retaliation, intimidation/hostile environment/workplace violence), and include the status and disposition of each case.

Supporting Rationale

- The Coast Guard does not have an accurate picture of how many sexual assault cases involve sexual harassment or how many cases of discrimination have led to other charges, such as sexual harassment. COR IPT analysts asked several offices for sexual assault, sexual harassment, and discrimination data, and we received different answers depending on the program office collecting the data, as there is no consistent way in which the CG tracks and reports this data. Without a common picture or a "one stop shop", it is difficult to target the issues to positively influence the change in the culture.

Examples of Inconsistent CG Data:
- Coast Guard Fiscal Year 2014 Sexual Assault Report: Out of 167 sexual assault cases, 7 were charged with sexual harassment.

- Per response to COR IPT's request for the number of cases of sexual harassment in the last 5 years: 2 cases in FY 2014, 2 cases in FY 2013, and 7 cases in FY2012.

- Per response the Coast Guard's response to the Response Systems Panel: 13 substantiated cases of sexual harassment involving military personnel in FY2012 and FY2013.

- Per the 2013 CG DEOCS roll up report: 882 people indicated that they had experienced sexual harassment.

- Per the 2014 RAND Report: An estimated 2,354 active duty CG members experienced sexual harassment in the past year from a sample size of 39,112 (total w/CI of 95%).

- The table on page 79 further highlights the inconsistent way that the CG tracks this data.

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Recommendations

__ENV 22 Finding__: Based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data.

This table highlights inconsistencies in the way the Coast Guard tracks sexual harassment data.

Fiscal Year	Source	Response	Notes/Comments
2014	CG FY14 Sexual Assault Report	7 cases out of 167 charged with sexual harassment	CG Discipline and Conduct Manual, M1600.2 "A review of the UCMJ and reference (e), Manual for Courts-Martial (MCM), United States (current edition) reveals numerous provisions well suited for prosecution of sexual harassment amounting to criminal conduct." M1600.2 lists 14 possible UCMJ articles (and 12 specifications under article 134) suitable for prosecuting these cases.
2014	Legal Service Command review of cases[1]	13 cases involving military members	At this time: 1 NJP, 1 closed, 4 pending, 2 SCM, 1 discharged, 1 counseling, 2 CG-3307, 1 SpCM. Members charged with Articles 89, 111, 92, 93, 134, 120, 120c, 128, 133, and/or 134.
2014	CG-00H response to COR IPT request for information	2 cases of sexual harassment	
2014	RAND Report	Estimated 2354 active duty members experienced sexual harassment out of 39,112 (95% confidence index) in the past year	Equates to 6% of active duty members
2013	Legal Service Command review of cases	9 cases involving military members	2 dismissed, 1 GCM, 1 no punitive action taken, 2 admin/NJP, 1 civilian court, 1 non-prosecution, 1case transferred to different legal office. Members charged with Articles 93, 134, and/or 120.
2013	DEOCS Survey Roll-Up Report	882 people indicated that they experienced sexual harassment	The CO/OIC must administer DEOCS to his/her workforce within 180 days of assuming command and annually thereafter. Requirement that applies to units with 25 or more assigned personnel, including Reserves, as indicated on the personnel allowance list (pal).
2013	CG-00H response to COR IPT request for information	2 cases of sexual harassment	
2013	Coast Guard report to the Response Systems Panel	13 substantiated cases involving military personnel	
2012	CG-00H response to COR IPT request for information	7 cases of sexual harassment	
2012	Coast Guard report to the Response Systems Panel	13 substantiated cases involving military personnel	

[1]The Legal Service Command (LSC) provides command advice and trial services to DCMS Enterprise Field units. This data represents only LSC cases reviewed through a manual examination of LSC electronic case files for the period in question.

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ENV 22 Finding: Based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data.

Supporting Rationale

- The UCMJ does not contain a specific, separate charge for sexual harassment. The COR IPT analysts asked Legal Service Command (LSC) attorneys for the number of sexual harassment cases which amounted to criminal conduct in FY13 and FY14. To determine this number, LSC interns spent 30 hours manually reviewing cases to determine if the member was prosecuted for sexual harassment amounting to criminal conduct. CG Discipline and Conduct Manual, M1600.2, lists 14 possible UCMJ articles (and 12 specifications under article 134) suitable for prosecuting these cases:
    - Article 78 Accessory after the Fact
    - Article 80 Attempt to Commit an Offense
    - Article 81 Conspiracy
    - Article 89 Disrespect to a Superior Commissioned Officer
    - Article 90 Assaulting a Superior Commissioned Officer
    - Article 91 Insubordinate Conduct toward a Warrant Officer, Noncommissioned Officer, or Petty Officer
    - Article 92 Failure to Obey an Order or Regulation
    - Article 93 Cruelty and Maltreatment
    - Article 120 Rape and Carnal Knowledge
    - Article 125 Sodomy
    - Article 127 Extortion
    - Article 128 Assault
    - Article 133 Conduct Unbecoming an Officer
    - Article 134 Twelve Specifications, including: Indecent Acts, Assault, Exposure or Language; Communicating a Threat; Depositing or Causing to be Deposited Obscene Matters in the Mail; Disorderly Conduct; Fraternization; Misprision of a Serious Offense; and Soliciting Another to Commit an Offense

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Recommendations

ENV 22 Finding Continued: **Based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data.**

Recommendation 3: Correlate data for COR violations and involuntary separations to determine if there are trends.

Recommendation 4: Consider adding specific COR violations to the personnel management information system (PMIS) reasons for separation.

Supporting Rationale

- Per review of PMIS data provided by the Headquarters Office of Workforce Forecasting & Analysis (CG-12A), between 2010 and 2014, 184 males and 143 females in the E2 & E3 pay grades, considered the most "at-risk" for sexual harassment/assault, were involuntarily discharged due to "adjustment disorder". Existing PMIS data breakdowns do not allow for any potential correlation or analysis to determine relationships between "adjustment disorder" and COR issues.
- The COR IPT requested answers to the following questions regarding tracking sexual harassment as noted in Supporting Rationale on page 78. CG-00H could not initially provide the requested information due to computer software issues with the iComplaint tracking system. Further recommendation would be to replace this system. Answers were received as follows:
  1. What is the average amount of time to investigate and adjudicate discrimination cases? The average time to investigate and adjudicate a complaint varies from year to year depending on a several factors to include agency case load, whether the individual amended his/her claims and whether the individual elects an EEOC hearing or a final agency decision. As of the end of Fiscal Year 2014, the average was 386.67 days.
  2. How long are records of discrimination retained before they are expunged?
     If by expunged you are asking how long we keep complaint files, we are required to retain hard copy files for four years from the date the complaint closes but our offices retains them for six years. Electronic records of complaint files do not have a schedule for destruction.

3. How many cases of discrimination have we had in the last 5 years? (yearly please)
FY 2014 58 Filed
FY 2013 85 Filed
FY 2012 67 Filed
FY 2011 59 Filed
FY 2010 68 Filed

4. How many of those cases were dismissed?
FY 2014 10
FY 2013 7
FY 2012 16
FY 2011 11
FY 2010 13

5. How many cases of sexual harassment in the last 5 years (yearly please)?
FY 2014 2
FY 2013 2
FY 2012 7
FY 2011 2
FY 2010 7

6. How many of those sexual harassment cases were dismissed?
FY 2014 0
FY 2013 0
FY 2012 1
FY 2011 1
FY 2010 0

Recommendations

ENV 22 Finding Continued: Based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data.

"I guess I would first ask you, Admiral: Do you believe that this climate we have, this culture, that we're kind of just putting aside sexual harassment and not taking action on that contributes then to sexual assault? I would ask each of you, have you evaluated any ways to enhance the current command climate reports to make commanders more accountable for the environment that they're setting within your ranks?"-Fischer from 6/4/13 Transcript SASC Sexual Assault Hearing Panel 1

"We have no formal process, ma'am, but that's something we stress verbally as we go through Command and Operation School, when we send people out there; with all the senior field commanders that I select to take over our major commands, that they are to focus on command climate issues and make sure that any report of any sort of command climate violation is thoroughly investigated. Most often we send our senior enlisted member from the district or the area to do a climate survey. We have a couple units right now that we've heard reports on and we're doing climate surveys on them."-ADM Papp from 6/4/13 Transcript SASC Sexual Assault Hearing Panel 1

"Do you think it would be beneficial if you had a formal process in place?"-Fischer from 6/4/13 Transcript SASC Sexual Assault Hearing Panel 1

"Of all the numbers we're talking about, can you tell us from your service's point of view the numbers, the thousands, whatever allegations there are of being made out there, how many of them fall into the category of inappropriate conduct versus a crime? Can you tell me that? " Graham from 6/4/13 Transcript SASC Sexual Assault Hearing Panel 1

"No, sir." ADM Papp from 6/4/13 Transcript SASC Sexual Assault Hearing Panel 1

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Motivation/Incentives (M/I) Gap Findings

Motivation and incentives influences on performance are the intrinsic and/or extrinsic factors that may influence a performer to conduct or not conduct a task. Typically, motivation and incentive influences include feedback, recognition, independence, and monetary or non-monetary rewards.

Recommendations

POLICY; LEADERSHIP

M/I 1 Finding: Based on interviews, members perceive that there is a motivation during port calls to escape the environment by participating in risky behaviors, such as consuming alcohol excessively (see ENV 20).

Recommendation 1: Conduct further analysis on junior member risk management, to include liberty practices in foreign ports. Analyze the impacts of requiring three member (or more) teams to go on liberty in foreign ports.

Recommendation 2: Conduct liberty risk assessment on individuals who have exhibited risky behavior to determine if there should be restrictions on liberty.

Recommendation 3: Designate sober drivers to transport personnel consuming alcohol back to the ship or unit safely. Align local CG Enlisted Association, CPO Mess, and the Wardroom regarding expectations of responsible alcohol consumption.

"The attitude (cultural standards of expectation of going to get drunk and what happens underway stays underway) is that you get drunk, rent a room as a group and this is where many of our assaults are happening."

Supporting Rationale

- "The attitude is that when you pull in for a port call you get drunk and get a hotel room (sometimes as a group). This is where many of our assaults are happening."

- 57% of sexual assaults occurred off base in 2014. (October 2014 Good Order & Discipline)

- There is a "What happens underway, stays underway" mentality.

- In 2014, of unrestricted reports of sexual assault with known location information, 54% occurred off-base and 10% during port-calls.

- Most victims of military sexual assaults in 2012 were E2 through E6 and the majority of subjects are E3 to E6. (*NCIS CNRSE Adult Sexual Assault Trend Analysis 2012*)
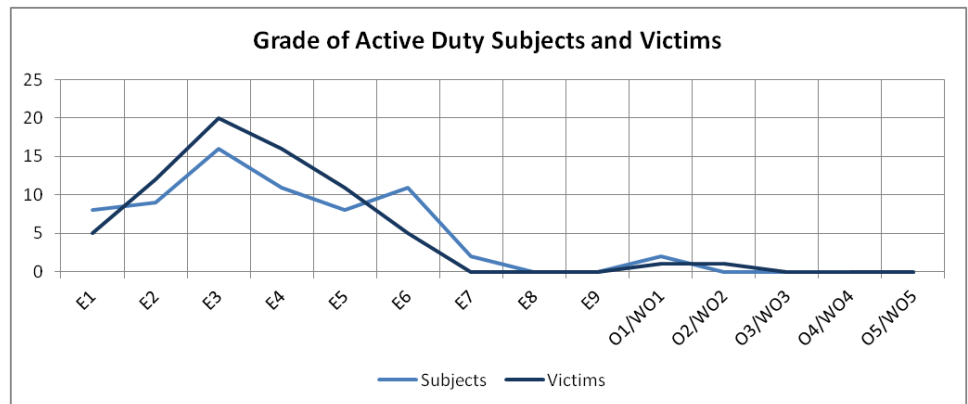
Figure 6 Grade of Active Duty Subjects & Victims

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Assignment/Selection (A/S) Gap Findings

Assignment and selection influences on performance are those elements that address personnel requirements and or standards for an existing or new position.

Recommendations

POLICY; LEADERSHIP; TRAINING; COMMUNICATIONS/ MESSAGING

A/S 1 Finding: Based on interviews, personnel perceive that the Coast Guard places some inexperienced personnel into leadership positions without vetting their competence to lead.

Recommendation 1: Make it policy that personnel cannot move into leadership positions without demonstrating specific leadership performance traits, possibly captured through a 360 degree evaluation and documented on a member's OER, EER, or EARS, or in the Commandant's Guidance to Boards and Panels. Incorporate detailed and specific leadership performance traits into evaluations for all personnel.

"In our culture, we assume that people with rank and responsibility are "good" leaders. The more rank and responsibility, the stronger the tendency to assume this."

"Leadership competencies are not actionable and are not tied to evaluation/ promotion/ advancement. The leadership development process is broken in that we do not develop leaders until members are already in leadership positions."

Supporting Rationale

- During interviews conducted by the COR IPT, personnel suggested the following leadership performance traits. This is not all inclusive and further study could indicate more or different performance traits.
    - Establish trust.
    - Walk around and get to know people in their command.
    - Support the chain of command (up and down) when they hold members accountable.
    - Make junior members feel empowered.
    - Members working for them do not fear retaliation and are comfortable correcting and reporting incorrect behaviors.
    - Never blames victim and takes all reports seriously.
    - Sets and communicates clear expectations.
    - Sets the positive example.
    - Corrects the small things so they do not turn into large issues-does not accept unprofessional behavior.
    - Holds people accountable through disciplinary action when warranted
    - Is more concerned with others than own advancement or evaluation.
    - Treats others fairly and does not discriminate or retaliate
    - Treats others with respect.
    - Is transparent in communications and actions.
    - Provides constructive criticism.
    - Does not condone harassment of any kind.
    - Demonstrates humility.

"Poor leadership is a contributing factor to lack of respect. There is a lack of trust and misuse of authority. There are no clear leadership competencies in order to be promoted. CG is accessing primarily on technical competencies."

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Recommendations

A/S 1 Finding Continued: Based on interviews, personnel perceive that the Coast Guard places some inexperienced personnel into leadership positions without vetting their competence to lead.

Supporting Rationale

This table provides a benchmark of affirmative answers to culture of respect type questions asked in the CG OAS.

OAS Question (N/A means question was not asked that year)	2006	2008	2010	2012	2014
Risk-taking is NOT encouraged without fear of punishment for mistakes.	37%	37%	37%	36%	35%
Disciplinary actions are NOT applied fairly to members/employees.	23%	22%	20%	20%	21%
Disputes or conflicts (for example, between co-workers, management and members/employees) are NOT resolved fairly.	17%	16%	13%	14%	14%
My manager does NOT provide an environment that supports member/employee involvement, contributions, and teamwork.	13%	13%	10%	10%	10%
Members/employees who take advantage of family/personal life policies and benefits hurt their career opportunities.	14%	14%	12%	13%	12%
There is NOT adequate advance notice of changes that affect employment (for example, downsizing, transfers, reorganizations).	20%	19%	18%	19%	22%
Advancement opportunities are NOT available for qualified individuals, regardless of gender, race, national origin, religion, age, disability (if civilian), or cultural background.	7%	7%	7%	6%	7%
Managers/supervisors/team leaders do NOT work well with members/employees of different backgrounds.	6%	6%	4%	6%	4%
Sufficient effort is NOT made to get the opinions and thinking of people who work here.	20%	20%	16%	17%	17%
I do NOT have trust and confidence in my supervisor.	#N/A	14%	12%	12%	10%
My supervisor does NOT care about me as a person.	#N/A	#N/A	#N/A	10%	8%
In my work unit, steps are NOT taken to deal with a poor performer who cannot or will not improve.	#N/A	23%	21%	22%	21%
Those senior to me do NOT show an interest in what happens to me.	18%	16%	14%	14%	12%
My supervisor does NOT support my need to balance work and other life issues.	15%	11%	11%	8%	7%

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Recommendations

A/S 1 Finding Continued: Based on interviews, personnel perceive that the Coast Guard places some inexperienced personnel into leadership positions without vetting their competence to lead.

Recommendation 2: If ENV 17.1 reveals a toxic leadership problem or culture within the CG, consider providing supervisors with the tools to quickly detect and respond to toxic leaders.

Recommendation 3: Evaluate best practices for the use of incorporating 360 feedback reviews to vet leadership positions (command, special assignments) (see supporting rationale on the next page for a description of the Air Force model).

Recommendation 4: Require commanding officers to review a CPO candidate's record to ensure they meet leadership competencies and experience.

Recommendation 5: Consider reinstituting "not recommended but progressing" block on enlisted evaluations.

Supporting Rationale

- According to an article on Military Toxic Leadership written by LTG Ulmer, Jr, (US Army, retired): "Most actions to relieve a toxic leader were set in motion only after a public spectacle forced an investigation that uncovered toxic leadership as a root cause." (*Ulmer, 2012*)
- "Chiefs may have been advanced into leadership positions without any supervisory experience. They don't necessarily know how people are different or how to treat them."
- "Leadership is about communication, caring and holding people accountable. Many hope issues will go away and are too busy to deal with the issues. A lot of leaders don't want to be put in uncomfortable positions."
- "We value cooperation, loyalty, and respect for authority. We honor a 'can do' attitude. Subordinates are reluctant to identify their boss as toxic. They want to survive and not be written off as troublemakers".

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A/S 1 Finding Continued: Based on interviews, personnel perceive that the Coast Guard places some inexperienced personnel into leadership positions without vetting their competence to lead.

Supporting Rationale

- Data from the Secretary of Defense Effort on Military Professionalism:
  - The Air Force actually requires certified, civilian contractor coaches to facilitate results of its 360 tool "The Leadership Mirror." This limits availability, but AF decided it could not trust the average unit commander/supervisor to facilitate feedback for subordinates. Units that want to use The Leadership Mirror tool must pay the cost of the coaches to facilitate the results.
  - Navy requires all Prospective Commanding Officer course students to complete a 360...using a commercial contractor "PDI". Navy is trying to include character and ethics in its 360 tool.
  - The Coast Guard is the only service using a 360 tool that doesn't measure service-specific criteria developed in house.
- Qualitative data from COR IPT interviews:
  - "While on the bridge an O6 cutter CO struck a non-rate. Eye-witnesses chose not to report it out of fear."
  - "Culture is the culprit. We don't promote based on capability to lead but ability to pass tests, and time in grade."
  - "Poor leadership is a contributing factor to lack of respect. There is a lack of trust and misuse of authority. There are no clear leadership competencies in order to be promoted. Coast Guard is promoting and advancing primarily on technical competencies."
  - "I feel like there is an emphasis on O5's and above getting promoted to those levels through accomplishing missions rather than effective leadership."
  - "DEOMI-works in large units, not very well in small units-have seen where the Command does morale days prior to the survey just to get morale up for the survey."
  - "Promoted out of touch with crew." (The higher up you go, the less you are aware of the issues).
  - "All leadership personnel need to do what they say they are going to do. People are taught from early age not to be a tattletale. A lot of times when someone has a relationship with the offender, they don't want to jeopardize that relationship so they don't do or say anything."
  - "Fact that people feel they can't report. Fear of retaliation, fear nothing will come of it. People want to know they don't have to worry that the command will take it seriously."

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Recommendations

POLICY; TRAINING

A/S 2 Finding: Based on interviews and discussion with program office repre-sentatives, COR training (Civil Rights Awareness/Sexual Harassment Preven-tion & Sexual Assault Prevention Workshop) is taught by personnel who have not attended Coast Guard FORCECOM instruction training.

Recommendation 1: Explore requiring subject matter expert personnel who provide formal COR instruction to attend the Coast Guard's Instructor Development Course and the Coast Guard's Team Leader Facilitator course (5 days each).

Supporting Rationale

- COR IPT analysts asked CG-00H for level 1 survey feedback data measuring par-ticipants' satisfaction after attending this year's civil rights training for this analysis. CG-00H provided a copy of their roll-up report form and the following information: "The exact questions asked on the survey is "Expertise of Trainer: Poor/Good/ Excellent". Because there is no uniform CRA presentation CRD reasonably infers that positive remarks for any particular trainer is positive remarks for the unique CRA training experienced at the time surveyed. The attached document is a "roll-up" report. Civil Rights Service Providers (CRSPs) get this information by tallying the feedback they receive in class. This same document is filled out by CRA par-ticipants and that data is aggregated, or "rolled-up", by Civil Zone and Region. On a monthly basis the Zone office forward their data to Region offices. On a quar-terly basis CG-00H tracks feedback only for questions that directly feed POA2016 metric - Question 5 (expertise of trainer), Question 10 (awareness of CRD mission as a result of CRA training, and Question 11 (do you know how to access the CR Manual). From the POA2016 perspective, Question 5 tracks the quality of the training and Question 10 tracks the learning objective (there is only one objective, that is "awareness"). Question 11 is amplifying information that speaks to the training objective. This is all based on audience perception as reflected in the training evaluations collected at CRA training sessions. There is no test at pre-sent. But CG-00H is moving to implement anonymous live polling at CRA training. This will enable CRSPs to present Questions 5,10, and 11 in a more evaluative context, e.g. as a test during/throughout a given CRA training session." (email from CG-00H-12)

- Level 1 data collection and tracking is counter to FORCECOM training standard operating procedures. (SOP Volume 3, Evaluations)

- Civil rights training needs further analysis based on feedback from local partici-pants in this year's training, extant data review, and discussions with CG-00H. CG-00H reached out to FC to submit a request for assistance, which will examine CRA/SHP training and associated evaluations.

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Recommendations

POLICY; COMMUNICATIONS/ MESSAGING

A/S 3 Finding: Based on interviews, personnel perceive that through diversity efforts the Coast Guard turns away and delays candidates for enlistment and officer accessions if they do not meet diversity goals.

Recommendation 1: Ensure the Coast Guard does not discriminate through diversity efforts and conduct an analysis on the recruiting process to ensure that the Coast Guard selects the best candidates for the Coast Guard, no matter ethnicity, race, or sexual preference.

Supporting Rationale

- EEOC Policy: *Preferential treatment not to be granted on account of existing number or percentage imbalance Nothing contained in this subchapter shall be interpreted to require any employer, employment agency, labor organization, or joint labor--management committee subject to this subchapter to grant preferential treatment to any individual or to any group because of the race, color, religion, sex, or national origin of such individual or group on account of an imbalance which may exist with respect to the total number or percentage of persons of any race, color, religion, sex, or national origin employed by any employer, referred or classified for employment by any employment agency or labor organization, admitted to membership or classified by any labor organization, or admitted to, or employed in, any apprenticeship or other training program, in comparison with the total number or percentage of persons of such race, color, religion, sex, or national origin in any community, State, section, or other area, or in the available work force in any community, State, section, or other area.*

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Recommendations

POLICY; DATA / INFORMATION

A/S 4 Finding: Based on interviews, the Coast Guard has hired individuals with a history of COR issues or violations (sexual assault, harassment, hazing, bullying, intimidation, retaliation, and discrimination).

Recommendation 1: Increase ability for hiring officials to have access to COR violations (sexual assault, harassment, hazing, bullying, intimidation, retaliation, and discrimination) by past members. (See ENV 4). Ensure the new computer system recommended in ENV 4.1 links administrative actions to civilian and military hiring actions. This will allow the Coast Guard to search for repeated behaviors.

Recommendation 2: Conduct more thorough background checks and screenings prior to bringing an individual into the service. Asking the hard questions will assist in identifying if they have a history of COR issues.

Recommendation 3: Engage civilian personnel and OPM/NAGE to assess the feasibility of an agreement that will allow negative COR documentation to remain in civilian employees official records for the duration of their employment with the Coast Guard. (See ENV 4.2)

"Managers are not trained on what to do with a derogatory report. They need to ask the question "How will they affect the integrity of the service". If the individual will affect the integrity of the service, they can be denied employment without concern of it being grounds for discrimination."

"Military members with serious baggage/found guilty of offenses are allowed to retire and come back as civilian hire."

Supporting Rationale

- The Coast Guard does not do a thorough enough screening/background investigation before hiring civilian employees. Military members found guilty of COR issues or violations in the Coast Guard and allowed to retire in lieu of courts martial come back to the Coast Guard as civilians.

- "Records are expunged after a short period of time. Currently there is no vehicle from OPM to determine if member is eligible for rehire if they are coming in from DoD." (note: DoD is working on a system that may include the CG, however it is focused primarily on SAPR)

- The Coast Guard currently conducts a limited employment background check to include: prior employment check and finger print scan of State to State Law enforcement for example if they are applying for child care position-it only goes back five years. Many records of "punishments" are expunged after a certain period. These need to be retained for tracking of repeat offenders. The limited background checks put the Coast Guard at risk.

- The U.S. Marine Corps conducts initial criminal background checks through the FBI database, a national agency check, and a local police check through state agency. Following the background check, the Marine candidates must complete an enlistment screening, complete forms, and participate in an interview.

- "There is no declaration of zero tolerance in policy for hiring military members with history of poor behavior other than if the position requires security clearance. There are examples where people have removed the security clearance requirement in the job description to get someone in because they are "hard workers" and had baggage, then restored the clearance after that person was hired."

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Recommendations

A/S 4 Finding Continued: Based on interviews, the Coast Guard has hired individuals with a history of COR issues or violations (sexual assault, harassment, hazing, bullying, intimidation, retaliation, and discrimination).

Supporting Rationale

- "Personnel/Supervisors may be afraid of being accused of discrimination so take the path of least resistance rather than debarring candidate. If the person committed an offense, Coast Guard has a right to not consider them for hire and it is NOT considered discrimination."

- No way to know if someone has violent behavior at home or has been given an option of retiring rather than punishment, etc. Need to be able to find offender's history.

- "If the individual was convicted at court martial or separated under other than honorable terms, then they would have to disclose that information when they apply for federal service. Divulging this information would trigger a further review during the hiring process under 5CFR731 (http://www.law.cornell.edu/cfr/text/5/part-731), but this does NOT guarantee the applicant will be passed over for selection as hiring managers exercise significant authority in the process."

- "Military members with serious baggage/found guilty of offenses are allowed to retire and come back as civilian hire. We write up a formal memo to the hiring office. Find that even when problems occur in the office when the person was military, the hiring office will fight to have them come back into the same office as a civilian because they are "good" workers. Have tried to disqualify the member and to no avail. There is no declaration of zero tolerance in policy other than if the position requires security clearance. They will not grant clearance if there are problems with the member. Have seen where the hiring command will remove the clearance requirement to hire the person then a year later, add the clearance requirement back in. Games being played. It goes back to the Command and there is no strong policy to prevent the command from bringing them back in. We see where the CSO will call and say send the page 7's and the relieving command do not document therefore it is not in the system. The record disappears."

Recommendations

POLICY; TRAINING; DATA / INFORMATION

A/S 5 Finding: Based on findings from the SAPR MCO VRRCC, independent duty health services (IDHS) personnel are not trained to handle sensitive information related to victims while at sea. The Victim Advocate (VA) program requires two years remaining at a unit to attend specialized training, which excludes many IDHS personnel due to their short tour rotations.

Recommendation 1: Remove the two year at unit requirement for IDHS personnel to attend Victim Advocate training.

Recommendation 2: Incorporate special requirements while at sea; i.e. having to request a secure line to contact shore side resources, into the VA training.

Supporting Rationale

- This was a recommendation from the Victim Response and Recovery Care Committee (VRRCC).

- The independent duty HS may be the first person the victim sees; these personnel need to be trained as to reporting disclosures since some do not know the distinction between restricted and unrestricted reports.

Recommendations
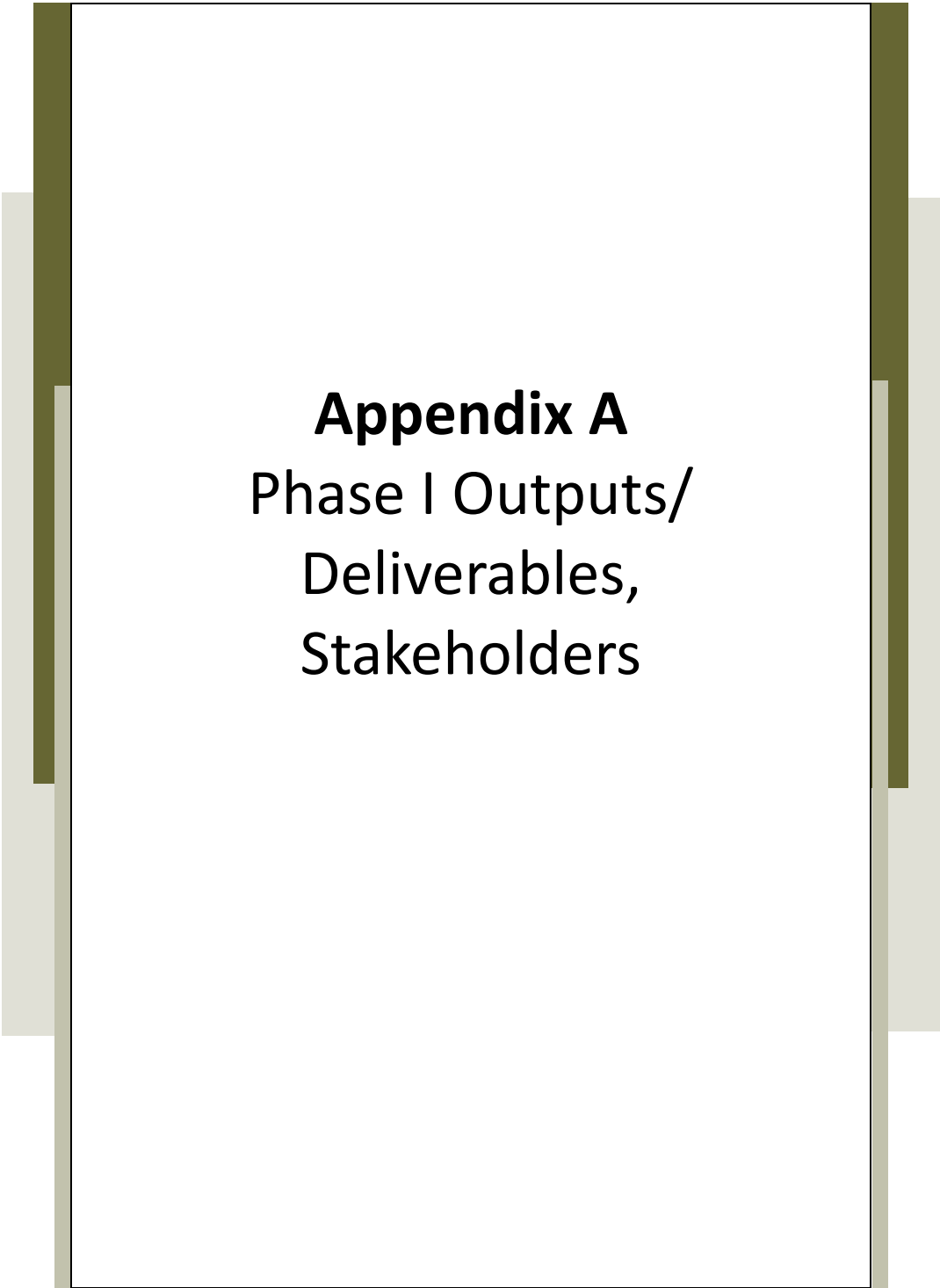
**POLICY;
DATA /
INFORMATION;
LEADERSHIP;
TRAINING;
COMMUNICATIONS/
MESSAGING**

A/S 6 Finding: Based on interviews, personnel perceive the Coast Guard advances enlisted personnel without allowing them time to develop as leaders; they may demonstrate technical proficiency in their rate, but they do not have experience, supervisory, or leadership skills.

Recommendation 1: Research how best to provide essential leadership training and tools to give leadership opportunities to members as they advance.

Supporting Rationale

- "The workforce shaping tools recently implemented (CRSP/HYT) are creating inexperience within the work force at the E6-E8 levels and this inexperience can be tied other leadership issues such as SA/SH, safety issues, mishaps, racism, etc."

- "Systemically, the Coast Guard needs to revise or replace its leadership competencies to capitalize on its culture. We need to develop Coast Guard leaders, not generic leaders."

Appendix A
Phase I Outputs/ Deliverables, Stakeholders

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Phase I Outputs/Deliverables

The deliverables for Phase I were:

- Determine current state, optimal state and gaps using strategic needs assessment IAE TRASYS SOP Volume 2 (Analysis).

- Summary of all IPT stakeholder ideas and suggestions for affecting change (i.e., brainstorming). Captured prior to researching and benchmarking. (incorporated throughout the report recommendations)

- Summary of evidence-based models and methods for changing culture and improving respect. IPT must select and obtain Guidance Team approval of preferred model and methods to be used. (See Appendix I)

- Summary of benchmarking with DoD and private sector for best practices to influence and sustain the organizational culture. (See Appendix C)

- Analysis of accession points where culture of respect and response training should reside. (Phase 3 will include an outline of specific performance and knowledge requirements for each unique accession point.)

- Analysis of leadership development touch points where culture of respect and response training should reside. (Phase 3 will include an outline of specific performance and knowledge requirements for each unique touch point.)

- List of Command cadre and leadership positions where culture of respect and response training should reside. (Phase 3 will include: an outline of specific performance and knowledge requirements for each unique position.)

- Provide written summary of findings and recommendations to address gaps.

Stakeholders & Roles

GUIDANCE TEAM		
Unit/Office	Name	Role
FORCECOM Training Division (FC-T)	(b)	(Chair)
Deputy Director Health, Safety, Work-life (CG-11d)	(b)	Member
Office of Civil Rights Staff (CG-OOH)	(b)	Member
Office of Diversity and Inclusion (CG-12B)	(b)	Member
Judge Advocate General (JAG) & Chief Counsel (CG-094)	(b)	Member
Coast Guard Investigative Service (CG-2-CGIS)		Member
DCMS Command Master Chief	(b)	Member

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Stakeholders & Roles Continued

IPT MEMBERS		
Unit/Office	**Name**	**Role**
Performance Technology Center (FC-Tptc)	(b)	IPT Lead
	(b)	Lead Performance Analyst
	(b)	Lead Performance Analyst
Leadership Development Center (LDC)	(b)	Accessions, Leadership development, Command preparation
Office of Work-Life (CG-111)	(b) (b)	Work-Life
Office of Civil Rights Staff (CG-OOH)	(b) (b)	Civil Rights
Office of Diversity and Inclusion (CG-12B)	(b)	Diversity
Office of Leadership (CG-12C)	(b) (b) (b) (b)	Leadership
Judge Advocate General (JAG) & Chief Counsel (CG-094)	(b) (b) (b)	Legal
Coast Guard Investigative Service (CG-2-CGIS)	(b)	Investigations
DCMS (b) (6)	(b)	Enlisted Management
Sexual Assault Response Coordinator (SARC)/ Victim Advocate (VA)	(b)	Sexual Assault Response Coordinator
TRACEN Yorktown	(b)	"A" Schools, Command preparation & VA
TRACEN Petaluma	(b)	"A" Schools, Instructor development
TRACEN Cape May	(b) (b)	Accessions, Recruiter, Company Commander
Maritime Law Enforcement Academy (MLEA)	(b)	"A" Schools
Aviation Training Center (ATC)	(b)	Command preparation
Aviation Technical Training Center (ATTC)	(b) (b) (b)	"A" Schools
Health, Safety, & Work Life Service Center (HSWL SC)	(b) (b)	Health, Safety, & Work-Life
USCG Academy (USCGA)	(b) (b)	Accessions
Sexual Assault Prevention & Response Military Campaign Office (SAPR MCO)	(b) (b)	

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Appendix B
Extant Data & Surveys Reviewed

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Extant Data Reviewed

Extant Data
• D7 SAPR Focus Group Report • D8 SAPR Focus Group Report • DoD SAPR Progress Report • DoD SAPRO Annual Report on Sexual Assault Volumes 1 & 2) 2012 • CG Junior Council Report: SAPR Focus Group Results • CG SAPR Strategic Plan (2013-2017) • LANT SAPR Strategic Plan 2013 • (b) (6)　　　　SAPR Stand down Feedback Report • CG MCO SAPR Summit After Action Report, video recordings of sessions and pre and post-assessment analysis data • Bystander Training • 2012 Workplace and Gender Relations Survey • 2014 Report of the Response Systems to Adult Sexual Assault Crimes Panel, June 2014 • TCCM SAPR White Paper, 26 July 2013 • TCP SAPR White Paper, 13 July 2013 • Sexual Assault Under UCMJ, Selected Legislative Proposals, 6 Sep 2013 • Victim's Services Subcommittee presentations, 06 May 2014 • Warship Readiness , The Primacy of Culture email, 17 Oct 2013 • The Leadership of Profound Change, Dr. Peter Senge, 2000 • Leadership and Management Continuum Core Values Training, (b) (6) (b) (6)　　　　, Aug 2013 • Various internet articles related to assault, response, prevention **Curriculum outline reviews of the following courses:** • Company Commander Course • CPOA and Reserve • SAPR Bystander training • SAPR mandated e-learning training • SAPR Workshop (SAPW) • Apprentice Leadership School

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Extant Data Reviewed Continued

Extant Data Continued

Curriculum Outline Reviews of the following courses continued:

- Leadership & Management School (LAMS)
- CPO Academy
- CWO Professional Development Course
- Mid Grade Officer Course
- Senior Leadership Principles & Skills
- Recruiter/Recruiter-in-charge Course
- Sector Commander Course
- Boat Forces Command Cadre Course
- Prospective CO/OIC Course
- Command Assignment Preparatory Course
- Mandatory Training "A"
- Mandatory Training "B"
- Senior Enlisted Leadership Course

- Civil Rights Training PowerPoint presentation (no formal curriculum)

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Extant Data Reviewed Continued

Extant Data Continued

- Change management models (See Appendix I)
- A Causal Model of Organizational Performance and Change, Burke/Litwin, 1992.
- Prosci training
- Positive Reinforcement, The fastest way to change any work behavior. Daniels, Mar 2014
- Righting the Enterprise...A Primer for Organizing or Reorganizing the Right Way. Langdon, Danny G and Kathleen S Langdon, 2014.
- CPOA Desired Characteristics of Leaders (Leadership Challenge)
- US Army Learning Concept for 2015, Jan 2011
- Commander's Quick Legal Reference Guide, 2013 Edition, CG JAG
- It's Your Ship, CAPT D. Michael Abrashoff, Oct 2012
- US Navy Pastoral Care in Cases of Military Sexual Assault, FY14 (Professional Development Training Course)
- National Business Ethics Survey of the US Workforce, NBES 2013
- A Conceptual Framework for the Prevention of Sexual Violence Through Bystander Intervention, McMahon, Sarah and Victoria Banyard, 3 Jan 2012
- MyDuty.mil (DOD Website) Active Bystander, Service member guidance, reporting options, Rights and Safety
- In Search of Honor…Are You Looking for Greatness in your Employees? Lynn, Adele, 1998.
- Bullying at Work: Beyond Policies to a Culture of Respect. Chartered Institute of Personnel and Development (CIPD), 2005.
- Incivility, Harassment and Bullying: The Business Case. Sharone Bar-David, 2012.
- Bystander Responses to a Violent Incident in an Immersive Virtual Environment. Mel Slater, Aitor Rovira, Richard Southern, David Swapp, Jian J. Zhang, Claire Campbell, Mark Levine. Jan 2013.
- Bystanders are the Key to Stopping Bullying. Ms. Sharon Padgett, Dr. Charles E. Notar. 2013.
- Michelle Corrao, A Story of Triumph over Tragedy
- Diversity: Closing the Gap. Johnson, Franky and Lynn, Adele.
- Building Cultures of Respect and Non-Violence. Dr. Dyson, Sue and Dr. Flood, Michael.
- Cultural Change that Sticks, Katzenbach, Jon R, Steffen Ilona, and Kronley, Caroline. Harvard Business Review. July-Aug 2012.

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Extant Data Reviewed Continued

Extant Data Continued

- In Search of Honor: Gee Thanks! Lynn, Adele. 1998.
- Prediction and Control of Behavior. Lattal, Andy. 2013.
- CQ Transcript SASC Personnel Subcommittee Hearing on Sexual Assault in Military Panel 1 & 3. 2013
- Sexual Assault Prevention: Reframing the Coast Guard Perspective to Address the Lowest Level of the Sexual Violence Continuum-Sexual Harassment, LCDR Blackmore, Bryan, Judge Advocate, USCG, 2013
- The Remedy for Career Fear, Admiral Retired Loy, James. August, 1999.
- Continuum of Sexual Aggression, National Center on Domestic and Sexual Violence.
- Are Nonparticipants in Prosocial Behavior Merely Innocent Bystanders? Anker, Ashley and Feeley, Thomas. 2011
- Lawmakers, Educators Target Sexual Assault on Campus. National Public Radio transcript, 2014.
- Physical and Psychological Health Following Military Sexual Assault: Recommendations for Care, Research, and Policy. Farris, Coreen, Schell, Terry and Tanielian, Terri. RAND National Defense Research Institute, 2013.
- Battle Buddy Program proposal for TRACEN Cape May
- OCS Coast Guard Values lesson
- TRACEN Cape May Recruit Training Pocket Guide, 2013
- D5 SAPR Council Message from RADM Ratti, Sept., 2013
- 2014-Civility Task Force Message to Campus-University of Connecticut
- Toward a Culture of Inclusion: Striving for Acceptance. University of Connecticut. 2013
- TRADOC Teams with Universities, Colleges to Conduct SHARP Discussions Haviland, Amy. April, 2014.
- Two Worlds, One Problem, March, 2014
- UConn Bolsters Efforts Against Sex Assaults and Other Campus Crimes. DeSantis, Nick. Feb, 2014.
- Just Culture White Paper, 2014
- Coast Guard Recruiting Office Process Evaluation, Boise State University. Cervantes M., Gallagher K., Kuck, J., 2011

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Extant Data Reviewed Continued

Survey/Internal CG Data

- DEOMI DEOCS 2008-2014
- LANT area study
- OAS 2012-2014
- Federal Employee Viewpoint Survey 2013-2014
- DMDC 2006, 2010, 2012 Workplace and Gender Relations Surveys
- MCPOCG Culture Assessment
- Gold & Silver Badge Study
- D7 & D8 SAPR Focus Group Report
- Junior Council Report
- Sexual Assault Waterfall Analysis
- USCG Recruiting Process
- Officer retention
- Enlisted Retention
- Response System to Adult Sexual Assault Crimes Panel
- SAAM participation feedback
- Good Order & Discipline-2011-2014
- EEOC/DHS Discrimination files 2012
- Sexual Harassment Waterfall White Paper-SAPR MCO
- Perceived Adjudicated Punishment Disparity Junior vs. Senior White Paper-SAPR MCO
- Duty to Report White Paper-SAPR MCO
- FC-ACFA Trend Report_CY13
- COMDINST M1710.13C, Enclosure (9) Coast Guard Morale, Well-being and Recreational Manual (Food and Beverage Operations)

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Appendix C
Extant Data
COR IPT Sub-Groups

DoD, Accessions, Internal Extant Data, External Extant Data, Current Efforts, Policy, Private Sector, Colleges/Universities

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- When can I help? A conceptual framework for the prevention of sexual violence through bystander intervention. *Trauma, Violence, & Abuse, 13*(3), 3-14. McMahon, S. and Banyard, V. 2012
- Green Dot-Bystander education: http://public.studentsuccess.org/web/ http://www.every-choice.com/
- Red Flag bystander and sexual assault and healthy relations: http://www.theredflagcampaign.org/
- Vicarious dishonesty: When psychological closeness creates distance from one's moral compass. Organizational Behavior and Human Decision Processes, 119, (1), 15–26. Gino, F. & Galinsky, A., 2012. http://dash.harvard.edu/handle/1/10996788
- The Dishonesty of Honest People: A Theory of Self-concept Maintenance. Journal of marketing research, 45(6), 633-644. Mazar, N., Amir, O., & Ariely, D. , 2008. http://people.duke.edu/~dandan/Papers/PI/Dishonest_JMR.pdf
- Justified Ethicality: Observing Desired Counterfactuals Modifies Ethical Perceptions and Behavior Organizational Behavior and Human Decision Processes, 115(2), 181-190. Shalvi, S., Dana, J., Handgraaf, M., & De Dreu, C., 2011. https://docs.google.com/file/d/0B6JNkHYG1lhEVUFXQ25BeE9pbDA/edit?usp=sharing
- Trust Index© Employee Survey *What are your employees' perceptions of your workplace?* http://www.greatplacetowork.com/our-services/assess-your-organization
- Physical and psychological health following military sexual trauma. RAND Corp. Farris, C., Schell, T., & Tanelian, T., 2013.

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External Extant Data Sub-group Continued

- Perspective: a culture of respect, part 2: creating a culture of respect. Leape LL, Shore MF, Dienstag JL, Mayer RJ, Edgman-Levitan S, Meyer GS, Healy GB. Acad Med. 2012 Jul;87
- Civility, Respect, and Engagement (CREW) in the Workplace at the Veterans Health Administration. Osatuke K., Moore, S. C., & Dyrenforth , S. R.
- Civility, Respect, Engagement in the Workforce (CREW): Nationwide Organization Development Intervention at Veterans Health Administration. *Journal Of Applied Behavioral Science*, *45*(3), Osatuke, K., Moore, S. C., Ward, C., Dyrenforth, S. R., & Belton, L. , 2009.
- Workplace Civility: Longitudinal Relationships, Employee Perspectives, and Intervention Practices. Symposium presented at the Annual national convention by the American Psychological Association in Honolulu, HI, Osatuke, K., 2013.
- Ethics Resource Center: http://www.ethics.org/nbes/
- Fears in wake of Coast Guard sex assaults http://www.sfgate.com/crime/article/Fears-in-wake-of-Coast-Guard-sex-assaults-5540224.php
- Sexual Assault Prevention: Reframing the CG Perspective to Address the lowest Level of the Sexual Violence Continuum. (n.d.), LCDR B. Blackmore Source: COR-IPT portal, 2013
- Blue Angels commander reassigned during sexual harassment inquiry. Star B. & Almasy, S. 2014, Apr 24. CNN U.S. Turner Broadcasting. Retrieved from: http://www.cnn.com/2014/04/24/us/navy-blue-angels-commander/index.html?hpt=hp_t2
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- Overcoming bystander apathy and non-intervention in alcohol-poisoning emergency situations: Advancing field testing of training-for- intervention theory via thought experiments. *International Journal of Business and Economics, 11*(2), 93-103 Megehee, C., Strick, S., & Woodside, A. 2012. http://www.ijbe.org/table%20of%20content/pdf/vol11-2/vol11-2-01.pdf
- Bystander Intervention: Men Can Stop Rape Website, 2011. http://www.mencanstoprape.org/Theories-that-Shape-Our-Work/bystander-intervention.html

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A thorough analysis was conducted of all the identified sources that have been provided that looks at the current CG training for COR issues (sexual assault, discrimination, harassment, hazing, bullying, intimidation, and retaliation). It identifies the time spent on the issue, content, policy alignment, and missing items.

The LDC assessment of and progress on the incorporation of SAPR training into its courses is included on the next page. Most of the data provided specifically addresses how to fill that gap. Below you will find an overall assessment of the current training.

Gaps in the Analysis
This analysis mostly consisted of objectives provided via curriculum. I had little access to actual presentations of that material. Hence, this analysis is based upon the curriculum itself. The manner in which those objectives are achieved may or may not align with policy.

Current Training for COR Issues
When the COR issue is specifically called out by the training, it is in keeping with policy. Sexual assault, harassment, and discrimination training were the most commonly found. Hazing was often included as a subset of the discussion of military justice. Bullying, intimidation, and retaliation discussions were not found in the curriculum reviews. I also found no real discussion of culture writ large. Much command discussion focused upon command climate and service traditions, but the concept of "creating culture" or "addressing culture" was not found in current curriculum.

Time Spent
Specific time on COR issues was difficult to identify as most of the COR issues were only a subset of some other topic.

Content
Leadership courses interpret core values issues in the category of "leading self", which may lose the opportunity to create a "culture" in "leading others" or "leading performance and change".

Courses represent a "tiered" approach to presenting COR issues, but there is inconsistency in the tiering system. For example, command preparation courses vary their approach to the topics considerably.

Many of the courses come across as "stop-gaps" to ensure certain topics have been taught. It was hard to find consistency in the teaching framework (except for perhaps the "big 4" in leadership: leading self, leading others, leading performance and change, and leading the CG); yet, even when those were used, how they were used by the course developers often lacks consistency. Perhaps this has resulted because course owners vary across the Service.

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Internal Extant Data Sub-group Continued

The most thorough content across the myriad Culture of Respect topics was found in the Company Commander Course.

Policy Alignment
I found no evidence of content out of keeping with policy.

Missing Items

Without consistent expectations on student interaction with COR issues, it is left to the instructors to correctly interpret and present policy. This leaves significant risk as the skills that are taught may or may not be correctly applied for COR issues. It is one thing to teach people the skills they need to make decisions. It is another to tell them what kinds of decisions they should be making.

Bullying, intimidation, and retaliation discussions were not found in the curriculum reviews.

Internal Extant Data Sub-group

Internal Extant Data Sub-group Continued

Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Apprentice Leadership School	ALP Instructor Guide 2009, ALP Curriculum Outline, ALP Student Guide 2009	Sexual Harassment & Sexual Assault	1.5 hours	Communicate Coast Guard policy on interpersonal relationships, sexual assault, and sexual harassment, including required reporting. Based on the situation, Select practices to reduce the risk of sexual assault for self and others. State resources available to Coast Guard personnel including victim assistance programs.	Core Values (Respect - Traditions, Diversity, Courtesy & Consideration, Speak up in Gaps; Continuum of Disrespect) Interpersonal Relationships (Acceptable, Unacceptable) Sexual Harassment (Definition Discussion) Sexual Assault (Megan's Story, risk reduction strategies)	(b) (6) Story isn't the preferred program video. Focus is on risk reduction.	hazing, bullying, intimidation, retaliation Fuller discussion of discrimination Assault doesn't appear to be defined. All the categories of the strategic plan should be discussed (climate, prevention, response, and accountability)
Leadership & Management School	LAMS Curriculum Outline 340720	Personal Conduct; Respect for Others and Diversity Management; Conflict Management	2.5 hours for each objective	As a supervisor, assess how personal leadership behavior influences workplace performance IAW references. As a supervisor, apply motivational models to influence workplace performance As a supervisor, reconcile ethical dilemmas in alignment with the three resolution principles IAW references.	Position vs. personal power, Theory X vs. Theory Y Develop tactics for creating and/or maintaining a positive work climate Ethics, morals, values; ethical dilemmas; Coast Guard Ethos, Core Values; rationalizations & moral temptations		Course is focused on leadership, so COR issues are used for exercises and illustrative purposes. Without consistent expectations on student interaction with COR issues, it is left to the instructors to correctly interpret and present policy. This leaves significant risk as the leadership theories presented may or may not be correctly applied for COR issues.

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Internal Extant Data Sub-group Continued

Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Chief Petty Officer Academy	Chief Petty Officer Academy (CPO ACAD) (230442) Course Curriculum Outline; Chief Petty Officer Academy Reserve Course (CPOACAD-R) (500884)	Followership; Respect for Others and Diversity Management; Decision Making & Problem solving	4 hours (2.5 Reserve)

5.5 hours (3.5 Reserve)

3.5 hours (2.5 Reserve) | As a Chief Petty Officer, foster followership and respect by demonstrating CG traditions and protocol, IAW references below.

As a Chief Petty Officer, actively promote an environment of inclusion and respect for diversity, IAW references below.

As a Chief Petty Officer, reconcile ethical dilemmas in alignment with Coast Guard organizational values. | Follow military customs and courtesies when interacting with others professionally

Primary & secondary diversity characteristics. Correlate respect for diversity with worker motivation. Generational "clash-points" and influences. Diversity briefing.

Ethical dilemmas. Personal values on ethical decision making. Ethical Triangle. Apply Coast Guard Core Values, other military codes of conduct, and Ethical Decision Making Model to ethical dilemmas. | | Course is focused on leadership, so COR issues are used for exercises and illustrative purposes.

Without consistent expectations on student interaction with COR issues, it is left to the instructors to correctly interpret and present policy.

This leaves significant risk as the leadership theories presented may or may not be correctly applied for COR issues. |

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Internal Extant Data Sub-group

	Internal Extant Data Sub-group Continued						
Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Senior Enlisted Leadership Course	Senior Enlisted Leadership Course (SELC) Curriculum Outline (501799)	Aligning Values: Core Values	1.5 hours	As a Senior Enlisted Leader, model USCG core values IAW references.	Analyze the relationship between Coast Guard Core Values, and the professional, moral, and ethical foundations of the Senior Enlisted Leader. Identify difference between organizational values and personal values. Maintain clear division between organizational values and personal values. Situational leadership dilemmas.		Course is focused on skills expected for a CWO, so COR issues are used for exercises and illustrative purposes. This leaves significant risk as the skills that are taught may or may not be correctly applied for COR issues. It is one thing to teach people the skills they need to make decisions. It is another to tell them what kinds of decisions they should be making.
Mid-Grade Officer Course	Email	The analyses the MOCTC curriculum did not identify any of the COR issues as specific deficiencies of O4s	4 hours	We have time blocks during the New London resident session that are dedicated for "current topics/issues" and we have used that time for diversity and SAPR discussion The actual content of those hours has varied. The first year, we had open class discussions on the topic of diversity and then SAPR. Just discussions, no instructor presentation.			Any consistency in the discussion of COR issues.

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Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
CWO Professional Development Course	Curriculum Outline for Chief Warrant Officer Professional Development Course (CWOPD) (501614)	Service Etiquette; Aligning Values; Conflict Management; Vision Development & Implementation: Role and Responsibilities of the CWO	5.0 hours	Guided by references below, employ service etiquette and protocol.	Manners and dress. Attire. Forms of Address. Correspondence. Dining & table manners.		Course is focused on skills expected for a CWO, so COR issues are used for exercises and illustrative purposes.

This leaves significant risk as the skills that are taught may or may not be correctly applied for COR issues.

It is one thing to teach people the skills they need to make decisions. It is another to tell them what kinds of decisions they should be making. |
			1.0 hour	Guided by references below, resolve ethical dilemmas.	Ethics, morals, values, moral temptation, and ethical dilemma. Moral Courage.		
			2.5 hours	Guided by references below, manage a personnel conflict using the appropriate communication model and conflict management strategy.	Stages in the course of conflict. Natural conflict style. Results of the Thomas-Kilmann Conflict Mode Instrument. Communication Models and Conflict Management Strategies.		
			5 hours	Guided by the references below, perform the Chief Warrant Officer's roles and responsibilities as a leader.	Unit command climate. Leader of character.		

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Internal Extant Data Sub-group Continued							
Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Senior Leadership Principles and Skills	Senior Leadership Principles and Skills (SLPS) Curriculum Outline (501316)	None directly					Course basically presents Kouzes and Posner's model of leadership. No COR issues directly addressed.
Sector Commander Course	Sector Commander Course (MS-608) Curriculum Outline (502012)	Core Values	2 hours	Given a USCG Leadership and Development Center brief on command philosophy, climate, and relationships, disseminate information on how it relates to the Sector Commander.	Command philosophy, command climate, core values, internal & external command relationships, different leadership styles.		No particular discussion of COR issues.
MT "A" training	Sexual Harassment Prevention (SHP) (CG-00H)	E-learning					No formal lesson plan. Inconsistent training-depends on who is presenting as to the examples given and topics. No formal training of instructors.
	Civil Rights Awareness (CG00H)	PowerPoint		A lot of definitions and procedures.			
	Building Resilience and Preventing Suicide in the CG (CG-1112)	E-learning					Any discussion of Coast Guard culture. What are we trying to create?

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Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
MT "B" training	Substance Abuse Free Environment (CG-11)	E-learning					Policies on all bases/units on what to do in active shooter situation.
	Workplace Violence (CG-1112)	E-learning					
	DHS No FEAR Act (CG-00H)	E-learning					
	DHS Continuous Supervisory Leader Development (CG-133)	E-learning					
	Supervisors of Civilians, Tier I (CG-133)	Mostly deals with union-related items					Not enough information to help with supervision of civilians related to COR issues

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Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Company Commander Course	Company Commander Course (CC-01) Curriculum Outline (501185	Ethical Fitness; Core Values; Leadership power bases; discrimination; sexual harassment; inappropriate relationships; hazing; sexual assault	2.5 hours	Given recruits identified as lying to a Company Commander, employ the appropriate ethical fitness principle (s) in accordance with the listed reference.	Four paradigms of ethical dilemmas. Three resolution principles for ethical dilemmas. Course of action to correct an offense of unethical conduct in accordance with SOP.		This course probably provides the most thorough material on culture of respect issues.
			1.4 hours	Given a classroom and recruits, instruct recruits in adopting the Coast Guard core values in accordance with the listed reference.	Define core values. Examples of patriotism and unit commitment. Examples of core values in recruit training environment.		
			1.75 hours	Given leadership styles & power base scenarios, state advantages and disadvantages of each in accordance with the listed references.	Define and list advantages/disadvantages of authoritarian, democratic, and laissez-faire leadership styles. Define and list advantages/disadvantages of coercive, reward, legitimate, expert, and referent power bases.		
			3 hours	Given a simulated recruit complaint of discrimination, employ the proper procedures for reporting and handling recruit complaints in accordance with the listed references.	Define the key requirements of the Coast Guard Equal Opportunity Program. Employ methods to prevent discrimination. Proper procedures for handling complaints.		

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Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Company Commander Course Continued	Company Commander Course (CC-01) Curriculum Outline (501185	Ethical Fitness; Core Values; Leadership power bases; discrimination; sexual harassment; inappropriate relationships; hazing; sexual assault	1.5 hours	Given a simulated recruit complaint of sexual harassment, select the proper procedures for reporting and handling recruit complaints in accordance with the listed references.	Define the CG sexual discrimination and sexual harassment prevention policies. Define 2 categories of sexual harassment. Identify sexual harassment behaviors in the recruit training environment. Describe the effects of sexual harassment. Proper procedures for handling complaints and reports of sexual harassment.		This course probably provides the most thorough material on culture of respect issues.
			1 hour	Given a permanent party member, enforce the CG and TRACEN Cape May policies on interpersonal relationships in accordance with the listed reference.	Acceptable, unacceptable, prohibited, and questionable relationships.		
			2 hours	Given a recruit company, enforce the Coast Guard's policy on hazing within the recruit training environment in accordance with the listed reference.	Define hazing. Identify UCMJ articles that discuss hazing. Identify hazing in the recruit training environment. Proper procedures to report hazing.		

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Internal Extant Data Sub-group Continued

Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Company Commander Course Continued	Company Commander Course (CC-01) Curriculum Outline (501185	Ethical Fitness; Core Values; Leadership power bases; discrimination; sexual harassment; inappropriate relationships; hazing; sexual assault	3 hours	As a Company Commander and given a situation in which a risk of sexual assault is present or sexual assault has been observed and/or reported, state the most appropriate measures to take to prevent and/or respond to the situation in accordance with the listed references.	Define sexual assault (inappropriate and appropriate conduct). Differentiate between sexual harassment and sexual assault. Specify actions to reduce risks. Identify how to minimize risk of committing sexual assault. Reporting options. Identify reasons why a victim may not report. Identify reasons a bystander may not report. Identify preventative measures to minimize the risk of a recruit being sexually assaulted. Define SAPR Strategic Goals & objectives. Command climate and alcohol discussion. Overcoming sexual assault stigmas.	Unknown. The objectives are fine, but HOW those objectives are related may or may not be.	This course probably provides the most thorough material on culture of respect issues.

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Sources	Document/s	COR Issue Addressed	Time Allot-ted for Issue	Enabling Objectives	Content	Policy Con-flicts	Missing
Re-cruiter/ Recruiter -In-Charge Course	Recruiter in Charge Course (RIC) Curriculum Outline (501286); Recruiter School Curriculum Outline (230250); Recruiter School Sexual Assault Prevention and Response	Leadership Power Bases; Inappropriate behavior; Standards of conduct; Sexual Harassment; Sexual Assault	2 hours	Given leadership styles & power base scenarios, state advantages and disadvantages of each in accordance with the listed references.	Define and list advantages/ disadvantages of authoritarian, democratic, and laissez-faire leadership styles. Define and list advantages/ disadvantages of coercive, reward, legitimate, expert, and referent power bases.		
			2 hours	Given examples of a negative conduct incident or inappropriate recruiting behavior, determine the appropriate leadership, military justice, and administrative actions in accordance with the listed references.	Discuss Core Values. Recruiting conduct expectations. How recruiter may be found unsuitable for recruiting. Use of CG-3307 and CG-4910. Duties of a Preliminary Inquiry Officer to investigate alleged misconduct. Situations where RIC must notify CGRC and CGIS. Mast reps. Appropriate level of disciplinary action for given offense.		
			4.5 hours	As a recruiter working with a prospect, state the standard of conduct expected for recruiter duties in accordance with the listed references.	Standards of conduct. Unsuitability and removal from recruiting.		

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Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Recruiter/ Recruiter-In-Charge Course Continued	Recruiter in Charge Course (RIC) Curriculum Outline (501286); Recruiter School Curriculum Outline (230250); Recruiter School Sexual Assault Prevention and Response	Leadership Power Bases; Inappropriate behavior; Standards of conduct; Sexual Harassment; Sexual Assault	2 hours	Identify sexual assault, applicable reporting options, procedures, and CG initiatives. Recognize how command climate can impact a member's ability to recognize, respond to, and prevent sexual assault. Develop strategies to foster a command climate that empowers members to recognize, respond to, and prevent sexual assault in a recruiting environment.	Define sexual assault (inappropriate and appropriate conduct). Differentiate between sexual harassment and sexual assault. Specify actions to reduce risks. Identify how to minimize risk of committing sexual assault. Reporting options. Identify reasons why a victim may not report. Identify reasons a bystander may not report. Identify preventative measures to minimize the risk of a recruit being sexually assaulted. Define SAPR Strategic Goals & objectives. Command climate and alcohol discussion. Overcoming sexual assault stigmas. Relationship between recruiters, prospects, and applicants. Reporting procedures for a prospect and applicant.		The only COR issues directly addressed are sexual harassment/assault.

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Sources	Document/s	COR Issue Addressed	Time Allot-ted for Issue	Enabling Objectives	Content	Policy Con-flicts	Missing
Boat Forces Command Cadre Course	Boat Forces Command Cadre (BFCC) Curriculum Outline (230277)	Moral Di-lemma; Command Climate; Command Philosophy; Interpersonal Relation-ships; haz-ing; relief-for-cause	1.5 hours	As a Boat Forces Command Cadre member, employ moral decision-making criteria when presented with a moral dilemma IAW reference below.	Ethical decision mak-ing, moral dilemmas, and how ethical deci-sions affect character.		
			1 hour	As a Boat Forces Command Cadre member, establish a positive command climate IAW refer-ences below.	Define command cli-mate (promotes unit efficiency and em-braces core values). Determine responsibility of command leadership for change implementa-tion. Formulate pro-grams that develop and maintain positive com-mand climate. Tech-niques and tools to effectively manage a diverse work force.		
			2 hours	As a Boat Forces Command Cadre member, establish a Command Philosophy IAW references be-low.	Identify the need for a command philosophy. Develop personal com-mand philosophy.		
			2 hours	As a Boat Forces Command Cadre member, comply with the Coast Guard's personal conduct policy IAW references below.	State how sexual har-assment, fraternization, and inappropriate per-sonal relationships are detrimental to a unit's good order and disci-pline. Identify the com-mand's role in creating an environment free from these behaviors. Examples of accept-able, unacceptable, and prohibited personal relationships. Elements of a romantic relation-ship. Wrongful cohabi-tation. Options and methods the command has to enforce CG policy regarding inter-personal relationships.		

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Internal Extant Data Sub-group Continued

Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Boat Forces Command Cadre Course Continued	Boat Forces Command Cadre (BFCC) Curriculum Outline (230277)	Moral Dilemma; Command Climate; Command Philosophy; Interpersonal Relationships; hazing; relief-for-cause	1.5 hours	As a Boat Forces Command Cadre member, enforce unit-based standards of conduct IAW references below.	Source of CG ethics laws. Roles of ethics officials. Review recent cases of hazing. Difference between tradition and hazing. How hazing affects operational readiness.		Great options for senior leader training on climate and conduct.
			3 hours	As a Boat Forces Command Cadre member, determine the process and reasons for relief-for-cause (rfc) IAW references below.	Causes, impacts, and processes associated with relief-for-cause. Options, history, statistics, scenarios, lessons learned from RFC.		

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Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Prospective CO/ OIC Course	Prospective Commanding Officer/ Executive Officer Afloat (PCO/PXO) Curriculum Outline (340380)	Responsibilities, Authority, and Accountability; Command Climate; Command Relationships	2 hours	As a CO/XO, explain the responsibilities, authority and accountability of Commanding Officers/ Executive Officers IAW references.	Correlate CG Core Values to setting and living high moral and ethical standards. Discuss CG leadership competencies. Identify skill and traits required to promote core values and leadership competencies. Describe how one's "moral convictions" impacts the command. Discuss "Relief For Cause".		No COR issues are directly addressed.
			2 hours	As a CO/XO, examine command climates that promote unit effectiveness and support the CG Core Values IAW references.	Assess command climate. Diagnose cascading effects from previous CO/XO command policies. Describe your role in developing command climate. Analyze the effectiveness of command standards on readiness and training. State how customs and traditions foster a better command climate. Discuss command philosophy & command vision.		
			2 hours	As a CO/XO, identify how human factors impact successful mission execution IAW references.	Key characteristics of successful command cadre relationships. Interpersonal techniques to enhance personal relationships. Impact of inappropriate relationships on command climate and good order and discipline. Importance of mentorship. Difference between coaching and advising. Communicate effectively with chain of command.		

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Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Command Assignment Preparatory Course	Command Assignment Preparation Training (CAPT) Course Curriculum Outline	Responsibility, Authority, and Accountability; Military Justice (hazing); Command Philosophy; Internal Command Relationships; Civil Rights and Diversity; Work-Life Programs	2 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, examine ultimate command authority, responsibility, and accountability as they relate to command and leadership expectations, IAW references.	Explain organizational expectations unique to assignment as a CO/OIC. Synthesize what it means to commit to leading a unit. Demonstrate commitment to a challenging decision. Differentiate between self and crew accountability.		Hazing is only included as part of military justice.
			3 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, explain methods commanding officers use to uphold accountability in personnel, IAW references.	Review the definition of hazing. Review the appropriate command response to a report of hazing including a mitigation plan. Explain major aspects of policy pertaining to restrictions to relationships between crewmembers.		
			2 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, apply leadership and management principles as they relate to command and leadership expectations, IAW references.	Assess your personal view of leadership styles. Assess your personal strengths/weaknesses with proven self-reflection techniques. Examine personal issues that could lead to success/failure as a CO/OIC. Describe importance and components of command philosophy. Describe techniques leaders use to communicate a command philosophy.		

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Sources	**Document/s**	**COR Issue Addressed**	**Time Allotted for Issue**	**Enabling Objectives**	**Content**	**Policy Conflicts**	**Missing**
Command Assignment Preparatory Course Continued	Command Assignment Preparation Training (CAPT) Course Curriculum Outline	Responsibility, Authority, and Accountability; Military Justice (hazing); Command Philosophy; Internal Command Relationships; Civil Rights and Diversity; Work-Life Programs	2 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, evaluate the factors that contribute to command climate, IAW references.	Identify important factors that foster positive command climate to include respect and trust. Explain impact of leadership strategies and styles on communications and climate. Identify traditions/etiquette associated with the role of CO/OIC and positive command climate. Explain the importance of positive recognition, endorsements, and recommendations for the crew. Review strategies to assess command climate. Monitor accurate information flow in relation to command climate. Determine how and when to employ intrusive leadership techniques to build trust, respect, and positive working relationships. Reasonable expectations for relationship with Chief's Mess. Mentoring a newly reported XO. Clear SOPs.		Hazing is only included as part of military justice.
			2 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, explain how services provided by the Office of Civil Rights support a positive command climate, IAW references.	Major aspects and importance of Civil Rights, EEO. Appropriate command response to deescalate interpersonal situates; specifically related to gender differences. Challenges of communicating with a diverse workforce. Justify response to civil rights issue.		

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Internal Extant Data Sub-group Continued							
Sources	Document/s	COR Issue Addressed	Time Allotted for Issue	Enabling Objectives	Content	Policy Conflicts	Missing
Command Assignment Preparatory Course Continued	Command Assignment Preparation Training (CAPT) Course Curriculum Outline	Responsibility, Authority, and Accountability; Military Justice (hazing); Command Philosophy; Internal Command Relationships; Civil Rights and Diversity; Work-Life Programs	4 hours	Given an assignment as a Commanding Officer or Officer-in-Charge, explain various work-life programs in relation to mission support, IAW references.	Describe the difference between sexual harassment and assault. Determine appropriate command response to sexual harassment and assault allegation.		Hazing is only included as part of military justice.

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Accessions Sub-Group

Accessions Sub-Group					
Source	COR training consistent?	COR alignment w/policy?	What is being trained?	Time spent?	What is missing?
USCG Academy	Only CG Mandated Training such as Civil Rights, SAPR. CG Core Values are not consistent with other CG accession points. CGA Core Values training focuses on Honor but specifically focuses on integrity/ cheating & academics violations.	Yes, for CG Mandated Training such as Civil Rights, SAPR. No policy on CG Core Values training.	Civil Rights Training SAPR Twelve 1 hours sessions on CG Core Values that are focused on Honor and integrity issues. New formal curriculum outline. Cadets Against Sexual Assault (CASA) briefings. SARC Affinity group awareness	12 hours	Defining CG Core Values. Relating CG Core Values to everyday actions. Aligning Core Values w/cadet personal values Guiding Principles Case Studies Role Play

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Accessions Sub-Group

	Accessions Sub-Group Continued				
Source	COR training consistent?	COR alignment w/policy?	What is being trained?	Time spent?	What is missing?
Officer Candidate School	Only CG Mandated Training such as Civil Rights, SAPR. CG Core Values are not consistent with other CG accession points. OCS Core Values training is unique to demographics of Officer Candidates.	Yes, for CG Mandated Training such as Civil Rights, SAPR. No policy on CG Core Values	Introduction to Coast Guard Core Values – Honor, Respect, Devotion to Duty. OCS receives another 1.5 hours of training specifically on SAPR delivered by full time SARC. Civil Rights Training	6 hours	Inclusion, Diversity, Discrimination, Bulling, Hazing & Retaliation. Defining CG Core Values. Relating CG Core Values to everyday actions. Aligning Core Values w/ personal values. Guiding Principles Case Studies Role Play

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Recommendations

Develop standardized curriculum (EOs, TPOs & contact time) for introducing Coast Guard Core Values and require it to be trained in person at all accession points.

Require standardized "advanced" Coast Guard Core Values training for all LDC courses (LAMS, CPOA, SLPS, SELC, MOTC, etc.).

Develop refresher electronic training for Coast Guard Core Values and require it service wide, biannually, as Mandated Training.

Modify all Coast Guard evaluations (EARs, OERs, EERs) to emphasize "respect" as a performance dimension that each member is expected to uphold and therefore be evaluated on.

Develop training using a social norms approach (Berkowitz, 2004) regarding how others influence each other's behavior during recruit training.

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- Air Force Sexual Assault Court Martial Convictions 2010-2014.
- Air Force SAPR Instruction 36-6001 14 October, 2010.
- Commander's Curriculum Guide: SAPR Stand Down Day-Indentifying Offenders, 2014.
- SAPR Kneeboard-HQ AF SAPR Report Numbers-FOUO, 3 Feb. 2014.
- Air Force SAPR Stand down Power Point slides, specified perpetrator characteristics 2014.
- Report on Sexual Harassment and Violence at the Military Service Academies, Academic Year 2012-2013
- HQDA SHARP program, 2013.
- ARMY SHARP Windows phone+GamesStore U.S.
- Importance of Cultural Education Through the Eyes of a former (b) (6) , April, 2014.
- LTG Bromberg Statement to the Personnel Subcommittee-Senate Armed Service Committee-Second Session 113th Congress, April, 2014.
- Trust Respect Brochure U.S. Army, Oct., 2013.
- DEOMI Climate Survey is powerful tool for Commanders, (b) (6) , DEOMI Public Affairs Officer
- DoD DEOMI Organizational Climate Survey (DEOCS)-Question/Factor Breakout, Jan, 2014.
- DoD SAPR Instruction 6495.02, Mar. 2013.
- Army SHARP Guidebook, Oct., 2013
- Stand Strong Program, U.S. Army Information paper, (b) (6) , 23 Oct., 2013.
- TRADOC SHARP Campaign Plan, 2013-14
- TRADOC Teams with Universities, A. Haviland, April, 2014.

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Topic, Author, Source	Topic Theme	Summary of Findings
Department of the Navy – 21st Century Sailor **http://www.public.navy.mil/bupers-npc/support/21st_Century_Sailor/Pages/default.aspx**	The 21st Century Sailor office provides our Sailors and families with the support network, programs, resources, training, and skills needed to overcome adversity and thrive. 21st Century Sailor promotes resiliency in all service members and Navy families, as well as collaboration and synergy across a spectrum of wellness that maximizes total force fitness.	The website gives a multitude of links to information as it pertains to the Culture of Respect. It is very similar to the Coats Guard's CG Support website.
Core Values & Ethos: from http://www.public.navy.mil/bupers-npc/support/21st_Century_Sailor/sapr/Pages/default2.aspx	Our Mission - Prevent and respond to sexual assault, eliminating it from our ranks through a balanced of focused education, comprehensive response, compassionate advocacy, and just adjudication in order to promote professionalism, respect, and trust, while preserving Navy mission readiness. Our Vision - Promote and foster a culturally aware and informed Navy respectful of all, intolerant of sexual assault, and supported by a synergistic program of prevention, advocacy, and accountability. Core Values Charter - Honor, Courage, and Commitment, http://www.navy.mil/navydata/cno/DON_Core_Values_Charter.pdf	The Navy's core values Honor, Courage, and Commitment and their Ethos are very well stated and puts into place acceptable behavior, acceptable treatment of others, and responsibilities as it relates to the Culture of Respect.

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SAPR-type program:		
What is it called?	Navy Sexual Assault Prevention and Response (SAPR) Program	
Which office is responsible for it?	The Navy's SAPR Program falls under the purview of the 21st Century Sailor Office (OPNAV N17).	
Official publications addressing SAPR issues:	Resources/References can be found at http://www.public.navy.mil/bupers-npc/support/21st_Century_Sailor/sapr/Pages/Resources.aspx Memorandum for Under Secretary of the Navy Chief of Naval Operations Commandant of the Marine Corps http://www.public.navy.mil/bupers-npc/support/21st_Century_Sailor/sapr/Documents/2013-07-01%20SECNAV%20SAPR%20Memo.pdf	The Resources/References page links Navy personnel to Department of Defense (DOD) and Department of the Navy (DON) manuals, Under Secretary of Defense (USD) Directive-type Memorandums (DTM), Secretary of the Navy policies (SECNAV), Chief of Naval Operations Policies (OPNAV), other related policies, current SAPR NAVADMINS and forms. The Memo (2013) states that Sexual Assault Prevention: One Team, One Fight is mandatory for civilians and may be used as additional training for military personnel.

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DoD Sub-group

DoD Sub-group Continued

Topic, Author, Source	Topic Theme	Summary of Findings
Discrimination policy?	http://doni.daps.dla.mil/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-300%20Manpower%20Personnel%20Sup-port/5350.16A.pdf	Discrimination will not be tolerated in the DON. Equality is expected and required by all military members

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http://doni.daps.dla.mil/Directives/01000%20Military%20Personnel%20Support/01-600%20Performance%20and%20Discipline%20Programs/1610.2A.pdf		SECNAV Instruction 1610.2A gives specific guidance in reference to hazing.
http://doni.daps.dla.mil/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-300%20Manpower%20Personnel%20Support/5300.26D.pdf		SECNAV Instruction 5300.26D addresses both military and civilian personnel on identifying, preventing and eliminating sexual harassment.
What is the current state of Culture of Respect? How is COR measured? Improving and sustaining COR: Current measures in place Best practices identified Next steps identified Navy IG N17 Fam brief 14 March.pptx	Measures	The PPT addresses the overall readiness of personnel and who is responsible for each component that makes up personnel readiness. Command Climate Assessment / Survey: The Navy uses surveys much like the CG does to see where they are as an organization.

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Topic, Author, Source	Topic Theme	Summary of Findings
Has any office or leadership training identified baseline/gateway behaviors such as bullying, intimidating, etc? Guidance in place for early identification and intervention of behaviors? How are behaviors contrary to COR but not meeting discrimination/Civil Rights policy violations handled?	Identification of behaviors	(b)⬛⬛⬛⬛⬛⬛⬛, Director, Navy Sexual Harassment Prevention and Equal Opportunity, referenced www.deomi.org throughout our conversation and that the Navy sends leadership to conferences and training offered by DEOMI. Command Climate Assessment / Survey INFORMAL COMPLAINT / GRIEVANCE PROCEDURES The Informal Resolution System (IRS) assists Sailors in resolving conflicts, and when successful, the IRS is the timeliest method for resolving conflict, because it deals directly with the individuals involved and uses the immediate chain of command. Sometimes it is ineffective or simply is not a desirable method for resolution. In these cases the Sailor should file a formal complaint. These are the steps in the IRS: 1. Address the issue with the person. 2. If the behavior continues or it is not an advisable solution to confront the individual, bring the situation to the attention of your chain of command. 3. Request mast with your commanding officer.

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Topic, Author, Source	Topic Theme	Summary of Findings
Is 360-degree feedback implemented in any official member evaluation process? http://www.sapr.mil/public/docs/reports/SecDef_SAPR_Memo_Strategy_Atch_06052013.pdf	**Feedback**	A Memo from the Secretary of Defense. Enhanced Commanders Accountability: To enhance accountability and improve insight into subordinate command climate, the USD (P&R) shall require that the results of FY13 National Defense Authorization Act-mandated annual command climate surveys will now also be provided to the next level up in the chain of command. Ensuring Appropriate Command Climate: To ensure DoD facilities promote an environment of dignity and respect and are free from materials that create a degrading or offensive work environment, DoD component heads will direct comprehensive and regular visual inspections of all D0D workplaces, to include military academies, by July 1, 2013. The Air Force conducted such inspection in FY13 and will therefore only report the findings and actions taken from that previously conducted inspection. Report your findings to me through USD (P&R) by July 31, 2013.

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Topic, Author, Source	Topic Theme	Summary of Findings
Current state/practices for: from http://www.public.navy.mil/bupers-npc/support/21st_Century_Sailor/sapr/Pages/training.aspx	Training/Practices	Officer evaluations SAPR – L Training SAPR-L training provided command leadership triads (Commanding Officer / Officer in Charge, Executive Officer / Assistant Officer in Charge and Command Master Chief / Chief of the Boat / Senior Enlisted) the skills to promote a culture of change through interactive video and facilitated face-to-face (F2F) discussion with command E7 and above. Personnel that have not completed SAPR-L can still complete the training by attending a SAPR-L training session conducted by their parent command or by viewing a DVD recorded Master Mobile Training Team (MMTT) led training session. Contact the SAPR Task Force (via email link below) and provide your mailing address to obtain a DVD copy in the mail. Enlisted evaluations SAPR – F Training SAPR-F training was focused on the impacts of sexual assault, bystander intervention and shipmate responsibility and was required for all active and reserve mid-grade and junior enlisted personnel (E-6 and below). Personnel that have not completed SAPR-F can still complete the training by attending a SAPR-F training session conducted by their parent command. http://sapr.mil/public/docs/prevention/CoreCompetencies_LearningObjectives_FactSheet_20140407.pdf http://sapr.mil/public/docs/prevention/SAPR_Pre-Command_Senior-Enlisted-Leader_CC-LO_20130330.pdf http://sapr.mil/public/docs/prevention/SAPR_Annual-Refresher_CC-LO_20130809.pdf

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Topic, Author, Source	Topic Theme	Summary of Findings
Leadership Team Awareness Seminar (LTAS) Including civilians.		A 5-day course offered 8 times a year. It is intended for senior officers (commanders and key staff/department heads O-3 to O-6) and senior enlisted advisors (E-7 to E-9) as well as civilians including legal officers, chaplains, and inspector general personnel in leadership positions. Purpose is to give senior leaders an opportunity to explore evolving human relations and equal opportunity/equal employment opportunity (EO/EEO) issues in order to gain an understanding of their impacts on unit cohesion and mission. Additional information, class schedules, and registration instructions are located at the DEOMI webpage.
The Coalition of Sailors Against Destructive Decisions (CSADD) http://www.public.navy.mil/BUPERS-NPC/SUPPORT/21ST_CENTURY_SAILOR/CSADD/Pages/default2.aspx		**Mission Statement** Create a culture in which our Shipmates are helping Shipmates maintain a course of success through good decision making. The CSADD targets the 18 to 25 year old sailor. The idea is "Shipmates Helping Shipmates" in making good decisions. Various topics are covered each month in hopes that a sailor when confronted with a decision will always choose the right choice and avoid problems. Establishing good decision practices will build on the individual's leadership skills.

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Topic, Author, Source	**Topic Theme**	**Summary of Findings**
How is fleet kept apprised of senior leadership responses to COR issues? http://www.militarytimes.com/article/20140603/NEWS/306030082	Informing Others	Each region Commander is responsible for sending its members an all hands e-mail on the outcome of Court Martials. The e-mail is much like the Coast Guard's "Good Oder and Discipline" messages in that it gives rank, offense, and outcome. The news article speaks of "frat-boy" behaviors and the acceptance of such behaviors.
America's Army - Our Profession, http://cape.army.mil	Stand Strong Program - Army Profession	During FY 14, the United States Army will launch the America's Army – Our Profession "Stand Strong" program to develop a shared professional identity, motivate ethical conduct, and drive character development for Soldiers and Army Civilians. The program reinforces Trust among Army Professionals and with the American people, inspires Honorable Service, strengthens Stewardship of the Army Profession, and enhances Esprit de Corps. a. In 2010, the Secretary of the Army directed Training & Doctrine Command to lead an Army-wide assessment of the state of the Army Profession. This unprecedented, holistic review provided an introspective opportunity for both Soldiers and Civilians to shape the Army of 2020.

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Topic, Author, Source	Topic Theme	Summary of Findings
America's Army - Our Profession, http://cape.army.mil	Stand Strong Program - Army Profession	b. Army is a profession because of the expert work it produces, because the people in the Army develop themselves to be professionals, and because the Army certifies them as such. A profession has five aspects: (1) Professions provide a unique and vital service to the society served, one it cannot provide itself. (2) Professions provide this service by applying expert knowledge and practice. (3) Professions earn the trust of the society because of effective and ethical application of their expertise. (4) Professions self-regulate; they police the practice of their members to ensure it is effective and ethical. This includes the responsibility for educating and certifying professionals. (5) Professions are therefore granted significant autonomy and discretion in their practice of expertise on behalf of the society. c. The professional responsibilities of a Soldier or Army Civilian include: (1) Preserve the trust and confidence of the American people and fellow Army Professionals by sustaining five essential characteristics of the profession (Trust, Military Expertise, Honorable Service, Esprit de Corps, and Stewardship). (2) Advance our expert knowledge, skills, and abilities in unified land operations and develop and certify every Army Professional in competence, character, and commitment (3) Strengthen our Honorable Service and demonstrate our strength of character by living in accordance with the Army Values and the Army Ethic. These values and principles are the basic moral building blocks of our profession. (4) Create and sustain a positive command climate, increase cohesion, and foster pride in our profession's winning spirit through Esprit de Corps. (5) Through our Stewardship, ensure the present and future development and effectiveness of the profession's people and resources.

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Topic, Author, Source	Topic Theme	Summary of Findings

Title 10 USC Section 3583	Requirement of Exemplary Conduct	All commanding officers and others in authority in the Army are required:
		    a. To show in themselves a good example of virtue, honor, patriotism, and subordination;
		    b. To be vigilant in inspecting the conduct of all persons who are placed under their command;
		    c. To guard against and suppress all dissolute and immoral practices, and to correct, according to the laws and regulations of the Army, all persons who are guilty of them; and
		    d. To take all necessary and proper measures, under the laws, regulations, and customs of the Army, to promote and safeguard the morale, the physical well-being, and the general welfare of the officers and enlisted persons under their command or charge

Stand Strong Info Paper	Trust	Trust is the bedrock of our profession: is belief in and reliance on the competence, character, and commitment of Army Professionals. By upholding the Army Ethic and living by Army Values in our decisions and actions, we reinforce trust; Trust between Soldiers; Trust between Soldiers and Leaders; Trust between Soldiers and Army Civilians; Trust between Soldiers, their families, and the Army; Trust between the Army and the American people
America's Army - Our Profession, http://cape.army.mil	Army Values	An ethic is a system of moral standards or principles relating to or affirming a specific group, field, or form of conduct. The Army Ethic is the evolving set of laws, values, and beliefs, deeply embedded within the core of the profession's culture and practiced by its members to motivate and guide the appropriate conduct of individual members bound together in common moral purpose.

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Topic, Author, Source	Topic Theme	Summary of Findings
America's Army - Our Profession, http://cape.army.mil http://www.goarmy.com/soldier-life/becoming-a-soldier/basic-combat-training.html	Army Values	Our professional responsibility is to strengthen our honorable service by living the Army Values daily. These values are the basic moral building blocks of our profession. "*If we say and believe we are professionals, then sexual violence of any form and hazing has no place in our Army. I've often said that to be a professional, you must possess the three Cs: competence, character, commitment. Hazing another Soldier does not fit any of these or the Army Values.*" Raymond F. Chandler III, 14th Sergeant Major of the Army. Soldiers learn these values in detail during Basic Combat Training (BCT), from then on they live them every day in everything they do — whether they're on the job or off. Army Values: Loyalty: A loyal Soldier is one who supports the leadership and stands up for fellow Soldiers Duty: Fulfill your obligations Respect: Treat people as they should be treated. In the Soldier's Code, we pledge to "treat others with dignity and respect while expecting others to do the same." Respect is what allows us to appreciate the best in other people. Respect is trusting that all people have done their jobs and fulfilled their duty. And self-respect is a vital ingredient with the Army value of respect, which results from knowing you have put forth your best effort. The Army is one team and each of us has something to contribute. Selfless Service: Put the welfare of the Nation, the Army and your subordinates before your own Honor: Soldiers who develop the habit of being honorable, and solidify that habit with every value choice they make. Honor is a matter of carrying out, acting, and living the values of respect, duty, loyalty, selfless service, integrity and personal courage in everything you do. Integrity: Do what's right, legally and morally. Integrity is a quality you develop by adhering to moral principles. It requires that you do and say nothing that deceives others. Personal Courage: You can build your personal courage by daily standing up for and acting upon the things that you know are honorable

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Topic, Author, Source	Topic Theme	Summary of Findings
Field Manual 6-22, 12 Oct 06; Army Leadership Competent, Confident, and Agile, Chapter 7	Instilling Discipline	Disciplined people take the right action, even if they do not feel like it. True discipline demands habitual and reasoned obedience, an obedience that preserves initiative and works, even when the leader is not around or when chaos and uncertainty abound. Taking care of Soldiers entails creating a disciplined environment where they can learn and grow. It means holding them to high standards when training and preparing them to do their jobs so they can succeed in peace and win in war. Taking care of Soldiers, treating them fairly, refusing to cut corners, sharing hardships, and setting a personal example are crucial.
AR 601-1, Assignment of Enlisted Personnel to the US Army Recruiting Command – Standards (6 September 2011)	Criteria for assignment as a Army Recruiter	Have a mental evaluation statement not older than 6 months verifying that the Soldier has no record of emotional or mental instability. This evaluation must be based on a personal interview and screening of health records by a qualified mental health care provider (waiver not authorized). Have favorable civilian and military disciplinary records. Have no unfavorable alcohol related incidents within the past 5 years upon selection. Examples of disqualifying conduct are conviction for a qualifying offense listed in AR 27–10, paragraph 24–2, and include registered sex offender, driving under the influence (DUI), driving while intoxicated (DWI), or charged with drunk and disorderly conduct (waiver not authorized). Never been the subject of adjudication (including proceedings under the provisions of Article 15, Uniform Code of Military Justice) or had adverse action taken by any authority for any offense that involves moral turpitude, regardless of sentence received or any offense under the UCMJ for which confinement of 2 years or more may be adjudged. (waiver not authorized). All Soldiers must be screened against the National Sex Offender Registry database by agency that currently conducts background screening on potential recruiters. - Have no history of domestic violence or assault, or marital, emotional, or major medical problems (to include immediate Family) that would hamper performance on recruiting duty. (waiver authorized).

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Topic, Author, Source	Topic Theme	Summary of Findings
HQDA EXORD 161-13, Sexual Harassment/Assault Response and Prevention Program Army Stand-Down, 102347Z Jun 13	EXORD directing Army to Implement a Sexual Assault Prevention and Response Stand-Down	Directive contains 3 major requirements for the stand-down: 1. Provide guidance on the immediate records review of existing SARC, SHARP VAs, Recruiters, Drill Sergeants and AIT Platoon Sergeants and the implementation of broadened screening requirements 2. Provide guidance on the refresher training for SARCs, SHARP VAs, Recruiters, Drill Sergeants and AIT Platoon Sergeants and the leader engagement for the total force 3. Provide guidance on initial actions to institutionalize screening processes, policies and procedures for positions of trust and authority.
Unit Training: Sexual Harassment/Assault Response and Prevention (SHARP) Program SHARP Training Material for: Annual Unit Refresher/Pre- & Post-Deployment Training (URT) 805C-010-0107	Version 7	7 Feb 2014 (SHARP URT TSP V1 20140207.docx)	Training Support Package	Provides training materials for annual unit SHARP refresher training. Includes lesson plans, references, facilitator script, etc.
SHARP Commander Guidebook – Army Knowledge Online	Company-level reference tool	The Sexual Harassment/Assault Response and Prevention (SHARP) guidebook is a company-level reference tool for company commanders and Soldiers, Department of the Army (DA) Civilians, and Family members to use in sexual harassment and sexual assault prevention and response efforts. This guidebook consolidates current Army and DoD policy and recently published directives pertaining to the SHARP program.

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Topic, Author, Source	Topic Theme	Summary of Findings
HQDA EXORD 161-13, Sexual Harassment/Assault Response and Prevention Program Army Stand-Down, 102347Z Jun 13 – Annex B	Training References for Commander-led refresher training	At a minimum will include discussion of leadership, professional ethics, The Warrior Ethos, Application of Army values to prevention and response to sexual harassment and assault, privacy and sensitivity with victim reports, trust and authority inherent to duty position, and examples of how sexual assault and harassment degrade Army readiness and cohesion. Training is intended to be interactive discussion-based rather than PowerPoint driven. Materials can be found at following web sites: SHARP Refresher Training: https://www.us.army.mil/suite/files/40380764 RECRUITERS: https://www.us.army.mil/suite/files/40380961 DRILL SERGEANTS: https://www.us.army.mil/suite/files/40380927 AIT PLATOON SERGEANTS : https://www.us.army.mil/suite/files/40380908 TRAINING VIDEOS: https://www.us.army.mil/suite/files/40380954 SHARP: http://www.sexualassault.army.mil/ SHARP REFRESHER TRAINING (FOR SARCS/VAS) COMMANDER'S CHECKLIST FOR UN (RES)TRICTED REPORTS SAPR STANDOWN BRIEFING TRAINING SUPPORT PACKAGES ARMY VALUES/WARRIOR ETHOS: http://www.army.mil/values/# http://www.army.mil/values/warrior.html AMERICA'S ARMY OUR PROFESSION: http://cape.army.mil/AAOP/AAOP%20Overview/overview.php ARMY ETHICS: https://www.jagcnet2.army.mil/85257488005852E3/frmlogin?openform

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Topic, Author, Source	Topic Theme	Summary of Findings
HQDA EXORD 161-13, Sexual Harassment/ Assault Response and Prevention Program Army Stand-Down, 102347Z Jun 13	Leader Engagement Training	Leader Engagements are to be Commander or Supervisor-led and small group (25 people or less) discussion-based and will at a minimum address the focus and operation of the Army SHARP Program and I.A.M (Intervene, Act, Motivate) STRONG Sexual Harassment / Assault Response and Prevention Campaign; Individual responsibility and accountability for maintaining a Command Climate of Dignity and Respect; importance of inculcating Army Values in daily operations and how those values relate to the prevention and response to sexual harassment and sexual assault; potential consequences for sexually based offenses and example of how sexual harassment and assault adversely impact our Army
Guidance for Civilian SHARP Program Positions (27 Sep 13).pdf	Guidelines for SHARP Positions	Provides guidance for civilian employees performing duties as part of the SHARP program to include screening matrix; SHARP Disqualification Criteria; templates for New Hires, Change in condition of employment, appointing authority to document adjudication results; Position Designation Records
HQDA EXORD 161-13, Sexual Harassment/ Assault Response and Prevention Program Army Stand-Down, 102347Z Jun 13	SHARP Prevention	Authority for future screenings will be incorporated into applicable regulations.
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 3	Definition of Sexual Harassment	Sexual harassment is a form of gender discrimination that involves unwelcomed sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature between the same or opposite genders when— (1) Submission to, or rejection of, such conduct is made either explicitly or implicitly a term or condition of a person's job, pay, career. (2) Submission to, or rejection of, such conduct by a person is used as a basis for career or employment decisions affecting that person. (3) Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creates an intimidating, hostile, or offensive working environment.

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Topic, Author, Source	Topic Theme	Summary of Findings
Army APP for Phone	Improving / Sustaining COR	Part of Command's Sexual Harassment/assault response
Army Directive 2013-29 (Army Command Climate Assessments), 23 Dec 2013	Command Climate Assessments	This directive implements an enhanced command climate assessment program for the Army and supersedes any contrary provision. Command climate assessments help commanders establish and maintain a positive command climate, which, in turn, helps sustain a Ready and Resilient Force. Command climate assessments are particularly important as we continue to work to eliminate sexual assault and sexual harassment from our ranks. The following actions are directed: a. Commanders will use the Defense Equal Opportunity Management Institute Organizational Climate Survey (DEOCS) for the survey component of their command climate assessments. b. All Active Army company commanders will conduct an initial command climate assessment within 30 days of assuming command, to be followed by a subsequent assessment 6 months later, another assessment 12 months after assuming command and annually thereafter while retaining command. c. All Active Army commanders above the company level will conduct an initial command climate assessment within 60 days of assuming command, to be followed by a subsequent assessment 12 months later and annually thereafter while retaining command. d. All reserve component commanders will conduct an initial command climate assessment within 120 days of assuming command, to be followed by a subsequent assessment 12 months later and annually thereafter while retaining command.

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Topic, Author, Source	Topic Theme	Summary of Findings
Army APP for Phone	Improving / Sustaining COR	Part of Command's Sexual Harassment/assault response
Army Directive 2013-29 (Army Command Climate Assessments), 23 Dec 2013	Command Climate Assessments	e. The Army will require a baseline survey for all commanders using the DEOCS survey instrument. If a commander has completed a DEOCS command climate assessment within the past 120 days, the commander may use that survey to fulfill this baseline requirement. Otherwise, all Active Army and reserve component commanders will complete a command climate assessment within 6 months of the date of this directive. f. To promote anonymity, any unit with less than 30 personnel must conduct its command climate assessments with a larger unit (the unit's _higher headquarters or another company-level unit within the command). At the battalion or higher commander's discretion, companies or subordinate commands with more than 30 but less than 50 personnel may conduct its survey separately -or with a larger unit (a higher level command or another company-level unit). g. Within 30 days of completing the command climate assessment, the requesting commander will brief the next higher level commander on the results and his/her command climate assessment action plan, as defined in the enclosure, to address concerns raised in the assessment.

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Topic, Author, Source	Topic Theme	Summary of Findings
Defense Equal Opportunity Management Institute Climate Survey is powerful tool for commanders	Article describing DEOCS capabilities	The DEOCS allows leaders to proactively assess critical organizational climate dimensions that can impact organizational effectiveness. The questionnaire uses the shared perceptions of an organization's members to measure climate factors associated with military equal opportunity (EO) and civilian equal employment opportunity (EEO) issues, and provides an estimate of organizational effectiveness (OE) Respondents can report whether they personally experienced discrimination or sexual harassment during the past 12 months while at work, indicate the type of discrimination they experienced (e.g., race, sex, religion, etc.), and state whether they took action following the incident of discrimination or sexual harassment (e.g., reported it to an EOA/EEO representative or the supervisor, confronted the offender, or filed a formal complaint). Finally, respondents can report their level of satisfaction with how the issue of discrimination or sexual harassment was resolved, using a five-point (Very Satisfied to Very Dissatisfied) scale
Field Manual 6-22, 12 Oct 06; Army Leadership Competent, Confident, and Agile, Chapter 8	Creating a Positive Environment	Good leaders are concerned with establishing a climate that can be characterized as fair, inclusive, and ethical. Fairness means that treatment is equitable and no one gets preferential treatment for arbitrary reasons. Inclusive means that everyone, regardless of any difference, is integrated into the organization. Ethical means that actions throughout the organization conform to the Army Values and moral principles. Although leaders should be consistent and fair in how they treat others, not everyone will be treated exactly alike. All leaders are responsible for adhering to equal opportunity policies and preventing all forms of harassment. Creating a positive climate begins with encouraging diversity and inclusiveness.
Field Manual 6-22, 12 Oct 06; Army Leadership Competent, Confident, and Agile, Chapter 8	Building Teamwork and Cohesion	Teamwork and cohesion are measures of climate. Willingness to engage in teamwork is the opposite of selfishness. Selfless service is a requirement for effective teamwork. To operate effectively, teams, units, and organizations need to work together for common Army Values and task and mission objectives. Leaders encourage others to work together, while promoting group pride in accomplishments. Teamwork is based on commitment to the group, which in turn is built on trust. Trust is based on expecting that others will act for the team and keep its interests ahead of their own.

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Topic, Author, Source	Topic Theme	Summary of Findings
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 3	Army Well-Being	Commanders are responsible for creating and sustaining a climate that contributes positively to the lives of the Army Family, including Soldiers (active, reserve and guard) retirees, veterans and DA civilians, and all their Families
http://www.federalnewsradio.com/?nid=85&sid=3613560	Improving / Sustaining COR	Sgt. Maj. of the Army Ray Chandler participated in a live radio interview with Federal News Radio regarding the Army's enduring focus on Sexual Harassment/Assault Awareness. Tom Temin and Emily Kopp asked SMA Chandler if the Army is starting to get a hold of the problem. SMA Chandler mentions that the Army is making progress, but there is a lot of work left to be done. SMA Chandler goes on to discuss the importance or Trust and Professionalism. "I firmly believe this is all about our understanding of the Army Profession. [Character, Competence and Commitment] ... [I]f you are a professional that you have a responsibility then - to act like one - to take action."
SMA stresses importance of character, commitment, competence to Fort Leonard Wood Soldiers	Improving / Sustaining COR	SMA Raymond Chandler recently visited Fort Leonard Wood for three days. During a town hall meeting on Friday he discussed the importance of a Soldier's character, competence, and commitment to help "the Army combat sexual assaults and suicides". "In order to ensure that we reduce sexual assaults and suicides within our Army, we've got to do all three of these things. If not, we're not going to solve this challenge. We've got to be the professionals we say we are. If you say you're a professional, you need to live up to it," Chandler said.
http://www.goarmy.com/soldier-life/becoming-a-soldier/basic-combat-training.html	Basic Combat Training (BCT) Red Phase	Recruits arrive for general orientation and are given haircuts and issued Army uniforms. Basic Tactical training begins followed by Nuclear Biological and Chemical Defense, Landmine Defense and rappelling at the confidence tower. Recruits learn about **Army heritage** and the **Seven Army Core Values** Recruits undergo the Army Physical Fitness Test to help determine their physical aptitude. This test is routinely administered to Soldiers throughout their enlistment periods to ensure their top physical condition.

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Topic, Author, Source	Topic Theme	Summary of Findings
TRADOC Regulation 350-16, 11 Dec 13	Drill Sergeant and Advanced Individual Training Platoon Sergeant Programs	This regulation establishes objectives, policies, and responsibilities for training and use of personnel in drill sergeant positions, Drill Sergeant Candidate, Advanced Individual Training Platoon Sergeant, and Advanced Individual Training Platoon Sergeant Candidate status for the Active Army, the United States Army Reserve, and Army National Guard as prescribed by the U.S. Army Training and Doctrine Command
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 6	Responsibilities of Commander TRADOC	Develop EO instruction and associated training materials for use in the accession/initial-entry-training base, in PME courses throughout the Army and in units. Training will be interactive, small-group oriented and testable. Conduct required EO education and training in TRADOC Service schools and training centers. Evaluate the effectiveness of training conducted in TRADOC Service schools and training centers.
Army Anti-Harassment Policy for the Workplace	Prohibited relationships	Trainee and Soldier relationships: Any relationship between permanent party personnel and initial entry training trainees not required by the training mission is prohibited. This prohibition applies to permanent party personnel without regard to the installation of assignment of the permanent party member or the trainee. Recruiter and recruit relationships: Any relationship between permanent party personnel assigned or attached to the United States Army Recruiting Command and potential prospects, applicants, members of the DEP, or members of the Delayed Training Program not required by the recruiting mission is prohibited. This prohibition applies to United States Army Recruiting Command personnel without regard to the unit of assignment of the permanent party member and the potential prospects, applicants, DEP members, or Delayed Training Program members.

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Topic, Author, Source	Topic Theme	Summary of Findings
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 4	Hazing	Hazing is fundamentally in opposition to our values and is prohibited. Hazing is defined as any conduct whereby one military member or employee, regardless of Service or rank, unnecessarily causes another military member or employee, regardless of Service or rank, to suffer or be exposed to an activity that is cruel, abusive, oppressive, or harmful. Hazing includes, but is not limited, to any form of initiation "rite of passage" or congratulatory act that involves: physically striking another in order to inflict pain; piercing another's skin in any manner; forcing or requiring the consumption of excessive amounts of food, alcohol, drugs, or other substances; or encouraging another to engage in illegal, harmful, demeaning or dangerous acts. Soliciting or coercing another to participate in any such activity is also considered hazing. Hazing need not involve physical contact among or between military members or employees; it can be verbal or psychological in nature. Command responsibilities. Enforcement of this policy is a responsibility of commanders at all levels. Commanders will devote particular attention to graduation or advancement ceremonies as well as other occasions or settings that might put Soldiers at risk for voluntary or involuntary hazing. These situations will be supervised properly, respectful of all participants, perpetuate the best of the traditions that the Army embraces, and leave all participants and spectators feeling proud to be a member of or associated with the U.S. Army.
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 6	Equal Opportunity Program	The U.S. Army will provide EO and fair treatment for military personnel and Family members without regard to race, color, gender, religion, national origin, and provide an environment free of unlawful discrimination and offensive behavior. This policy— (1) Applies both on and off post, during duty and non-duty hours. (2) Applies to working, living, and recreational environments (including both on and off-post housing). Soldiers will not be accessed, classified, trained, assigned, promoted, or otherwise managed on the basis of race, color, religion, gender, or national origin. DIGNITY + RESPECT = INCLUSION

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Topic, Author, Source	Topic Theme	Summary of Findings
AR 600-20, Army Command Policy, 20 Sep 12, Chapter 8	Sexual assault policy	Sexual assault is a criminal offense that has no place in the Army. It degrades mission readiness by devastating the Army's ability to work effectively as a team. Every Soldier who is aware of a sexual assault should immediately (within 24 hours) report incidents. Sexual assault is incompatible with Army values and is punishable under the UCMJ and other Federal and local civilian laws.
http://www.tradoc.army.mil/sgs/ CMDPolicyletters/Anti-Harassment% 20(29%20Aug%2011).pdf	Anti-harassment policy	TRADOC has zero tolerance policy for any form of harassment within our ranks. This prohibition covers harassment by anyone in the workplace, to include military, civilians, supervisors, coworkers, contractors, and nonemployees. Discriminatory harassment for military personnel is based on current protected categories of race, color, national origin, gender, and religion. Discriminatory harassment for civilians is based on race, color, national origin, gender, age, disability, religion, and reprisal. Sexual harassment is a form of sex or gender discrimination. It exists in two forms: tangible employment benefit (quid pro quo) and creation of a hostile work environment through conduct of a sexual nature. Retaliatory harassment occurs when an employee engages in a protected activity such as filing an EO or EEO complaint or providing testimony thereof. - Soldiers / employees have responsibility to report all instances of harassment through their chain of command before it becomes severe or pervasive. - Leaders / supervisors / managers have responsibility to ensure all employees are familiar with policy; encourage employees to report harassing conduct as soon as it occurs; protect confidentiality of the individuals alleging harassment; investigate all allegations and take appropriate action; ensure follow-up to prevent further harassment or reprisal action.

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Breaking the cycle of sexual assault in the military, The Washington Post, Garry Trudeau and Loree Sutton, Published: June 29, 2012 http://www.washingtonpost.com/opinions/breaking-the-cycle-of-sexual-assault-in-the-military/2012/06/29/gJQAK0wNCW_story.html	Gateway behaviors of Sexual assault	Trust is critical to any team endeavor, but in the military it can be the difference between life and death. The idea of "having someone's back" is borrowed from the warrior's real-life lexicon. Without trust, nothing works in the military. And because it is experience that forms trust, if a soldier's experience tells her that she will not receive support and justice if she is attacked from within her ranks, she ceases to be an effective team member and suffers overwhelming personal consequences. You have lost that soldier forever. Multiply her by 19,000, and the impact on overall readiness is profound. The average rapist is a lifetime offender and adept at developing protective coloration. His peers often cannot believe he is capable of such crimes, so the victim is, at best, ignored — especially if the perpetrator is a friend of the superior to whom the victim must report. Defense Secretary Leon Panetta's plan to transfer responsibility from unit commanders to an officer further up the chain of command is only a promising first step. If the Pentagon really means to fix the problem of military assault, it must begin by restoring trust in the system. The only credible solution is to create an independent special victims unit completely outside the unit chain of command, under civilian oversight. It should be led by a flag-rank officer who has no stake in the reputation of individual commands but a huge stake in doing the only thing that matters — driving down the rate of sexual assault in the military. Any such office would need to ensure leader accountability for the "gateway behaviors" — bullying, humiliation, scapegoating — that set the conditions for violent assault. Another Defense Department study found that the incidence of rape triples in units that tolerate sexual harassment. Isolated duty stations and its closed system for reporting, investigating and prosecuting crimes have made the military, this country's most trusted government institution, a predator's paradise.

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Topic, Author, Source	Topic Theme	Summary of Findings
Gateway Behaviors are like Gateway Drugs Treatment and Outreach with Joel Lashley http://www.correctionsone.com/correctional-healthcare/articles/1843920-Gateway-Behaviors-are-like-Gateway-Drugs/	Gateway behaviors	In the institutional setting the person with the worst behavior sets the tone for what is acceptable for every-one else. This is true no matter what example leaders provide. So, if a high school or juvenile detention center allows kids to curse, they become a cursing facility. If a factory manager says nothing when they overhear sex-ual harassment, they become an enabler for sexual harassment. It doesn't take a rocket scientist to under-stand that people are more likely to harass (and be harassed) in a facility that enables harassment. But does allowing some bad behavior put us at risk for other, more dangerous, behaviors? Yes, it definitely does. We call these "gateway behaviors." **Identifying gateway behaviors** 1) Non-verbal: Alpha-type, aggressive personalities usually try to control individuals or groups with nonver-bal behaviors like staring, stern expressions, an angry or sarcastic tone of voice and other forms of body lan-guage designed to draw attention and establish domi-nance. 2) Verbal: The first verbal behavior we usually see is cursing. When someone enters an unfamiliar environ-ment and uses profanity, they are searching for a reac-tion. For instance, many people swear, but most of them realize that saying "motherf**er" in a library is offensive. In this context, curse words are like radar waves. The sender is seeing what signal he will get back from his peers and superiors. If the group ignores his behavior, the returned signal reads: You are afraid of me, or I intimidate you. All aggressive personalities test their opponents this way. 3) Veiled threats: Once the disruptive person becomes comfortable with swearing, they often graduate to veiled threatening behaviors and words. For instance, every teacher, nurse, or juvenile detention officer probably rec-ognizes these types of phrases: "I don't know what I'll do if that punk starts up again!" Or, "Send that bitch in here again and see what happens!" One of the more creative veiled threats – a personal favorite – is, "I'll be going to jail if she comes in here again!" People who use veiled threats are consciously raising the ante. They feel bold enough to provoke a reaction with an implied threat. If we say nothing, then we embolden them to become more aggressive. 4) Overt threats: If the relationship continues without challenge long enough, then the subject will begin to overtly threaten. They will say things like, "I'll bust you in your face if you come near me." At stage of overt threats, we have three problems. First, if we ignore the overt threats and comply with this level of intimidation, we are inviting them to escalate to actual violence. Secondly, aggressive personalities will actively seek more and more attention, services, and goods from the individual or group they now control. Finally, any attempt to set limits at this stage will be all the more difficult to accomplish.

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DoD Sub-group

DoD Sub-group Continued

Topic, Author, Source	Topic Theme	Summary of Findings
LTG Howard B. Bromberg, Deputy Chief of Staff, G-1 United States Army before the Personnel Subcommittee Senate Armed Services Committee, Second Session, 113th Congress, On Active, Guard, Reserve and Civilian Personnel Programs, April 9, 2014	Officer / NCO evaluations and 360-degree feedback	Changing culture is essential to our success. To change culture at the lowest level, the Army now requires SHARP goals and objectives in all Officer and NCO evaluations; requires Army leaders to assess Command Climate and requires 360 degree assessments as an additional tool for raters to conduct developmental dialogue with O5 and O6 level commanders. These three significant changes will enable leadership at various levels to remain engaged in the conduct of their subordinates and will improve accountability throughout the chain of command.
LTG Howard B. Bromberg, Deputy Chief of Staff, G-1 United States Army before the Personnel Subcommittee Senate Armed Services Committee, Second Session, 113th Congress, On Active, Guard, Reserve and Civilian Personnel Programs, April 9, 2014	Program / Policy Initiatives to improve SHARP program.	The response to and prevention of sexual assault and harassment are top Army priorities with a goal to reduce and ultimately eliminate this crime from our ranks. We've implemented an unprecedented number of program and policy initiatives designed to improve our Sexual Harassment/Assault Response and Prevention Program. These initiatives are aligned with the Army's five imperatives to (1) prevent offenders from committing crimes, provide compassionate care for victims and protect the rights and privacy of survivors; (2) ensure every allegation is reported, thoroughly and professionally investigated and appropriately acted upon; (3) create a positive climate and environment of trust and respect in which every person can thrive and achieve their full potential, and continually assess the command climate; (4) hold every individual unit and organization and every commander appropriately accountable for their behavior, actions and inactions; (5) ensure the chain of command is fully engaged and centrally responsible and accountable for solving the problems of sexual assault and sexual harassment within our ranks and for restoring trust of our Soldiers, Civilians and Families.
http://www.tradoc.army.mil/EEO/index.htm	Access to information	Everyone is entitled: - To be treated with dignity, respect and courtesy. - To a workplace free from bullying or harassment. - To experience no form of discrimination. - To be valued for their skills and abilities. Site provides access to information regarding complaint / alternative dispute resolution program, affirmative employment program, special emphasis program, and other information

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DoD Sub-group

DoD Sub-group Continued

Topic, Author, Source	Topic Theme	Summary of Findings
The Heritage Foundation, Special Report #149, Sexual Assault in the Military: Understanding the Problem and How to Fix It, Charles "Cully" Stimson, 6 Nov 2013	Commander's Tools	A commanding officer in the military has a wide range of tools available to enforce good order and discipline. These tools include mild administrative remedies, such as informal counseling, formal counseling, Executive Officer Inquiry, and non-judicial punishment under Article 15 of the Uniform Code of Military Justice. These administrative tools allow for flexible, quick, and effective discipline to address misbehavior or lack of attention to detail by those who violate rules. They help the commander show the troops that there are consequences, immediate and swift, for poor decisions or performance and minor misdeeds. The ultimate administrative remedy is the ability to "fire" a service member for misconduct. The power to send a soldier, sailor, airman, or Marine to an Administrative Discharge Board (referred to as an "Admin Board" in the military) sends a clear message to all those who serve under the commanding officer: There will be consequences for misconduct or neglect of duty. The ultimate remedy for any commanding officer is the power to refer a suspected criminal in the chain of command to a court-martial. Taking that power away from commanding officers eliminates an indispensable authority that cannot be delegated or transferred to another—at least not if we are to demand accountability from commanders for prosecuting and preventing sexual assaults and other serious crimes. This paper argues that in order to make the military criminal justice system work better for victims and defendants alike, is for the Army, Air Force, and Marine Corps to do as the Navy JAG Corps has done and establish a litigation career track for their JAGs.
http://smapp.rand.org/multi/military/innovative-practices/catalog/details.php?id=289	Efforts to assess success	The Army SHARP Program conducts web-based assessments and online surveys in the community, and it works to evaluate the methods (public awareness campaigns, victim advocacy, etc.) it uses. - GAO conducted a review of the SAPR program (across the services) and provided specific comments about the Army program. Two other GAO reviews on sexual assault and sexual harassment are under way. - Other reviews/evaluations include those by a Defense Task Force, the DoD IG, and the Department of the Army IG. Finally, each command is inspected by the IG and must deliver an assessment of the Army SHARP program annually.

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DoD Sub-group

DoD Sub-group Continued

Topic, Author, Source	Topic Theme	Summary of Findings
Department of Defense – Annual Report on Sexual Assault in the Military FY 2013 http://www.sapr.mil/public/docs/reports/FY13_DoD_SAPRO_Annual_Report_on_Sexual_Assault.pdf	Measurements	Reports of alleged sexual assault increased in all four Military Services. In total, the DoD received 5,061 reports of alleged sexual assault involving one or more Service members as either the victim or alleged subject (suspect) – a 50 percent increase over the 3,374 reports of received in FY12. - Of the 5,061 reports, about 54 percent involved Service member on Service member crime. - The 5,061 reports involved 4,113 Service member victims making a report for an incident that occurred while they were in military service. - Of the 5,061 reports in FY13, 3,768 were Unrestricted Reports and 1,293 remained Restricted at the end of the year. - Approximately 10 percent of the 5,061 reports of sexual assault were for sexual assault incidents that occurred prior to a member's military service. - Of the 3,234 subjects with case dispositions reported in FY13, the Department had legal authority over 2,149 (66 percent) of them. - Of the 2,149 Service member cases considered by convening authorities for action, sufficient evidence existed to take some kind of action against 1,569 of them (73 percent). This action could have been for a sexual assault crime or any other misconduct identified during the criminal investigation. - Of the 1,187 subjects who received action on a sexual assault offense: - 71 percent had court-martial charges preferred (initiated) - 18 percent were entered into nonjudicial punishment proceedings under Article 15, UCMJ - 12 percent received an adverse administrative action or discharge The Department assesses the unprecedented increase in reports received in FY13 as consistent with a growing level of confidence in the DoD response system

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DoD Sub-group

DoD Sub-group Continued

Topic, Author, Source	Topic Theme	Summary of Findings
Department of Defense – Annual Report on Sexual Assault in the Military FY 2013 http://www.sapr.mil/public/docs/reports/FY13_DoD_SAPRO_Annual_Report_on_Sexual_Assault.pdf	Metrics	SAPR Metrics 1.0 consists of six, Military Service-validated data points that measure trends and capture snapshots of programs and initiatives. The trends measured include: - Metric 1 – Reports of Sexual Assault; - Metric 2 – Military Victim Reports Per 1000 Service Members; - Metric 3 – Percentage of Sexual Assault Reports for Incidents Occurring Prior to Service; and - Metric 4 – Voluntary Conversions from Restricted to Unrestricted Reports. The snapshots captured in SAPR Metrics 1.0 include: - Metric 5 – Investigation Length; and - Metric 6 – Full Time SAPR Personnel Certification The DoD will continue to refine and develop additional metrics and transparently report the findings. The Military Services will conduct, at their discretion, their own surveys, focus groups, and program assessments to measure progress of their respective SAPR programs.

Colleges/Universities Sub-group

College/Universities Sub-group

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
University of New Haven **New Haven, Connecticut**	Incoming freshman lack knowledge of and experience with different cultural / race / ethnicity / gender identity / sexual orientation groups. Can contribute to hostility / poor learning environment throughout a student's tenure.	The SPEAK UP! Campaign from the Southern Poverty Law Center focuses on encouraging students/faculty to confront intolerant behavior during their everyday lives. ~~~ UNH Safe Zone training is designed to encourage a more inclusive environment for their LGBTQ community. It includes a workshop. A majority of attendees are heterosexual. ~~~ UNH collaborates with the Simon Wiesenthal Center in NYC for religious respect issues. This program originated out of the Criminal Justice Program but has been expanded to help UNH address religious diversity issues.	Policies - NSTR

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Colleges/Universities Sub-group

College/Universities Sub-group Continued

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
Connecticut College **New London, Connecticut**	Conn College has had problems with getting students to report bias/respect issues. Conn does not allow anonymous reports. Students appear to have an aversion to any type of confrontation. ~~~ Conn College has experienced a greater frequency of respect incidents and issues stemming from Facebook and Online disputes. Students who might find it difficult to say disrespectful things to a person's face find it easier to engage that person using their phone or computer.	The Green Dot Program for Bystander Intervention includes a volunteer only workshop. Conn College intends to leverage increased Bystander Intervention against respect issues which include sex assault, discrimination drug/alcohol abuse etc. Students acting in accordance with Conn's Honor Code will intervene to help others and will make accurate reports to legitimate authority. ~~~ Conn College does want to start gathering data to better assess how much of a problem exists. Conn has launched an anonymous tracking form/database to allow students to log issues. Moving forward, Conn intends to use this database as a means of tracking activity. Conn will not use this database to pursue cases.	Policies - NSTR

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Colleges/Universities Sub-group

College/Universities Sub-group Continued

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
Central Michigan University **Mount Pleasant, Michigan**	University administration aggressively dealing with reports of assault. They typically do not want the PR attention that there is a problem. The interviewee stated that universities with low assault numbers are essentially hiding the truth and in actuality, the numbers are likely much higher…they are denying the problem to "look better".	They use "Don't be a Zebra". It is a live presentation discussing sexual assault issues and specifically provides the students with techniques and ideas for effective bystander intervention. They have found it to be very effective. ~~~ They have peer advocates, similar to the Coast Guard's victim advocate program. They also have a mandatory new student introduction seminar that, in part, addresses COR and bystander intervention issues.	Policies - NSTR ~~~ The Department of the Navy is apparently using the "Don't be a Zebra" video for their personnel.

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Colleges/Universities Sub-group

College/Universities Sub-group Continued

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
University of San Francisco **San Francisco, California**	Bias and "microaggression". Biases are assumptions, values, and beliefs that show up in the work force &, classroom. Microaggessions are seemingly minor communication and behavior issues that manifest. The microaggression is covert rather than overt, directed toward race, gender, sexuality, religion, and traditions. Regardless of intent and whether conscious or unconscious, these biases and microaggresions affect campus culture in dorms, classrooms, and offices.	Very clear policy to address bias in the university is being developed. ~~~ A climate survey targeting both faculty and students will soon be distributed. The last climate survey was 2010 and only targeted faculty. The goal is to survey every 3 years. ~~~ A very successful campaign has been "Think About It"; an engaging and creative computer based training program designed by a commercial company. There has been very positive response. Students choose scenarios of interest, make decisions as they progress thru the scenarios and the decisions drive the outcome of the scenario.	Policies in Place: Prevention of Sexual Assault And Other Unlawful Harassment Policy. This policy is mandated by law. Sexual Offense Policy

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Colleges/Universities Sub-group

College/Universities Sub-group Continued

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
College of William and Mary **Williamsburg, Virginia**	Main issues are sexual assault and harassment. Many students away from home for the first time and they make poor choices that make them vulnerable. Additionally, victims often don't want to report it for fear of being ostracized or having to "relive" the incident. That allows the perpetrator to gain confidence to strike again.	Red Flag Campaign is their major effort for bringing these issues to the forefront and trying to reinforce sign, symptoms, and actions that bystanders can take. This campaign uses red flags and posters-If you see a red flag-say something. It is about healthy relationships.-not just sexual. The first week you put up red flags to gain curiosity and get people talking about it. That is followed by posters which are dual sided and have frank comments showing non-examples and encouraging people to speak out (bystander action!) then the following week the posters are flipped over and posted with solutions on how to speak out. Most colleges and several military organizations are part of this campaign. Posters and flags are free. They have found that students get so excited about it each year and are now including red flags in desserts, etc. It generates discussions that are open and frank and encourages positive behavior and speaking out when you see an issue.	(b) ▮▮▮▮ has applied to be on the advisory council for the Red Flag Campaign. She will attend the summer meeting in Virginia this summer.

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Colleges/Universities Sub-group

College/Universities Sub-group Continued

School	Common COR Issues	Ongoing Efforts and Best Practices	Other Information
Tulane University **New Orleans, Louisiana**	They are focusing on 2 main fronts: Responding to individual cases and having a coordinated response and formalizing what the process looks like Looking at lower level occurrences and noting trends and direct appropriate actions from this information. ~~~ Interviewee noted that one of the things they are doing is they are defining what "it" is (sexual assault, bullying, violence, etc.) and why it is important for students to engage/take action. Indicated that the campus has history of less political activist energy than other campuses so harder to engage students in taking action like this.	They use the Green Dot Program. ~~~ They use the online training tool "My Student Body." ~~~ Men Against Rape program being invigorated helps with managing the safeline – their student hotline https://tulane.edu/studentaffairs/violence/saphe.cfm have activities like "Take back the night" going into the fraternity and sorority houses talking with them – much more effective than a "staff" member going in… ~~~ Case Response Meeting – It is a monthly meeting to discuss any cases that are being processed. It does not include any medical personnel but does include their behavioral health partners. Purpose is to ensure coordinated care on specific cases.	They have a screener at District Attorney that they work closely with. ~~~ Policies in Place: Equal Opportunity and Anti-Discrimination http://tulane.edu/equity/upload/EO-Policy-8-2013.pdf Code of Student Conduct http://tulane.edu/studentaffairs/conduct/code.cfm ~~~ They are drafting another specific policy for Sexual Harassment and Sexual Violence.

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Colleges/Universities Sub-group

College/Universities Sub-group Continued			
School	**Common COR Issues**	**Ongoing Efforts and Best Practices**	**Other Information**
University of Mary **Bismark, North Dakota**	Social Media seems to be the biggest avenue for "attacks" on individuals and usually take the form of bullying and harassment issues. Twitter has the largest amount of incidences, followed by Facebook. ~~~ They believe most of these COR issues are underreported – some years they will have no reports, ~~~ They focus on prevention efforts with freshman mostly because students tend to not want to attend these types of prevention trainings	Student orientation uses peer educators (They are overseen by "Health Pro" and are paid students that come in and will talk with groups, dorms, etc about various topics like sexual assault, alcohol, etc. ~~~ Also have a great flyer called "Toilet Talk" (very nonjudgemental) and the Clothes-line Project (t-shirts lined up for awareness of sexual assault). ~~~ Benedictine values are cornerstone of university as a Catholic school. Mostly hospitality, respect for persons and community value. These all encourage how others are treated and it is encouraged throughout the organization and campus. ~~~ Servant Leadership is also very big – it promotes thinking outside of themselves and towards a person in need. They use this in everything they do, including how they form their residence populations in the dorms.	Policies in Place: Sexual misconduct (which includes sexual assault) https://my.umary.edu/ICS/icsfs/Sexual_Misconduct_Policy.pdf?target=3573c818-b1b2-4369-ac97-9f0b5beeab37 Anti-discrimination and Harassment https://my.umary.edu/ICS/icsfs/Discrimination_Harassment-12-2013.pdf?target=70a49b00-c2e9-4e48-b6ba-2909499fed6f Hazing https://my.umary.edu/ICS/icsfs/Hazing.pdf?target=b690bf53-37cd-4491-bd2c-7be59405f0b0 They are thinking about writing a specific policy for bullying. They believe more people are coming forward regarding bullying.

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Current Efforts & Policy Sub-group

Current Efforts & Policy Sub-groups
COR IPT analysts from PTC have included content from raw data collected by these teams throughout the report and therefore are not repeated in the data/findings and recommendations here.

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Private Sector Sub-Group

Private Sector Sub-group

- **Navy Federal Credit Union:** Robust on-boarding training that emphasizes the importance of respect; carries a no tolerance rule, so even the accusation alone of any kind of discrimination is handled with immediate suspension until investigation is complete.
- **AirGo USA:** CEO puts a memo out focusing on zero tolerance. A video on the topic is also the same message. All respect issues are covered in the company handbook as well as new member orientation. Members are required to sign that they understand the zero tolerance policy. They stress consequences. They stressed that if you want to have a true culture of respect, the investigators need to be objective and reputable.
- **Whalen Rex Hospital, University of North Carolina**: conduct simulations scenarios and practice respectful communication in emergent situations along with treatment modalities. Zero tolerance policies in place.
- **Verizon Wireless:** Recognition program which praises employees who are doing great things and making improvements. Recognition awards include financial rewards, food, and Verizon products. Code of business conduct encompasses all aspects pertaining to culture of respect. Corrective actions: warning, letter of concern, written warning and final warning. If subsequent issue or the initial issue is egregious, the employee is terminated immediately.
- **Wal-Mart Corporate**: Ethos from Sam Walton: "Personal and moral integrity is one of our basic fundamentals and it has to start with each of us." 11 guiding principles: Always act with integrity; Lead with integrity, and expect others to work with integrity.; Follow the law at all times.; Be honest and fair.; Reveal and report all information truthfully, without manipulation or misrepresentation.; Work, actions, and relationships outside of your position with the company should be free of any conflicts of interest; Respect and encourage diversity, and never discriminate against anyone; Ask your manager or the Global Ethics Office for help if you have questions about this Statement of Ethics, or if you face an ethical problem.; Promptly report suspected violations of the Statement of Ethics.; Cooperate with and maintain the private nature of any investigation of a possible ethics violation.; When involved in an ethics investigation, you should reveal and report all information truthfully. You should present all the facts you are aware of without personal opinion, bias, or judgment. They have a global ethics office were employees and customers can report ethical concerns. Employees who file will receive their follow-up reports and statuses online. All employees are trained and receive specific computer-based training. Annual requirement to take refresher training (2-3 hours). Note: Wal-Mart has had cases of sexual harassment and retaliation in which they have paid up to $394,000 (case of Jamie Well vs. Wal-Mart 3/25/14).

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Private Sector Interviews by PTC Analysts

Private Sector Interviews Conducted by COR IPT Analysts

- **Disney:** Mandatory compliance training includes workplace violence and SAPR and then they get follow on e-learning and instructor-led courses. The company thrives on a courteous nature. They do audience analysis which shows that people don't only come back for rides and features, but because they are treated special. They do very thorough screening of personnel. They fire people who are disrespectful. Consequences are explained at hiring. They get feedback from customer evaluation cards which goes to senior leadership and are followed up on. They get cultural sensitivity training. They have international employees that are housed in barracks so have similar issues to the CG with added issues of communication barriers. Instructors are vetted carefully. They must be members so they experience what it is like to work in the park and then they select the high performers from that pool. The instructors get specialized training. Disney has "Gay Days" where they are not afraid to show they don't discriminate. The park has strict rules of conduct for all visitors to the park. Relationships with peers is strongly stressed and is the trust and respect that is shown that makes it a community of practice in everyday work-life.

- **Southwest:** They treat each of the employees and each other as customers. They celebrate successes, holidays, birthdays. They have workshops where they use real examples of things that have happened to use as lessons-learned and so they don't happen again. They do a thorough check on employees including background checks, former military network recommendations, and pilot log books. They have Southwest University. They have mandated training "It's a Matter of Respect" (2-3 hour training). The VP walks around to get to know people personally. He fosters dialogue and really does have an open door policy. They have a safety hotline and any reports must be acted on. Harassment/discrimination training is done face-to-face and is scenario based. They create a party, happy atmosphere for all employees and are encouraged to have fun on the job. They hire based on not only skills but fit in with the team.

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Private Sector Interviews by PTC Analysts

Private Sector Interviews Conducted by COR IPT Analysts

- **Chick-fil-a:** Based on Christian principles yet they do not discriminate. Analysts asked what makes it a good place to work outside of the religious aspects. He indicated that one of the strongest morals they strive for is respect. They pick the right people-do multiple interviews, reference checks, and encourage people within to provide referrals. It is very difficult to buy a franchise and the owner must have only that as their job -no other work. Owner must have a masters degree. They must work in their franchise at least part-time and they do all of the hiring/firing personally. When someone is hired, the owner goes over the policy handbook , which is very specific and explains all consequences for any actions. They personally teach the employee how to WOW the customer by working and having the new hire follow them. They have high standards for the way people look (professional) and how they act towards each other and the customers. They are to treat each other as customers. The owner interviewed said, "We are tough and expect our employees to respect themselves and those around them". They then have the new hire work with another model employee and the owner provides them a free meal to "honor them". After the first day they get video training and on-line testing as well as hands-on training. People are held accountable-they mean it when they say there is no tolerance for discrimination, harassment, etc. They are not allowed to cuss, tell inappropriate jokes, etc. "cracks lead to fractures." "It's all about leadership-have to pick the right people to reflect our priorities and we have to reinforce and hold people accountable.

- **Jet Blue:** Focus is on customer experience. Take care of crew members, not just pilots-everyone in the company. If you take care of employees they take care of customers. "Bring humanity back to the air". Allow human philosophy values we uphold. Five values: Safety, Caring, Integrity, Passion (doing the job above and beyond) and Fun. We can develop skills and knowledge but not attitude. We focus on scenario based, story telling hiring interviews and how they respond. Look at attitude. Every employee (they hire 150-200 new crew members every other week) gets face time with Senior Leadership. They have Respectful Workplace Month. They have training on harassment, discrimination and are very specific as to how it will not be tolerated and consequences. Human Resource has a road show presentation. Leadership training is combination of classroom and e-learning. If you are harassed or see it, you can anonymously report it. It then becomes a case and is investigated. There is a bill of rights for customers-promised to customers with a refund of ticket if it is ever broken.

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Appendix D
Additional Examples of CG COR Violations

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The following case highlights an example of a military member who retired from active duty in the CG and returned as a civilian employee. As stated in ENV 4, "the CG does not actively track members held administratively accountable or discharged because of COR violations. Upon retirement, some of these members are hired into Coast Guard civil service positions."

Sanitized Case #1

Civilian who is a religious minority. Civilian boss would make discriminatory comments during meetings with clients. After the fifth time, the civilian went to his office and privately asked him to stop. He agreed and did stop. He then retaliated and threatened her and her job.

Quoting the EEOC Administrative Judge in the Decision: Analysis & Findings: "Following Complainant's opposition to [Supervisors] behavior, he began to retaliate against her. This retaliatory conduct took a number of forms, including downgrading Complainant's performance evaluation, removing her from projects, removing her from leadership roles, suspending her computer privileges, and moving her work station." "Although [the supervisor] denied these things were done in retaliation for Complainants EEO activity, I did not find him to be a credible witness." "...he has given contradictory testimony throughout this proceeding, particularly with regard to the issue of whether he has previously been involved in EEO activity. He also denied in his deposition that he had ever been involved in any complaint of sexual harassment or any EEO complaint whatsoever. Following his testimony, however, Complainant's Counsel confronted him with evidence of a sexual harassment complaint in which he was involved when he was a uniform member of the military. Later in the testimony he testified that he could not remember if he got a letter of reprimand as a result of the sexual harassment investigation. At the continuation of his deposition he eventually admitted he had received a letter of reprimand." "This testimony [referring to Supervisor's testimony regarding sexual harassment case] is simply not credible. If he did not know that EEO encompasses sexual harassment, then he has no business being a supervisor in the Federal Government. Second, his lack of memory as to whether he received a letter of reprimand with regard to that sexual harassment complaint is difficult to fathom, given that the disciplinary action was apparently issued near the tail-end of his military career." [He was demoted and given an option to retire]. "In addition to his lack of credibility, I must note two things here regarding the basis of reprisal. First, the poor timing of some of the actions taken against Complainant is almost beyond belief. For instance, following the depositions of several of the Complainants co-workers, he requested that Complainant's computer privileges be suspended and that her office be moved." "He admitted, however that he had no reason to believe Complainant took any files." "Nonetheless, based on unfounded complaints of co-workers under deposition, he requested that Complainants computer access privileges be suspended. [She was unable to work at all during this time. She went to her supervisor's supervisor and he indicated that he had told her supervisor not to remove access.]

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Sanitized Case #1

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"The 2nd level Supervisor admitted in his testimony that he moved Complainant because the work environment was very raw as a result of the depositions of these employees. Another example of poor timing is the removal of Complainant from the succession to leadership, two days after the mediation session." Finally I note the marked downgrade of Complainant's performance in 3 months, after she filed the complaint. The Supervisor a few days prior to Complainant filing her complaint "described the Complainant's performance as at a "very high level", but a few months later, she was experiencing difficulty meeting some of her core competencies".

The day after his first day of deposition, he came by the cube next to her and was talking over the cube to the contractor next to her loud enough for her to hear and said you know I know this great guy that sells guns. "He is the type of guy I would hire if I wanted to make someone disappear", She felt this was a direct threat to her and went to the civil rights officer on base to discuss it and to let him know in case anything happened to her. He said no worries-just boys being boys. She then filed a statement with security in case something happened to her. She was/is truly afraid of him.

"Second, I note the "circling of the wagons" by him in this matter, specifically his gathering of after-the-fact complaints against Complainant as part of this litigation. His first rounding up of negative statements regarding Complainant's performance first occurred in conjunction with the investigation of this complaint. His second rounding up of such statements occurred in response to a discovery request from Complainant's Counsel. The discovery requests from Complainant asked for documentation of clients who had complained about Complainant and documentation from co-workers or related to coworker's complaints regarding Complainant. In response, to the Complainant's discovery request, he interviewed coworkers and customers and had them provide statements to him rather than providing statement/complaints that already existed. Regarding these complaints, the weight of the evidence revealed that many of them were unfounded. In fact, the record revealed that many of the customer complaints were the result of the Complainant following her Supervisor's orders to "hold the line" or "stay the course"". "The weight of the evidence demonstrated that a co-worker's changes to Complainant's document were largely related to punctuation and formatting and were not at all substantive."

"Finally, I find that the harassment had the purpose or effect of unreasonable interfering with the work environment and creating an intimidating, hostile, or offensive work environment...in which Complainant was ostracized and humiliated." "Having carefully considered the facts in this case, I find the Complainant is entitled to non-pecuniary damages...I have considered the nature and severity of the discrimination, as well as the nature and severity of Complainant's emotional, as well as physical, pain and suffering."

There was then an appeal by the Coast Guard indicating she had not suffered enough to provide the amount of monies the EEOC Administrative Judge awarded.

Sanitized Case #1

(continued from previous page)

The results of the appeal were as follows: "In this case the Commission [EEOC] finds that the AJ properly determined that complainant established a causal nexus between the alleged non-pecuniary harm and the discrimination." "The Commission finds that complainant is entitled to non-pecuniary damages. We determine that the AJ's award is supported by substantial evidence…" "Finally, we determine that this amount meets the goals of not being motivated by passion or prejudice, not being "monstrously excessive" standing alone, and being consistent with the amounts awarded in similar cases."

"The Agency is ordered to take the following remedial action within sixty days from the date the decision becomes final:

Tender to complainant non-pecuniary compensatory damages.

The Agency shall take corrective, curative and preventive action to ensure that harassment and discrimination does not recur, including, but no limited to providing training on EEO laws and regulations to the responsible management official, with particular emphasis on EEO regulations concerning harassment, reprisal, and religious discrimination. Within 30 calendar days of the date the training is complete, the agency shall submit to the Compliance Officer appropriate documentation evidencing completion of such training.

The agency shall consider taking appropriate disciplinary action against the responsible management official, if he is still employed by the agency. The Commission does not consider training to be disciplinary actions. The agency shall report its disciplinary action to the compliance officer with specificity. If the individual has left the agency's employ, the agency shall furnish documentation of his or her departure…"

The Supervisor was required to go to training and received a written admonishment which a copy was provided to the Complainant. The last statement in this "admonishment" is quoted: "This letter will not be filed in your official performance file...This written admonishment will be in effect for a period of 1 year from the date issued and a copy kept in my files". It was written by his Supervisor. He is still employed at the same location as a Supervisor and has since applied for a position (promotion) in the same department as the Complainant.

The Complainant had to take money out of her retirement to pay for her lawyer, which after 5 years of going through this case, cost well over $150,000. The Supervisor was provided a CG lawyer at no cost. She was eventually moved to another location but he was still in charge of evaluating her and giving her projects (1 year). She experienced many of the same physical problems that PTSD and assault victims experience. Even though she won the case and was reimbursed the money as well as money for suffering through what she did, the money will never give her back what she really lost. Her self-confidence and trust in people was destroyed. She was moved to two different locations then her billet was removed and she was put in another position. A year later, he was listed as a Sexual Assault Victim Advocate. In order to get this designation, his Supervisor had to sign off that there was no background of any issues. Five other women (not the Complainant) came forward to protest him being a VA. He was removed from being a VA.

The following three cases highlight a few of the different ways to charge sexual harassment in the military justice system. As stated in ENV 22, "based on extant data and interviews, the way the Coast Guard tracks sexual harassment, sexual assault, and discrimination issues is not efficient or effective and can lead to inaccurate data."

Sanitized Case #2

CHARGE SHEET

I. PERSONAL DATA

1. NAME OF ACCUSED (Last, First, Middle Initial)	2. SSN	3. GRADE OR RANK	4. PAY GRADE
████	████	AMT2	E-5

5. UNIT OR ORGANIZATION	6. CURRENT SERVICE	
████	a. INITIAL DATE 07AUG2008	b. TERM 4 years

7. PAY PER MONTH			8. NATURE OF RESTRAINT OF ACCUSED	9. DATE(S) IMPOSED
a. BASIC	b. SEA/FOREIGN DUTY	c. TOTAL	None	N/A
2,811.00	0.00	2,811.00		

II. CHARGES AND SPECIFICATIONS

10. CHARGE: VIOLATION OF THE UCMJ, ARTICLE

   SPECIFICATION:

   SEE ATTACHED PAGES

III. PREFERRAL

11a. NAME OF ACCUSER (Last, First, Middle Initial)	b. GRADE	c. ORGANIZATION OF ACCUSER
████	MKC	████

d. SIGNATURE OF ACCUSER	e. DATE (YYYYMMDD)
████	20090519

AFFIDAVIT: Before me, the undersigned, authorized by law to administer oath in cases of this character, personally appeared the above named accuser this __19__ day of ____May____, __2009__, and signed the foregoing charges and specifications under oath that he/she is a person subject to the Uniform Code of Military Justice and that he/she either has personal knowledge of or has investigated the matters set forth therein and that the same are true to the best of his/her knowledge and belief.

████	████
Typed Name of Officer	Organization of Officer
LCDR/O-4 Grade	Staff Judge Advocate Official Capacity to Administer Oath (See R.C.M. 307(b)_ must be commissioned officer)
████ Signature	

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12.
On ___19 May___, ___2009___, the accused was informed of the charges against him/her and of the name(s) of the accuser(s) known to me *(See R.C.M. 308(a))*. *(See R.C.M. 308 if notification cannot be made.)*

_____   (b) (6)
Typed Name of Immediate Commander   Organization of Immediate Commander

LCDR
Grade

Signature

IV. RECEIPT BY SUMMARY COURT-MARTIAL CONVENING AUTHORITY

13.
The sworn charges were received at __1115__ hours, ___19 May___, ___2009___ at (b) (6)
Designation of Command or

Officer Exercising Summary Court-Martial Jurisdiction *(See R.C.M. 403)*

FOR THE [1] _____

_____   Commanding Officer, (b) (6)
Typed Name of Officer   Official Capacity of Officer Signing

Captain
Grade

Signature

V. REFERRAL; SERVICE OF CHARGES

14a. DESIGNATION OF COMMAND OF CONVENING AUTHORITY	b. PLACE	c. DATE (YYYYMMDD)
███████████████	████████	20090519

Referred for trial to the __Special__ court-martial convened by ___order No. 01-2009 dated___

___15 May___, ___2009___, subject to the following instructions: [2]

None.

By _____ of _____
Command or Order

_____   Commanding Officer, ███████████████
Typed Name of Officer   Official Capacity of Officer Signing

Captain
Grade

Signature

15.
On ___19 May___, ___2009___, I (caused to be) served a copy hereof on (each of) the above named accused.

_____   LCDR
Typed Name of Trial Counsel   Grade or Rank of Trial Counsel

Signature

FOOTNOTES: 1 - When an appropriate commander signs personally, inapplicable words are stricken.
2 - See R.C.M. 601(e) concerning instructions. If none, so state.

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CHARGE I: VIOLATION OF THE UCMJ, ARTICLE 92

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ██████████████ on active duty, did on diverse occasions on board ██████████████ on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.1, COMDTINST M1000.6A, dated 8 January 1988, by wrongfully engaging in sexually intimate behavior with SR (b) (6), (b) in a Coast Guard-controlled work place.

SPECIFICATION 2:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ██████████████ on active duty, did on board ██████████████ on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.1, COMDTINST M1000.6A, dated 8 January 1988, by wrongfully engaging in a personal and romantic relationship while serving as an instructor at a training command with SR (b) (6), (b) a student at his training command.

(handwritten left margin: (b) (6) 3 06AUG09)

SPECIFICATION 3:
In that Aviation Maintenance Technician Second Class (b) (6), (b) , U. S. Coast Guard, ██████████████ on active duty, having knowledge of a lawful order issued by Commanding Officer, ██████████████ to wit: paragraph 2.B.1, ██████████████ dated 11 October 2007, an order which it was his duty to obey, did on board ██████████████ on or about December 2008, fail to obey the same by engaging in personal contact with recruits within eight hours of consuming alcohol.

SPECIFICATION 4:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ██████████████ on active duty, having knowledge of a lawful order issued by Commanding Officer, ██████████████ to wit: paragraph 2.D.2, ██████████████ dated 11 October 2007, an order which it was his duty to obey, did at or near ██████████████ on or about January 2009, fail to obey the same by engaging in an inappropriate relationship with SN (b) (6), (b) (b) (6), (b) a recent graduate of recruit training.

(handwritten right margin: AS AMENDED BY MEMORANDUM 1500, DTD 12 FEB 2009, (b) (6) 06AUG09)

SPECIFICATION 5:
In that Aviation Maintenance Technician Second Class (b), (b) (6) U. S. Coast Guard, ██████████████ on active duty, having knowledge of a lawful order issued by Commanding Officer ██████████████ to wit: paragraph 2.D.2, ██████████████ dated 11 October 2007, an order which it was his duty to obey, did at or near Washougal, WA, on or about ~~September 2008~~, fail to obey the same by engaging in an inappropriate relationship with SA (b) (6), (b) ██████████████ a recent graduate of recruit training.

(handwritten left margin: SAN DIEGO, CA, AND SAN PEDRO, CA (b) (6) 06AUG09)

(handwritten right margin: AS AMENDED BY MEMORANDUM 1500, DTD 12 FEB 2009, (b) (6) 06AUG09   BETWEEN AUGUST 2008 AND JANUARY 2009 (b) (6) 06AUG09)

Continued on next page

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SPECIFICATION 6:
In that Aviation Maintenance Technician Second Class (b), (b) (6) ████ U. S. Coast Guard, ████████████ on active duty, having knowledge of a lawful order issued by Commanding Officer, ████████████ to wit: paragraph 2.B.1, ████████████ dated 11 October 2007, an order which it was his duty to obey, did at or near ████████ on or about December 2008, fail to obey the same by calling SR (b) (6), (b) by a nickname, specifically "(b), (b) (6) ████ (b) (6), (b).

CHARGE II: VIOLATION OF THE UCMJ, ARTICLE 93

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ████████████ on active duty, did on board USCG Training Center Cape May, on or about ~~July 2008~~ maltreat SR (b) (6), (b) a person subject to his orders, ~~by ordering her to crawl across an office desk to simulate a sexually provocative scene from the movie "Coyote Ugly".~~

[handwritten left margin: BETWEEN JUNE 2008 AND AUGUST 2008 (b) (6) 06AUG09]

[handwritten: BY STATING "IT WAS LIKE 'COYOTE UGLY' AND PROBABLY NOT THE FIRST TIME I HAD CRAWLED ACROSS A DESK" OR WORDS TO THAT AFFECT IN A SEXUALLY SUGGESTIVE MANNER]

SPECIFICATION 2:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ████████████ on active duty, did on board ████████ on or about January 2009 maltreat SR (b) (6), (b) a person subject to his orders, by ordering her to stand and face a wall, raise one leg against the wall, perform pelvic thrusts into the wall, moan, and tell her to "make love to the wall".

[handwritten left margin: BETWEEN NOVEMBER 2008 AND (b) (6) 06AUG09]

[handwritten right: (b) (6) 06AUG09]

CHARGE III: VIOLATION OF THE UCMJ, ARTICLE 107

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class (b) (6), (b) 'U. S. Coast Guard, ████████████ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A (b) (6), (b) CGIS, an official statement, to wit: "I never had sex with (b) (6), (b) " or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class (b) (6), (b) to be so false.

SPECIFICATION 2:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ████████████ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A (b) (6), (b) CGIS, an official statement, to wit: "I never had sex with '(b) (6), (b) " or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class (b) (6), (b) to be so false.

Continued on next page

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SPECIFICATION 3:

In that Aviation Maintenance Technician Second Class (b) (6), (b) ████, U. S. Coast Guard, █████████████████, on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A ██████ CGIS, an official statement, to wit: "I did not speak with (b) (6), (b) on or about 23 January 2009." or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class (b) (6), (b) to be so false.

CHARGE IV: VIOLATION OF THE UCMJ, ARTICLE 125

SPECIFICATION:

In that Aviation Maintenance Technician Second Class (b) (6), (b) ██ U. S. Coast Guard, ██████████████ on active duty, did on board █████████████████████ on or about December 2008 commit sodomy with (b) (6), (b) (b) (6), (b)

CHARGE V: VIOLATION OF THE UCMJ, ARTICLE 134

SPECIFICATION 1:

In that Aviation Maintenance Technician Second Class (b) (6), (b) ██ U. S. Coast Guard, ██████████████ on active duty, did at or near San Diego, California, on or about January 2009, wrongfully endeavor to impeded an investigation by the Coast Guard Investigative Service into misconduct committed by Aviation Maintenance Technician Second Class (b) (6), (b) by instructing (b) (6), (b) ████, a witness in the investigation, to mislead investigators by instructing her to deny that she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class (b) (6), (b) when in fact she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class (b) (6), (b)

SPECIFICATION 2:

In that Aviation Maintenance Technician Second Class (b) (6), (b) ██ U. S. Coast Guard, ██████████████ on active duty, did at or near ████ on or about December 25, 2009, wrongfully arrange to have SR (b) (6), (b) brought to his home by an unknowing civilian family volunteering to assist with Operation Fireside in direct violation of numerous Coast Guard and ██████ ████ regulations, and that Aviation Maintenance Technician Second Class (b) (6), (b) s conduct was of a nature to bring discredit upon the armed forces.

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CHARGE I: VIOLATION OF THE UCMJ, ARTICLE 92

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class (b), (b) (6) ██████, U. S. Coast Guard, ██████, on active duty, did on diverse occasions on board ██████ on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.1, COMDTINST M1000.6A, dated 8 January 1988, by wrongfully engaging in sexually intimate behavior with SR (b) (6), (b) in a Coast Guard-controlled work place.

SPECIFICATION 2:
In that Aviation Maintenance Technician Second Class (b) (6), (b) ██████ U. S. Coast Guard, ██████ on active duty, did on board ██████ on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.2, COMDTINST M1000.6A, dated 8 January 1988, by wrongfully engaging in a personal and romantic relationship while serving as an instructor at a training command with SR (b) (6), (b) a student at his training command.

SPECIFICATION 3:
In that Aviation Maintenance Technician Second Class (b) (6), (b) ██████ U. S. Coast Guard, ██████ on active duty, having knowledge of a lawful order issued by Commanding Officer, ██████, to wit: paragraph 2.B.1, ██████ dated 11 October 2007, an order which it was his duty to obey, did on board ██████ on or about December 2008, fail to obey the same by engaging in personal contact with recruits within eight hours of consuming alcohol.

SPECIFICATION 4:
In that Aviation Maintenance Technician Second Class (b) (6), (b) ██████ U. S. Coast Guard, ██████, on active duty, having knowledge of a lawful order issued by Commanding Officer, ██████ to wit: paragraph 2.D.2, ██████ dated 11 October 2007, an order which it was his duty to obey, did at or near ██████ on or about January 2009, fail to obey the same by engaging in an inappropriate relationship with SN (b) (6), (b) (b) (6), (b) a recent graduate of recruit training.

SPECIFICATION 5:
In that Aviation Maintenance Technician Second Class (b) (6), (b) ██████ U. S. Coast Guard, ██████, on active duty, having knowledge of a lawful order issued by Commanding Officer, ██████, to wit: paragraph 2.D.2, ██████ dated 11 October 2007, an order which it was his duty to obey, did at or near Washougal, WA, on or about September 2008, fail to obey the same by engaging in an inappropriate relationship with SA (b) (6), (b) ██████ a recent graduate of recruit training.

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SPECIFICATION 6:

In that Aviation Maintenance Technician Second Class **(b) (6), (b)** U. S. Coast Guard, **[redacted]**, on active duty, having knowledge of a lawful order issued by **[redacted]**, to wit: paragraph 2.B.1 **[redacted]** dated 11 October 2007, an order which it was his duty to obey, did at or near **[redacted]** on or about December 2008, fail to obey the same by calling SR **(b) (6), (b)** by a nickname, specifically "**(b) (6), (b)**".

CHARGE II: VIOLATION OF THE UCMJ, ARTICLE 93

SPECIFICATION 1:

In that Aviation Maintenance Technician Second Class **(b) (6), (b)**, U. S. Coast Guard, **[redacted]** on active duty, did on board **[redacted]**, on or about July 2008 maltreat SR **(b) (6), (b)** a person subject to his orders, by ordering her to crawl across an office desk to simulate a sexually provocative scene from the movie "Coyote Ugly".

SPECIFICATION 2:

In that Aviation Maintenance Technician Second Class **(b) (6), (b)**, U. S. Coast Guard, **[redacted]** on active duty, did on board **[redacted]**, on or about January 2009 maltreat SR **(b) (6), (b)** a person subject to his orders, by ordering her to stand and face a wall, raise one leg against the wall, perform pelvic thrusts into the wall, moan, and tell her to "make love to the wall".

CHARGE III: VIOLATION OF THE UCMJ, ARTICLE 107

SPECIFICATION 1:

In that Aviation Maintenance Technician Second Class **(b) (6), (b)**, U. S. Coast Guard, **[redacted]**, on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A **(b) (6), (b)** CGIS, an official statement, to wit: "I never had sex with SN **(b) (6), (b)**" or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class **(b) (6), (b)** to be so false.

SPECIFICATION 2:

In that Aviation Maintenance Technician Second Class **(b) (6), (b)**, U. S. Coast Guard, **[redacted]**, on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A **(b) (6), (b)** CGIS, an official statement, to wit: "I never had sex with SA **(b) (6), (b)**" or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class **(b), (b) (6)** to be so false.

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SPECIFICATION 3:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, _____ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A (b) (6), (b) CGIS, an official statement, to wit: "I did not speak with SN (b) (6), (b) on or about 23 January 2009." or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class (b) (6), (b) to be so false.

CHARGE IV: VIOLATION OF THE UCMJ, ARTICLE 125

SPECIFICATION:
In that Aviation Maintenance Technician Second Class (b), (b) (6) U. S. Coast Guard, _____, on active duty, did on board USCG Training Center Cape May, on or about December 2008 commit sodomy with SR (b) (6), (b) (b) (6), (b).

CHARGE V: VIOLATION OF THE UCMJ, ARTICLE 134

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, _____ on active duty, did at or near San Diego, California, on or about January 2009, wrongfully endeavor to impeded an investigation by the Coast Guard Investigative Service into misconduct committed by Aviation Maintenance Technician Second Class (b) (6), (b) by instructing SA (b) (6), (b) a witness in the investigation, to mislead investigators by instructing her to deny that she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class (b) (6), (b) when in fact she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class (b) (6), (b).

SPECIFICATION 2:
In that Aviation Maintenance Technician Second Class (b) (6), (b), U. S. Coast Guard, _____ on active duty, did at or near _____ on or about December 25, 2009, wrongfully arrange to have SR (b) (6), (b) brought to his home by an unknowing civilian family volunteering to assist with Operation Fireside in direct violation of numerous Coast Guard and _____ regulations, and that Aviation Maintenance Technician Second Class (b) (6), (b)'s conduct was of a nature to bring discredit upon the armed forces.

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U.S. Department of Homeland Security

United States Coast Guard

Commanding Officer
United States Coast Guard
Legal Service Command

300 East Main Street, Suite 400
Norfolk, VA 23510-9100
Staff Symbol: (lj)
Phone: (b) (6)
Fax: 757-628-4217

5815
23 Sep 09

MEMORANDUM

From: (b) (6), (b) ___ LT
Trial Counsel

To: _____

Subj: REPORT OF RESULTS OF TRIAL ICO U.S. V. AMT2 (b) (6), (b)

1. Pursuant to Manual for Court-Martial (2008 ed.), R.C.M 1101(a), notification is hereby given in the Special Court-Martial case of United States v. AMT2, (b) (6), (b) (b) (6), (b)

2. Trial by Special Court-Martial by military judge alone was held on 22 September 2009, as convened by Commanding Officer, _____

3. Offenses, pleas and finding:

Charges and Specifications

CHARGE I: VIOLATION OF UCMJ, ARTICLE 92

SPECIFICATION 1: In that Aviation Maintenance Technician Second Class, (b) (6), (b) U. S. Coast Guard, _____ on active duty, did on diverse occasions on board USCG _____ on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.1, COMDTINST M1000 6A, dated 8 January 1988, by wrongfully engaging in sexually intimate behavior with SR (b) (6), (b) in a Coast Guard-controlled work place.

Pleas: **GUILTY**
Finding: **GUILTY**

SPECIFICATION 2: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, _____ on active duty, did on hoard _____, on or about December 2008 violate a lawful general order, to wit: paragraph 8.H.2.g.3; COMDTINST M1000.6A, dated 8 January 1988, by wrongfully engaging in a personal and romantic relationship while serving as an instructor at a training command with SR (b) (6), (b) a student at his training command.

Pleas: **GUILTY**
Finding: **GUILTY**

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Subj: REPORT OF RESULTS OF TRIAL ICO U.S. V. AMT2   5815
(b) (6), (b)   23 Sep 09

SPECIFICATION 3: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, on active duty, having knowledge of a lawful order issued by Commanding Officer, to wit: paragraph 2.B.1, dated 11 October 2007, an order which it was his duty to obey, did on board on or about December 2008, fail to obey the same by engaging in personal contact with recruits within eight hours of consuming alcohol.

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

SPECIFICATION 4: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, on active duty, having knowledge of a lawful order issued by Commanding Officer, to wit: paragraph 2.D.2, dated 11 October 2007, an order it was his duty to obey, did at or near , on or about January 2009, fail to obey the same by engaging in an inappropriate relationship with SN (b), (b) (6) a recent graduate of recruit training.

Pleas: **GUILTY**
Finding: **GUILTY**

SPECIFICATION 5: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, on active duty, having knowledge of a lawful order issued by Commanding Officer, to wit: paragraph 2.D.2, dated 11 October 2007, as amended by memorandum 1500, dtd 12 February 2008, an order which it was his duty to obey, did at or near Washougal, WA, San Diego, CA, and San Pedro, CA on or about between August 2008 and January 2009, fail to obey the same by engaging in an inappropriate relationship with SA (b) (6), (b) a recent graduate of recruit training.

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

SPECIFICATION 6: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, on active duty, having knowledge of a lawful order issued by Commanding Officer, to wit: paragraph 2.B.1, dated 11 October 2007, an order which it was his duty to obey, did at or near Cape May, New Jersey, on or about December 2008, fail to obey the same by calling SR (b) (6), (b) by a nickname, specifically "(b) (6), (b)".

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

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Sanitized Case #2

Subj: REPORT OF RESULTS OF TRIAL ICO U.S. V. AMT2 (b) (6), (b)   5815
23 Sep 09

CHARGE II: VIOLATION OF UCMJ, ARTICLE 93

SPECIFICATION 1: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard. ▮ on active duty, did on board ▮ on or about between June 2008 and August 2008 maltreat SR (b) (6), (b) a person subject to his orders, by stating: "it was like 'Coyote Ugly and probably not the first time I had crawled across a desk," or words to that effect in a sexually suggestive manner.

Pleas: **GUILTY**
Finding: **GUILTY**

SPECIFICATION 2: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard. ▮ on active duty, did on board ▮ on or about between November 2008 and January 2009 maltreat SR (b) (6), (b) a person subject to his orders, by ordering her to stand and face a wall, raise one leg against the wall, and "make love to the wall."

Pleas: **NOT GUILTY**
Finding: **GUILTY**

CHARGE III: VIOLATION OF UCMJ, ARTICLE 107

SPECIFICATION 1: In that Aviation Maintenance Technician Second Class (b) (6) ▮, U. S. Coast Guard, ▮ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A (b), (b) (6) CGIS, an official statement, to wit: "I never had sex with SN (b) (6), (b) " or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class (b) (6), (b) to be so false.

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

SPECIFICATION 2: In that Aviation Maintenance Technician Second Class (b) (6), (b) U. S. Coast Guard, ▮ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A (b) (6), (b) CGIS, an official statement, to wit: "I never had sex with SA (b) (6), (b) " or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class, (b) (6), (b) to be so false.

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

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Subj: REPORT OF RESULTS OF TRIAL ICO U.S. V. AMT2 **(b) (6), (b)**   5815
23 Sep 09

SPECIFICATION 3: In that Aviation Maintenance Technician Second Class **(b) (6), (b)** U. S. Coast Guard, ▮▮▮▮▮▮▮▮ on active duty, did at or near San Diego, California, on or about January 2009, with intent to deceive, make to S/A **(b) (6), (b)** CGIS, an official statement, to wit: "I did not speak with SN **(b) (6), (b)** on or about 23 January 2009." or words to that effect, which statement was totally false, and was then known by the said Aviation Maintenance Technician Second Class **(b) (6), (b)** to be so false.

Pleas: **GUILTY**
Finding: **GUILTY**

CHARGE IV: VIOLATION OF THE UCMJ, ARTICLE 125

SPECIFICATION: In that Aviation Maintenance Technician Second Class **(b) (6), (b)** U. S. Coast Guard, ▮▮▮▮▮▮▮▮ on active duty, did on board ▮▮▮▮▮▮▮▮ on or about December 2008 commit sodomy with SR **(b) (6), (b)**

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

CHARGE V: VIOLATION OF UCMJ, ARTICLE 134

SPECIFICATION 1:
In that Aviation Maintenance Technician Second Class **(b) (6), (b)** U. S. Coast Guard, ▮▮▮▮▮▮▮▮ on active duty, did at or near San Diego, California, on or about January 2009, wrongfully endeavor to impede an investigation by the Coast Guard Investigative Service into misconduct committed by Aviation Maintenance Technician Second Class **(b) (6), (b)** by instructing SA **(b) (6), (b)** **(b) (6), (b)** a witness in the investigation, to mislead investigators by instructing her to deny that she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class **(b) (6), (b)** when in fact she had engaged in sexual intercourse with Aviation Maintenance Technician Second Class **(b) (6), (b)**

Pleas: **GUILTY**
Finding: **GUILTY**

SPECIFICATION 2: In that Aviation Maintenance Technician Second Class **(b) (6), (b)** U.S. Coast Guard, ▮▮▮▮▮▮▮▮ on active duty, did at or near ▮▮▮▮▮▮▮▮ on or about December 25, 2009, wrongfully arrange to have SR **(b) (6), (b)** brought to his home by an unknowing civilian family volunteering to assist with Operation Fireside in direct violation of numerous Coast Guard and ▮▮▮▮▮▮▮▮ regulations, and that Aviation Maintenance Technician Second Class **(b) (6), (b)** conduct was of a nature to bring discredit upon the armed forces.

Pleas: **NOT GUILTY**
Finding: **WITHDRAWN**

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Subj: REPORT OF RESULTS OF TRIAL ICO U.S. V. AMT2   5815

(b) (6), (b)   23 Sep 09

4. Sentence Adjudged: 5 months confinement, Reduction to Paygrade E-1, Bad Conduct Discharge.

5. Date sentence adjudged: 23 Sep 09

6. Pre-trial Confinement: None.

7. Terms from the pre-trial agreement concerning this sentence:

Punitive Discharge: May be approved as adjudged.

Confinement: May be approved as adjudged. However, all confinement in excess of ONE HUNDRED TEN (110) days will be disapproved.

Forfeitures or Fines: May be approved as adjudged.

Reduction: May be approved as adjudged.

Other Lawful Punishments: May be approved as adjudged.

                                    #

Copy: (b), (b) (6)   USCG, Military Judge
      (b) (6), (b)   JAGC, USN, Detailed Defense Counsel
      CG-094
      PPC (epm)

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CHARGE SHEET

I. PERSONAL DATA

1. NAME OF ACCUSED (Last, First, MI)	2. SSN	3. RANK/RATE	4. PAY GRADE
(b) (6), (b)		YNC	E-7

5. UNIT OR ORGANIZATION		6. CURRENT SERVICE	
		a. INITIAL DATE	b. TERM
		14 May 2004	INDEF

7. PAY PER MONTH			8. NATURE OF RESTRAINT OF ACCUSED	9. DATE(S) IMPOSED
a. BASIC	b. SEA/FOREIGN DUTY	c. TOTAL	None	N/A
$4815.90	$0	$4815.90		

II. CHARGES AND SPECIFICATIONS

10.   CHARGE: VIOLATION OF THE UCMJ, ARTICLE

SEE CHARGES AND SPECIFICATIONS ON THE ATTACHED PAGES.

III. PREFERRAL

11a. NAME OF ACCUSER (Last, First, MI)	b. GRADE	c. ORGANIZATION OF ACCUSER
(b) (6), (b)	CWO3	CG LSC

d. SIGNATURE OF ACCUSER	e. DATE
	28 FEB 2012

AFFIDAVIT: Before me, the undersigned, authorized by law to administer oaths in cases of this character, personally appeared the above named accuser this 28 day of February, 2012, and signed the foregoing charges and specifications under oath that he/she is a person subject to the Uniform Code of Military Justice and that he/she either has personal knowledge of or has investigated the matters set forth therein and that the same are true to the best of his/her knowledge and belief.

(b) (6), (b)	CG LSC
Typed Name of Officer	Organization of Officer
LT O-3/USCG	Commissioned Officer
Grade and Status	Official Capacity to Administer Oaths (See R.C.M. 307(b)—must be commissioned officer)
Signature	

DD FORM 458
0102-LF-000-4580

S/N

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12. On *February 28*, 20 *12*, the accused was informed of the charges against him and of the name(s) of the accuser(s) known to me. (See R.C.M. 308(a)). (See R.C.M. 308 if notification cannot be made.)

(b) (6), (b)
_____   Coast Guard Headquarters
Typed Name of Immediate Commander   Organization of Immediate Commander

CDR/O-5

(b) (6), (b)
_____
Signature

IV. RECEIPT BY SUMMARY COURT-MARTIAL CONVENING AUTHORITY

13. The sworn charges were received at *1138* hours, *28 FEB* 20 *12* at _____ Coast Guard
(b)(6)   Designation of Command or

Officer Exercising Summary Court-Martial Jurisdiction (See R.C.M. 403)

                                    FOR THE¹ XXXXXXXXXXXXXX
(b) (6), (b)
_____   Commanding Officer
Typed Name of Officer   Official Capacity of Officer Signing

CDR/O-5

(b) (6), (b)
_____
Signature

V. REFERRAL; SERVICE OF CHARGES

14a. DESIGNATION OF COMMAND OF CONVENING AUTHORITY	b. PLACE (b) (6)	c. DATE
	Washington, DC	19 APR 2012

Referred for trial to the *special* court-martial convened by *my* Special Court-Martial Convening Order No. 01-12

17 April 20 *12*, subject to the following instructions:² *None.*

By _____ of _____
        Command or Order

(b) (6), (b)
_____   CO of Military Personne[l]
Typed Name of Officer   Official Capacity of Officer Signing

Commander

(b) (6), (b)
_____
Signature

15. On *1 May* 20 *12*, I (caused to be) served a copy hereof on (each of) the above named accused.

(b) (6), (b)   LT/O3
_____   _____
Typed Name of Trial Counsel   Grade or Rank of Trial Counsel

_____
Signature

FOOTNOTES   1 – When an appropriate commander signs personally, inapplicable words are stricken.
              2 – See R.C.M. 601(e) concerning instructions. If none, so state.

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CONTINUATION SHEET (PAGE 1 of 2)
DD FORM 458 BLOCK 10 ICO U.S. v. YNC (b) (6), (b) ███████, USCG

CHARGE I: VIOLATION OF ARTICLE 92, UCMJ

SPECIFICATION 1: In that Yeoman Chief Petty Officer (b) (6), (b) ███ United States Coast Guard, ████████████ on active duty, did, on board ████████████ on divers occasions, from on or about August 2011, until on or about September 2011, violate a lawful general regulation, to wit: Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, by wrongfully sexually harassing Yeoman Second Class (b) (6), (b) USCG.

SPECIFICATION 2: In that Yeoman Chief Petty Officer (b) (6), (b) ███, United States Coast Guard, ████████████ on active duty, did, on board ████████████ on divers occasions, from on or about August 2011, until on or about September 2011, violate a lawful general regulation, to wit: Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, by wrongfully sexually harassing Yeoman Third Class (b) (6), (b) ███ USCG.

SPECIFICATION 3: In that Yeoman Chief Petty Officer (b) (6), (b) ███, United States Coast Guard, ████████████ on active duty, did, on board ████████████ on divers occasions, from on or about August 2011, until on or about September 2011, violate a lawful general regulation, to wit: Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, by wrongfully sexually harassing Yeoman Third Class (b) (6), (b) ███, USCG.

CHARGE II: VIOLATION OF ARTICLE 93, UCMJ

SPECIFICATION 1: In that Yeoman Chief Petty Officer (b) (6), (b) ███, United States Coast Guard, ████████████ on active duty, did, on board ████████████ on divers occasions, from on or about August 2011, until on or about September 2011, maltreat Yeoman Second Class (b) (6), (b) ███ a person subject to his orders, by making inappropriate or degrading comments, to wit: "Wanna have an affair with me? Psyche. Just Kidding" and, "You ever dated any Coasties?" or words to that effect.

SPECIFICATION 2: In that Yeoman Chief Petty Officer (b) (6), (b) ███ United States Coast Guard, Coast Guard Headquarters Director of Marine Transportation Systems Management, on active duty, did, on board ████████████ on divers occasions, from on or about August 2011, until on or about September 2011, maltreat Yeoman Third Class (b) (6), (b) ███, a person subject to his orders, by making inappropriate or degrading comments, to wit: "I'll take care of you...if you take care of me (Hint Hint)," "Have you ever dated a black guy before," and "thinking about [her

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hair] is making me (b) (6), (b) LOL," and when she wore her hair down it gave him an erection, or words to that effect.

SPECIFICATION 3: In that Yeoman Chief Petty Officer (b) (6), (b) United States Coast Guard, ▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮▮ on active duty, did, on board ▮▮▮▮▮▮▮▮▮▮▮▮ on divers occasions, from on or about August 2011, until on or about September 2011, maltreat Yeoman Third Class (b) (6), (b) a person subject to his orders, by making inappropriate or degrading comments, to wit: "You are such a Cutie!," "(b) (6) your hair is my 'weakness!'" and "Your kind of dreaming and my kind are probably not the same though…I have to plead the 5th on my dreams on the fact that they might incriminate me" or words to that effect.

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Sanitized Case #3

UNITED STATES COAST GUARD
SUMMARY COURT-MARTIAL

UNITED STATES

  v.   STIPULATION OF FACT

(b) (6), (b)
CHIEF YEOMAN /E-7 USCG

 It is hereby agreed by and between Trial Counsel and Defense Counsel, with the express consent of the Accused, that the following facts are true:

 YNC (b) (6), (b) is currently assigned to the United States Coast Guard Headquarters, Washington, DC. YNC (b) (6), (b) voluntarily enlisted in the United States Coast Guard on [redacted] He has been on continuous active duty since his enlistment, without discharge or release.

CHARGE I: VIOLATION OF ARTICLE 92, UCMJ

SPECIFICATION 2: In that Yeoman Chief Petty Officer (b) (6), (b) United States Coast Guard, ([redacted] on active duty, did, on board [redacted] on divers occasions, from on or about August 2011, until on or about September 2011, violate a lawful general regulation, to wit: Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, by wrongfully sexually harassing Yeoman Third Class (b) (6), (b) USCG.

1. On or about 14 August 2011, until on or about 30 September 2011, YNC (b) (6), (b) was assigned to USCG [redacted]

2. On or about 18 November 2010, YNC (b) (6), (b) completed his mandatory Sexual Assault Prevention/Response (SAPR) training.

3. On or about 20 July 2011, YNC (b) (6), (b) completed his mandatory Sexual Harassment Prevention (SHP) training.

4. At all times YNC (b) (6), (b) was aware and familiar with the United States Coast Guard's Policy against Sexual Harassment, articulated in paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010.

5. YNC (b) (6), (b) was aware at all times that he was sent to the SPO to acquire leadership experience for his evaluations as a Chief Petty Officer.

6. As a Chief Petty Officer in the United States Coast Guard YNC (b) (6), (b) was aware that it was his duty to be a leader for the junior enlisted he interacted with.

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7. While YNC (b) (6), (b) was assigned to ████████████████, on or about 14 August 2011, until on or about 30 September 2011, he was aware that there was in existence a certain lawful general order, Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, Sexual Harassment Prevention Policy, dated May 2010.

8. At all times YNC (b) (6) was aware that he had a duty to obey Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, Sexual Harassment Prevention Policy.

9. That YNC (b) (6), (b) while assigned to ████████████████, violated and failed to obey Paragraph 2-C, COMDTINST M5350.4C, Sexual Harassment Prevention Policy, dated May 2010, by intentionally and wrongfully sexually harassing YN3 (b) (6), (b) by making the following statements via Coast Guard Instant Messenger:

   a. On or about 17 August 2011, "I'll take care of you....if you take care of me (Hint Hint)."
   b. On or about 17 August 2011, "Certainly none of my business or anything, but have you ever dated a black guy before?"
   c. On or about 17 August 2011, "My "X" tried to take me to the cleaners, but she really didn't have a leg to stand on because we'd only been married for 3 years. You shouldn't have anything to worry about with only 3 months. He must be an idiot to be divorcing you though – Just my own personal opinion. I'm kind of bias because I have a weakness. (You know, Superman has a weakness – "Kryptoite"), and mine is HAIR. I just love your beautiful hair, especially the color. Don't tell anyone though bcuz they might think I have the hots for you, and I'd get booked. LOL"
   d. On or about 17 August 2011, "I grew up in a small township called (b) (6) and in High School, me, my best friend, and 3 other people were the only black people in the entire school. (So you can say that I have dated quite a few white women before)."
   e. On or about 17 August 2011, "I would've asked you out it I lived near you and the timing had been right."
   f. On or about 17 August 2011, "Well it's worth every cent bcuz it looks fabulous!! Almost had a heart-attack when U walked past w/it down this morning! :-#"
   g. On or about 17 August 2011, "Hair = my weakness!"
   h. On or about 17 August 2011, "Well, I'd better stop now bcuz thinking about it is making me ███████ LOL"
   i. On or about 22 August 2011, "Hey cutie....How's your day going??"
   j. On or about 22 August 2011, "I thought you might have came to your senses and realized what a 'stud' I was."
   k. On or about 24 August 2011, "Good morning cutie. What time did you finally make it home yesterday from the quake?"

10. That YNC (b) (6), (b) while assigned to ████████████████, violated and failed to obey Paragraph 2-C, COMDTINST M5350.4C, Sexual Harassment Prevention Policy, dated May 2010, by intentionally and wrongfully sexually harassing YN3 (b) (6), (b) by making the following verbal statements to her:

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a. On or about August 2011, you told YN3 **(b) (6), (b)** that her "hair was pretty" and that you wanted to "touch it," or words to that effect.

b. On or about August 2011, while YN3 **(b) (6), (b)** was studying for a test you told her that if "you help me out I will help you," and that "if the test was based on your looks you would pass," or words to that effect.

11. YNC **(b) (6), (b)**'s statements were intentional and he knew his statements were wrongful and against Coast Guard policy.

SPECIFICATION 3: In that Yeoman Chief Petty Officer **(b) (6), (b)** United States Coast Guard, ▆▆▆▆▆▆▆▆ on active duty, did, on board ▆▆▆▆▆▆▆▆ on divers occasions, from on or about August 2011, until on or about September 2011, violate a lawful general regulation, to wit: Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, by wrongfully sexually harassing Yeoman Third Class **(b) (6), (b)** USCG.

1. On or about 14 August 2011, until on or about 30 September 2011, YNC **(b) (6), (k)(6)** was assigned to ▆▆▆▆▆▆▆▆.

2. On or about 18 November 2010, YNC **(b) (6), (b)** completed his mandatory Sexual Assault Prevention/Response (SAPR) training.

3. On or about 20 July 2011, YNC **(b) (6), (b)** completed his mandatory Sexual Harassment Prevention (SHP) training.

4. At all times YNC **(b) (6), (b)** was aware and familiar with the United States Coast Guard's Policy against Sexual Harassment, articulated in paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010.

5. YNC **(b) (6), (b)** was aware at all times that he was sent to the SPO to acquire leadership experience for his evaluations as a Chief Petty Officer.

6. As a Chief Petty Officer in the United States Coast Guard YNC **(b) (6), (b)** was aware that it was his duty to be a leader for the junior enlisted he interacted with.

7. While YNC **(b) (6), (b)** was assigned to ▆▆▆▆▆▆▆▆, on or about 14 August 2011, until on or about 30 September 2011, he was aware that there was in existence a certain lawful general order, Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, Sexual Harassment Prevention Policy, dated May 2010.

8. At all times YNC **(b) (6), (b)** was aware that he had a duty to obey Paragraph 2-C, COMDTINST M5350.4C, Coast Guard Civil Rights Manual, dated May 2010, Sexual Harassment Prevention Policy.

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9. That YNC (b) (6), (b) while assigned to _____ violated and failed to obey Paragraph 2-C, COMDTINST M5350.4C, Sexual Harassment Prevention Policy, dated May 2010, by intentionally and wrongfully sexually harassing YN (b) (6), (b) by making the following statements via Coast Guard Instant Messenger:

a. On or about 12 August 2011, "It would be so highly inappropriate, but I was Soooo tempted to ask if I could go to the movie w/you! :'("
b. On or about 12 August 2011, (b) (6), (b) your hair is my 'weakness!' ;)"
c. On or about 12 August 2011, "No. I am familiar w/what your hair looks like when it is down."
d. On or about 12 August 2011, "Understood completely. It's ok to think dream though."
e. On or about 12 August 2011, "Your kind of dreaming and my kind are probably nkot the same though….I have to plead the 5th on my dreams on the fact that they might incriminate me. I saw Captain America."
f. On or about 12 August 2011, "Hope I didn't offend you."
g. On or about 12 August 2011, "Was the dream good, or the movie. Oh ok, I see now that you are talking about the movie…Whew! Yeah, Captain America was pretty good, but not what I expected."

10. YNC (b) (6), (b) statements were intentional and he knew his statements were wrongful and against Coast Guard policy.

(b) (6), (b)

YNC (b) (6), (b) USCG   21 May 2012
Accused   Date

(b) (6), (b)

(b) (6), (b) JAGC, USN
Detailed Defense Counsel (b) (6), (b)   21 MAY 2012
                                 Date

(b) (6), (b) JAGC, USN
Assistant Detailed Defense Counsel   Date

LT (b) (6), (b) USCGR   Date
Trial Counsel

LT (b) (6), (b) USCGR   Date
Trial Counsel

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RECORD OF TRIAL BY SUMMARY COURT-MARTIAL

1a. NAME OF ACCUSED (Last, First, MI)	b. GRADE OR RANK	c. UNIT OR ORGANIZATION OF ACCUSED	d. SSN
(b) (6), (b)	E-7	(b) (6)	(b) (6), (b)

2a. NAME OF CONVENING AUTHORITY (Last, First, MI)	b. RANK	c. POSITION	d. ORGANIZATION OF CONVENING AUTHORITY
(b) (6), (b)	CDR	CO OF MILITARY PERSONNEL, CGHQ	COAST GUARD HEADQUARTERS

3a. NAME OF SUMMARY COURT-MARTIAL (If SCM was accuser, so state)	b. RANK	c. UNIT OR ORGANIZATION OF SUMMARY COURT-MARTIAL
(b) (6), (b)	LCDR	(b) (6)

(Check appropriate answer)	YES	NO
4. At a preliminary proceeding held on ___14 JUNE___, _2012_, the summary court-martial gave the accused a copy of the charge sheet.	✓	
5. At that preliminary proceeding the summary court-martial informed the accused of the following:		
a. The fact that the charge(s) had been referred to a summary court-martial for trial and the date of referral.	✓	
b. The identity of the convening authority.	✓	
c. The name(s) of the accuser(s).	✓	
d. The general nature of the charge(s).	✓	
e. The accused's right to object to trial by summary court-martial.	✓	
f. The accused's right to inspect the allied papers and immediately available personnel records.	✓	
g. The names of the witnesses who could be called to testify and any documents or physical evidence which the summary court-martial expected to introduce into evidence.	✓	
h. The accused's right to cross-examine witnesses and have the summary court-martial cross-examine on behalf of the accused.	✓	
i. The accused's right to call witnesses and produce evidence with the assistance of the summary court-martial if necessary.	✓	
j. That during the trial the summary court-martial would not consider any matters, including statements previously made by the accused to the summary court-martial, unless admitted in accordance with the Military Rules of Evidence.	✓	
k. The accused's right to testify on the merits or to remain silent, with the assurance that no adverse inference would be drawn by the summary court-martial from such silence.	✓	
l. If any findings of guilty were announced, the accused's right to remain silent, to make an unsworn statement, oral or written or both, and to testify and to introduce evidence in extenuation or mitigation.	✓	
m. The maximum sentence which could be adjudged if the accused was found guilty of the offense(s) alleged.	✓	
n. The accused's right to plead guilty or not guilty.	✓	

6. At the trial proceeding held on ___14 JUNE___, _2012_, the accused, after being given a reasonable time to decide, ☐ did ☑ did not object to trial by summary court-martial.
(Note: The SCM may ask the accused to initial this entry at the time the election is made.)

(b) (6), (b) _(Initial)_

7a. The accused ☐ was ☑ was not represented by counsel. (If the accused was represented by counsel, complete b, c, and d below.)

b. NAME OF COUNSEL (Last, First, MI)	c. RANK (If any)
N/A	N/A

d. COUNSEL QUALIFICATIONS
N/A

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8. The accused was arraigned on the attached charge(s) and specification(s). The accused's pleas and the findings reached are shown below:

CHARGE(S) AND SPECIFICATION(S)	PLEA(S)	FINDINGS (Include any exceptions and substitutions)
CHARGE I: ARTICLE 92	GUILTY	GUILTY
Specification 1: Violation of lawful general regulation, to wit: Chapter 8.I., COMDTINST M1000.6A	NOT GUILTY	WITHDRAWN
Specification 2: Violation of lawful general regulation, to wit: Chapter 8.I., COMDTINST M1000.6A	GUILTY	GUILTY
Specification 3: Violation of lawful general regulation, to wit: Chapter 8.I., COMDTINST M1000.6A	GUILTY	GUILTY
CHARGE II: ARTICLE 93	NOT GUILTY	WITHDRAWN
Specification 1: Maltreatment of YN2 (b) (6), (b)	NOT GUILTY	WITHDRAWN
Specification 2: Maltreatment of YN3	NOT GUILTY	WITHDRAWN
Specification 3: Maltreatment of YN3	NOT GUILTY	WITHDRAWN

9. The following sentenced was adjudged:

REDUCTION TO PAYGRADE E-6.

10. The accused was advised of the right to request that confinement be deferred. (Note: When confinement is adjudged.)	11. The accused was advised of the right to submit written matters to the convening authority, including a request for clemency, and of the right to request review by the Judge Advocate General.
☐ YES ☑ NO	☑ YES ☐ NO

12. AUTHENTICATION (b), (b) (6)

LCDR _____   14 June 2012
Signature of Summary Court-Martial   Date

13. ACTION BY CONVENING AUTHORITY

(b) (6), (b) CDR, USCG _____   Commander of Enlisted Personnel, CG Headquarters
Typed Name of Convening Authority   Position of Convening Authority

Commander (O-5)
Rank

_____   _____
Signature of Convening Authority   Date

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U.S. Department of
Homeland Security

United States
Coast Guard

Commanding Officer
United States Coast Guard
Intelligence Coordination Center

4251 Suitland Rd., Rm 3A111
Washington, DC 20395
Staff Symbol: ICC-LGL
Phone: (b) (6)
Fax: (301) 669-4566
Email: (b) (6)

5814
14 Jun 2012

MEMORANDUM

From: LCDR (b), (b) (6), USCG
       Summary Court

To: [redacted]

Subj: SUMMARY COURT-MARTIAL CASE OF UNITEDS STATES V. (b) (6), (b)
       (b) (6), (b) USCG

Ref: (a) Your Convening Order 01-12 of 1 June 2012

1. Subject court-martial was held on 14 June 2012 at U.S. Coast Guard Court of Criminal Appeals, Arlington, Virginia.

2. The accused was present at all times during the proceedings. He was not represented at the summary court-martial by a lawyer or a non-attorney representative, but he had been represented by counsel in the plea negotiations in which he agreed to accept trial by summary court-martial. The accused did not complete an Acknowledgement of Rights-Acceptance of SCM form; however, he completed a pretrial agreement in which he agreed to accept summary court-martial. The pretrial agreement is enclosed. The accused's rights were explained in accordance with R.C.M. 1304, MCM 2012. His consent to trial by summary court-martial is noted on the Record of Trial form (DD-2329).

3. The accused was arraigned on the charges as set forth in the enclosed charge sheet. No motions were made prior to the entry of pleas. Before pleas were entered, I carefully explained to him all rights concerning them. The accused pled guilty to Charge I and Specifications 2 and 3 of Charge I and not guilty to Specification 1 of Charge I and Charge II and its specifications.

4. I conducted an appropriate inquiry to determine whether the offered guilty plea would be provident. After a thorough discussion of the facts surrounding the incident, I determined that the guilty pleas to Charge I and Specifications 2 and 3 of Charge I were provident and accepted them.

5. Accused plead not guilty to Specification 1 of Charge I and to Charge II and its specifications in accordance with the pretrial agreement. After a thorough inquiry I determined that he entered into the pretrial agreement freely, knowingly, intelligently, and voluntarily; therefore, I did not conduct an inquiry as to those charges and specifications.

6. Prior to accepting the accused's pleas of guilty, I discussed with him the amendments that were made to the charge sheet, the pretrial agreement, and the stipulation of fact on 13 Jun 2012 with regard to the general order he was accused of violating. I explained to him the implications of changing the language from a violation of Paragraph 2.C., COMDTINST M5350.4C, Coast Guard Civil Rights Manual to a violation of a punitive order in Chapter 8.I. of COMDTINST M1000.6A, Coast Guard Personnel Manual (which was in force at the time of the offenses), and ensured that he was agreeing to those changes freely, knowingly, intelligently, and voluntarily.

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Subj: SUMMARY COURT-MARTIAL CASE OF UNITEDS STATES V. (b) (6), (b) ██████ USCG   5814

14 Jun 2012

7. I determined the accused's pleas were provident and accepted them. After the findings were announced, I advised the accused of his rights concerning presentation of evidence in extenuation and mitigation. Additionally, one of the victims in the case wished to testify in matters in aggravation during sentencing.

8. The written testimony of the victim was admitted into evidence and is enclosure (7). Three positive page 7s from the accused's service record were admitted into evidence and are enclosures (8) → (10). Two awards from the accused's service record were admitted into evidence and are enclosures (11) and (12). The accused submitted five statements in mitigation and those were admitted into evidence. They are enclosures (13) – (17). Finally, the accused read a statement, which he decided to make under oath. That is included as enclosure (18).

9. In addition to documentary evidence, the accused produced five live witnesses who testified for him in mitigation on sentencing.

10. No previous convictions were considered in awarding the sentence.

11. After the sentence was announced, I advised the accused of his right to submit any matters to you before you acted on the record of trial.

#

Enclosures: (1) Convening Order
(2) Record of Trial (DD Form 2329)
(3) Charge Sheet (as amended 13 Jun 2012)
(4) Pretrial Agreement (Part I) (as amended 13 Jun 2012)
(5) Pretrial Agreement (Part II) (sealed)
(6) Stipulation of Fact (as amended 13 Jun 2012)
(7) Unsigned Statement of ████████
(8) Page 3307 of the accused's service record dated 10 Feb 1996
(9) Page 3307 of the accused's service record dated 15 May 2005
(10) Page 3307 of the accused's service record dated 2 May 2005
(11) Letter of Commendation dated 20 May 1996
(12) Coast Guard Meritorious Team Commendation dated 27 Jan 1995
(13) CAPT (b), (b) (6) ████ Memo 1000 of 13 Jun 2012
(14) SCPO (ret) (b) (6), (b) ████ Letter (undated)
(15) GS (b) (6), (b) ██ tter of 14 Jun 2012
(16) GS ████ Letter of 14 Jun 2012
(17) SK ████ Letter of 11 Jun 2012
(18) Sworn statement of Accused

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Sanitized Case #4

U.S. DEPARTMENT OF HOMELAND SECURITY
U.S. COAST GUARD
CG-4910 (Rev. 2-05)

REPORT OF OFFENSE AND DISPOSITION

DATE OF REPORT: 04AUG09

I hereby report the following named person for the offense(s) noted:

NAME OF ACCUSED	RATE/GRADE	DIV./DEPT.
(b) (6), (b)	E5/DC2	(b) (6)

PLACE OF OFFENSE(S)	DATE OF OFFENSE(S)
	24JUL09

DETAILS OF OFFENSE(S) (Recite article UCMJ if known. Not necessary to use form specification in Part IV, MCM. Generally describe actions of accused which are believed to constitute offense(s) under the UCMJ.)

Art. 92, UCMJ: In that DC2 (b) (6), (b) , USCG, on active duty, having knowledge of a lawful order issued by LT (b) (6), (b) to wit: to cease all contact with YN2 (b) (6), (b) verbally, in person, or via text message, an order which is was his duty obey, did at or near USCG (b) (6), (b) on or about 24 July 2009, fail to obey the same by wrongfully calling and texting YN2 (b) (6), (b)

Art. 134, UCMJ: In that DC2 (b) (6), (b) , USCG, on active duty, wrongfully endeavor to impede an investigation into his misconduct by instructing YN2 (b) (6), (b) a witness in the investigation, to mislead investigators by asking her to lie and state that (b) (6), (b) called YN2 (b) (6), (b) when in fact DC2 (b) (6) had called YN2 (b) (6), (b).

NAME OF WITNESS	RATE/GRADE	DIV./DEPT.	NAME OF WITNESS	RATE/GRADE	DIV./DEPT.
(b) (6), (b)	YN2/E5	R. SPO	(b) (6), (b)	YNCS/E8	R. SPO
	YN2/E5	R. SPO		LT/O3	F/E

RATE/GRADE/TITLE OF PERSON SUBMITTING REPORT: YN2 (b) (6), (b)

INITIAL ACTION

(When allegations apparently involve minor offenses normally handled by NJP or SCM, the accused should be advised of the allegation(s) and offered the opportunity to elect a representative. If a statement is to be requested, advise accused of rights from Form CG-5168A or "Encl (5)", MJM (COMDTINST M5810.1 Series). Thereafter the matter should be referred, with the next section of information provided, to a preliminary inquiry officer for investigation.)

I have been informed of the Offense(s) which I am suspected of having committed, that the command is considering the imposition of nonjudicial punishment and has assigned a preliminary inquiry officer, and

☒ I DESIRE THAT BMCS (b) (6), (b) BE APPOINTED AS MY REPRESENTATIVE IN THIS CASE.

☐ I DO NOT DESIRE THE APPOINTMENT OF A REPRESENTATIVE.

(b) (6), (b)

(Signature of accused)

_____ IS APPOINTED THE ACCUSED'S REPRESENTATIVE.

DCC (b) (6), (b) IS DESIGNATED THE PRELIMINARY INQUIRY OFFICER.

(b) (6), (b)

(Signature of Executive Officer)

INFORMATION CONCERNING ACCUSED

CURRENT ENL. DATE	EXP. CURRENT ENL. DATE	TOTAL ACTIVE SERVICE	TOTAL SERVICE ON BOARD	EDUCATION	GCT	AGE	MARITAL STATUS	NO. OF DEPENDENTS	PAY PER MO. (including sea or foreign duty pay)
30JUNE98	17MAR11	9 YEARS	1 YEAR	12L	50	31	M	3	$907

RECORD OF PREVIOUS OFFENSE(S) (Date, type, action taken, etc., Nonjudicial punishment incidents are to be included.)

30JUNE09: NJP. SNM ADMITTED COMMITTING VIOLATION OF ARTICLE 92 AND 134. MADE REPEATED UNWANTED INAPPROPRIATE COMMENTS AND SENT INAPPROPRIATE TEXT MESSAGES TO E-2 ASSIGNED TO (b) (6) DURING AND AFTER WORK HOURS. PUNISHMENT AWARDED: REDUCTION IN GRADE TO E-5, 30 DAYS EXTRA DUTY, 45 DAYS RESTRICTION (SUSPENDED FOR SIX MONTHS), FORFEITURE OF 1/2 MONTHS PAY FOR 1 MONTH (SUSPENDED FOR SIX MONTHS). SNM PLACED ON PROBATION FOR UNSUITABILITY AND MISCONDUCT ON 20JUL09.

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5 U.S.C. 552(b)(6)

Sanitized Case #4

PRELIMINARY INQUIRY OFFICER'S REPORT

COMMENT. (Address witness availability and conflicts of evidence. Summarize available evidence to support each element of the offense alleged, including location of real and documentary evidence. Attach statements, or summaries of statements of witnesses. Summarize reasons for ultimate recommendation.)

See Attached.

RECOMMENDATION AS TO DISPOSITION:

- [X] DISPOSE OF CASE AT MAST
- [ ] REFER TO COURT MARTIAL FOR TRIAL OF ATTACHED CHARGES (Complete Charge Sheet DD Form 458, page 1.)
- [ ] NO PUNITIVE ACTION NECESSARY OR DESIRABLE
- [ ] OTHER (Specify) _____

SIGNATURE OF PRELIMINARY INQUIRY OFFICER: (b) (6), (b) _____ /DEZ

ACTION OF EXECUTIVE OFFICER

- [ ] DISMISSED
- [X] RECOMMEND CAPTAIN'S MAST
  - [X] INFORMED ACCUSED OF RIGHTS TO REFUSE NJP AND CONFER WITH COUNSEL. (If accused not attached to or embarked in a vessel.)
  - [X] ACKNOWLEDGEMENT OF RIGHTS/ACCEPTANCE OF NJP FORM ATTACHED
  - [ ] RECOMMEND TRIAL BY _____ COURT-MARTIAL

(b) (6), (b)

(Signature of Executive Officer)

ACTION OF COMMANDING OFFICER

- [ ] DISMISSED
- [ ] DISMISSED WITH WARNING (Not considered NJP)
- [ ] ADMONITION: ORAL/IN WRITING
- [ ] REPRIMAND: ORAL/IN WRITING
- [ ] REST TO _____ FOR _____ DAYS
- [ ] FORFEITURE: TO FORFEIT $ _____ PAY PER MO. FOR _____ MO(S).
- [ ] CORRECTIONAL CUSTODY FOR _____ DAYS

- [X] REDUCTION TO PAY GRADE E-4
- [X] EXTRA DUTIES 45 DAYS
- [ ] PUNISHMENT SUSPENDED FOR _____ MOS.
- [ ] ART. 32 INVESTIGATION
- [ ] REFER TO SPCM
- [ ] REFER TO SCM

(b), (b) (6)

DATE OF MAST	DATE ACCUSED INFORMED OF ABOVE ACTION AND NJP APPEAL RIGHTS	SIG...
12 AUG 09	12 AUG 09	...APT, USCG

FINAL ADMINISTRATIVE ACTION

APPEAL SUBMITTED BY ACCUSED

DATE: _____

FORWARDED FOR DECISION ON _____

FINAL RESULT OF APPEAL:

APPROPRIATE ENTRIES MADE IN ... (b) (6), (b) ...MENT BOOK (Date & Initials)
AUG 12 2009   ... Aug 09

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The following case highlights several findings listed throughout the report, specifically intimidating/threatening behavior, sexual harassment, and perpetrator characteristics (ENV 2, ENV 11, and ENV 17).

Sanitized Case # 5

Current Situation:
Relatively new command XPO, EPO & CO received information last week that MK2, who has been TDY for Boarding Officer school, has been behaving in a threatening manner to various members of the crew. The command requested an Admin Investigation, which has been underway since last week. On May 14, the command was notified that MK2 was disenrolled from BO school due to another incident (not related to the admin investigation) and will be returning to the unit on Thursday afternoon May 15. The command requested a CIT to ensure all parties are aligned on the way ahead.

Background information: Yesterday at Boarding Officer school, MK2 was observed by instructors performing a mock boarding inappropriately & when the instructor corrected him, the MK2 replied by telling the instructor to just tell him what to do to pass this course, then when he goes back to my unit, he'll just do it how he wants to do it. This incident typically would have prompted an informal board at the school, which would have led to disenrollment. Since the school was already aware the MK2 was under investigation, they decided simply to disenroll him immediately.

Last week, CWO called Work-Life for a consult on some disturbing news his BM1 had brought to the command that one of the non-rates had concerns about the behavior of the MK2. In the past, MK2 had texted the FS2 several times while she was undergoing a divorce, saying that although he knew it was inappropriate, he would like to go out with her. He pestered her numerous times, and when she finally told him very clearly not to, he seemed to treat her unfairly after that – for example, giving her 4 duty weekends in a month. He also was overheard on a middle of the night evolution, screaming at the FN and chest bumping him – getting in his face. He's also made comments while watching a movie with another crew about a monster looking like a female crew member's private parts. Work-Life recommended the CO request an Admin Investigation. Chief was assigned PIO & began interviewing crew members. He talked to the majority of the crew with exception of BM2 & MK2 – bottom line was that at least 3 members feel scared, intimidated, scared about retribution, & described a hostile work environment.

One incident at an area unit at 0200 (6-12 mos ago)– MK2 barged into berthing, screamed at a FN, bumped chest in his face & screamed at top of his lungs (face got red & purple screaming so loudly & was so close to his face that shaving cream transferred to his face). The FS2 heard incident – she was afraid & terrified so that she didn't even want to open her door. The FN's roommate, a BM3 was woken up by this incident and was scared and didn't know what was going on. Crew members report the MK2 regularly yells at that FN & has been witnessed throwing a tool across the engine room in anger at least once.

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Sanitized Case #5

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MK2 also inappropriately asked the female FS2 out on a date while she was going through a divorce – she was at a particularly vulnerable time since her husband had just left her. The MK2 asked her out at least 2-3 times, which she declined. She reported what she feels was retribution since he then gave her weekend duty for a month straight (he is in charge of the duty schedule). When it became known that she was pregnant, the MK2 started spreading rumors that the child wasn't her husband's (said it was another crew member's) and making comments about her carrying a vile demon child. MK2 has also been heard making other inappropriate comments about female genitalia & other "off' comments. Said something to the effect "Heaven forbid I make chief, I'd be masted for banging all the female non rates." After the recent SAAM Safety stand-down video, 3 crew members got to-gether after training & remarked that MK2 seems to fit the predator profile "to a T." Several crew members noted that his mentoring of the new female SA (who reported in December) was strange & weird. The CO noted that the new SA is particularly vulnerable due to being new & some challenging background issues. The CO noticed his mentoring of the new crew member & wondered if the MK2 had "turned around" & was being a good shipmate, but now is concerned MK2 is simply seeking out a vulnerable person to take advantage of. The female SA was interviewed by the PIO & said she really liked the MK2 & thought he was a great guy & now she wants to go MK. PIO noted that when he in-terviewed her she really seemed focused on getting in & out of the interview quickly.
Command concerns: clearly threatening behavior, possible workplace violence chest bumping, indi-cators of sexual predator? The command's short term response is to place him TDY to a force pro-tection unit & they are working on getting him TDY to Seattle. They are removing his access to the lower (restricted) part of the Navy base. MK2 lives with two roommates from other Coast Guard cut-ters & when he is on the cutter he berths with a BM2. MK2 owns several personal firearms .
PIO reviewed his PDR – nothing too alarming. Has a few negative p 7s typical of a junior member – not listening to the OOD. Nothing noteworthy. To command's knowledge he's a light drinker.
(Cutter in B12 status over 185 days a year). No indication of any alcohol issues. He's single never been married –had a long term girlfriend until about a year ago & she broke it off – he now juggles a couple local girlfriends at a time.

Discussion:
Legal –asked about how many years in the service he has - 9 years in & just reenlisted for 3 years a few months ago. Discussed the concern that asking him to give up his firearms may create additional problems – he might not respond well to that.
Discussed level of threat- crew members report changing their own behavior in order to manage his volatile behavior, including his roommate- has to change who he is & how he acts to make sure he doesn't set him off. Two other members feel scared, intimidated, threatened by him – & even the one crew member who doesn't report being intimidated by him still feels super stressed out by the guy & has to change the way he acts. Crew members have enjoyed him not being there the last 2 weeks. Physically larger member of the crew is the one who isn't intimidated but is stressed by the guy. MK2 seems to create a hostile work environment – MK2 is biggest guy on the boat 6' 2".

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Sanitized Case #5

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Three people intimidated & now very scared about consequences of this investigation. The MK2 knows to some extent about the investigation – we don't know what level of knowledge he has. He was disenrolled from school because an investigation going on & he understands investigation is about him. He was concerned about getting back from an airport & was told "you are part of investigation" by the XPO & MK2 responded by saying he wants some legal representation. MK2 tried to get a ride home from the airport from the MK3 & when he talked with him he tried to ask what's going on – the MK3 told him he couldn't talk about it." MK2 was told him not to contact any crew members.

CGIS noted the command has been proactive in launching the investigation & CGIS doesn't hear anything specific yet that would trigger a mandatory CGIS investigation.

No suicide ideations.

Threat Level Assessment:
As per encl (1) of draft CI 5370.10B
High level 2 if not level 3

Recommendations:
Weapons – hold off asking him to surrender them so as to not provoke him further.
Investigation – moving along appropriately. If want to go forward with military justice, might want to engage CGIS, but not hearing that right now. Chief is scheduled to interview MK2 tomorrow at 0930 – requested lawyer so it may not happen – article 31B Miranda rights – talked to BMC and he wants legal representation.
The force protection unit is not comfortable having him there – will look at something at another base. They do not recommend TDY at a much smaller base & the cutter with his roommate on board spends so much time there. The SCPO at the unit emailed the base.
Command plans to let the crew know what's going to happen next to keep them in the loop. When speaking with the crew, recommend encouraging them to let the command know if they have a specific concern about safety, so that an MPO can be issued if necessary. Make sure crews knows about MPOs. Also recommend crew be given confidential resource numbers (chaplain, SARC, CRO, CG SUPRT. Tell them we can only act on the things we know about, please reach out to the confidential resources if you are uncomfortable talking to the investigator. It seems that many of the crew may be intimidated.
The civil rights officer (CRO) will send the policy harassment/complaint process info to CWO – harassing behavior fits squarely within the harassment complaint process. Reiterate to the crew that if they haven't shared, we can't act on what we don't know.
Investigation should be completed fairly soon – hopefully by Monday. Legal will follow up – odds are he won't be making a statement if he wants to talk to legal.
MK2 arrives at 1430 & will find own way back to his apartment – MK3 will be in same city tonight. Not allowed to go to lower base – told to give badge to PIO tomorrow.
CWO will talk to crew this afternoon about the not talking about the investigation & confidential resources.

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Members shared the following personal stories with COR IPT analysts during interviews and focus group sessions.

Stories Shared with COR IPT of Actual Experiences with COR Issues

She felt defenseless after taking constant abuse from her CO and XO. One weekend she decided to pay for her own hotel room with everyone else who was on liberty at the same hotel as well. The command called everyone of the crew to ask where she was and she was told they did search patterns looking for her car. They never called her directly. She was in the same hotel with everyone else, she had just opted to get her own room for some individual time. Another BM1, MK1, FS1 all were there-none were treated the way she was.

She was the only female first class at the time.

The cutter was delivered. She was trying to start from the ground up-doing everything/equipment/ training. She was the only certified coxswain. The CO and XO wanted her to get underway to train and she did not have pyrotechnics vests for the crew, nor was there anyone else to go out that was qualified so she respectfully told this to the command and they insisted "YOU WILL GET UNDER-WAY!". During the GAR (risk evaluation), she specifically reiterated safety concerns to the CO and was told to go anyway. Ops was there.

She did as she was told and when she came back she was helping to put boom in place and was called to go to the front of the boat. The XO and CO were there and the XO unleashed on her (veins popping out) "How dare you go out when you are the only qualified coxswain, don't you know the rules/policy…"

A few weeks later she was told that the command had lost all confidence in her and she would no longer be the first LT or training officer. The CO asked to meet with her. He said I'm sure you think I'm going to scream at you or relieve you but I'm not. We are just going to ignore it.

She was still doing everything-training and first LT responsibilities. The CO and XO doing daily rounds looking at rust/flash rust and asked her why she hadn't taken care of a spot they found. She was asked why she hadn't taken care of a dirt smudge on the super structure. She had to pull her people off getting the boat operational to clean smudges. Everyone was exhausted. The XO held request and complaint mast-she wanted to talk to him about unreasonable expectations. Feel like crew is being treated like pieces of shit. "BM1 I don't think they are pieces of shit, I think you are the piece of shit." She stood up and said "on that note, I am going to excuse myself."

After that she got a negative page 7 that said they had lost confidence. She was relieved of both positions because they said they were unhappy with her performance. ". Two days later "Due to your lack of initiative, we are putting you in front of the chief's council. She asked why because she is a stellar performer. She was put on performance probation and was given one month to get underway OOD certified. She also had to complete on-line BOC course and had to have E5 and E6 pracs resigned off on by November. "It was insulting! " This was unrealistic and the cutter wasn't slated to be underway. The first patrol she was supposed to be standing OOD but they had her quartermaster of the watch. People from other cutters were standing watch. She would go up in between her other duties and try to get sign offs.

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Stories Shared with COR IPT of Actual Experiences with COR Issues

Her Dad had a serious illness and she went home to be with him for surgery then ended up having to have surgery herself.

They were in Puerto Rico on patrol and it was time for her board. A few days prior she was going up and having people quiz her. They told her how the board would go and it was 180 degrees different than what she prepared for. She had everyone yelling questions at her while she was to use the maneuvering board (moboard) to solve a problem and the XO would tell her to continue working on the moboard and answer questions. She was also on a rolling chair. 3 1/2 to 4 hours and she was told she failed. They threatened that if she failed any of her performance requirements that she would be busted down to an E5 or kicked out of the CG, even though she had 10 1/2 years of service with outstanding performance appraisals.

They pulled into Puerto Rico. Everyone goes into town and she didn't know her fate. She goes to the beach and is crying hysterically. She called her previous CDR. He asked if she was in a safe place and if she was going to hurt herself. She said yes and no. He explained that she could call civil rights.

At 11:30 that night she still didn't know anything and they were supposed to get underway first thing in the morning. She continued doing her job. Her previous CDR called to check on her and said for her to find her Chief and find out what was going on. He said they can't just pull away from the pier with you standing there. She did and was then told to book a flight with SATO and to pack her bags. She said you are the first command I've ever worked for that didn't like me and they said they had spoken with her previous command and they didn't like her either. She replied that the CO from her previous command wanted her back. She packed and told them when she was departing.

When she got to her temporary unit she called civil rights and they said she definitely had a case and notified sector. She was scared and overwhelmed. Was really scared to call civil rights. She was told they would investigate and prosecute to the fullest. She was told they would let her know when the investigation was complete. They never let her know and she had to contact them to get the investigative report. They found a hostile work environment and that the BMC did not protect her and was more concerned with promotion than helping her. The punishment was that the CO had to go to meetings with another CO on a base (a friend) and get mentoring. The XO had to do the same. They made her take Leadership and Management School (LAMS). After her temporary duty was up, she had to go back to the boat, even though she explained that she was terrified to go and the memories were too much for her and that some of the same members were still on that boat. Her page 7's and her performance probation were removed. She said it is a "good ol boys club". Her former CO is good friends with the CAPT of the sector. "They swept everything under the rug because they don't want to go through relief because it would look bad. If it were a lower ranking person, they would have been let go but because it is an officer-nothing is being done." Her performance on her new ship has been exemplary and the CO tried to keep her to no avail.

She has had the same physical and emotional impact as someone who has been sexually assaulted-headaches, panic attacks every time she walks by the ship, etc. She is now stationed back on the ship.

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Stories Shared with COR IPT of Actual Experiences with COR Issues
The CO was a tyrant. Junior officers were a problem too in that they were selfish and doing things against core values. This was allowed to fester and grow. It became huge problem. Had at smaller units issues. His son is African American-in Kodiak-officers housing area-kids called him the "n word". He reported this had occurred to the command enlisted advisor (CEA) and the CEA said he would take care of it. When he went to follow up after he had returned from sea, the CEA said he just didn't get around to taking care of it. "I am aware of how much is allowed to happen. I was raised to trust. With close quarters environment and with life and death situations we must be able to trust. I have found out after that I was stationed with perpetrators. Who can you trust? Scared for young folks." A guy didn't fit in-wasn't cocky like others-more approachable-made one mistake in a simulation and got slammed and they did not give him quals. Not because of the mistake-but because they didn't like him because he didn't fit in. He described a friend who is psychologist in DoD (Army). They were having one suicide per day and it was assumed the increase was due to deployments/PTSD. What they found was since they had to ramp up so quickly, the recruiters were not doing a thorough job of screening and had let "anyone with pulse" in. Turned out it is societal issue and many of those who were let in were at risk.

Stories Shared with COR IPT of Actual Experiences with COR Issues

Positive story of having to stay at a small boat station that had no women and attending class with Navy, CG, Army, Marines. An Army member sexually harassed her and the non-rate calling the BM1 who in turn took it up and reported it. He did not just sit by as a bystander, he felt he could speak out and protected her. The Army male was removed from the class permanently.

Have seen where the command master chief ignored a hostile work environment where 12-15 people complained and nothing was done. One person tried to file a complaint for race discrimination against a white member. A senior chief was first on the list but left the CG because of the harassment.

Have seen a senior chief who was first on list to make master chief and after he filed a complaint, his supervisor retaliated and harassed him so badly, the senior chief retired.

He is a gay service member and never really came out. He keeps his work life and private life separate by choice. His office has been very supportive, but other places he worked have not always been. He talked about a religious individual who made fun of him and spread rumors. He dealt with it by just steering clear of him.

Female Officer: In all positions I have experienced a degrading climate-professionally and personally. Worked closely with the OPS boss-his temperament no one dished back to him-he was known for inappropriate joking. During a port call-drinking-she disagreed with him and he stood up and slapped her across the face. When he was getting ready to do it again-to back hand her, a non-rate stopped him. She left went back to ship-didn't say anything. The command didn't know until Spring of following year. The XO called the female officer and told her that OPS had put his wife in the hospital after abusing her. The female officer felt guilty that she didn't say anything. Wife did not press charges so the Coast Guard dropped it. The OPS boss is currently a CO on a cutter in same area.

There were 3 females and the CO's attitude was no females should be boarding officers "because they weren't tough enough". She would have to get tackled during tag football to prove herself. The CO disapproved of pregnancy in the wardroom and in front of a mess cook said "if you keep this thing you will fail-you need to tell your shipmates your career is over!" The CO made her get underway and she missed two obstetric appointments. An O-5 at HQ interceded and the CO got mad. The pregnant female was cross decked to another cutter. She was retaliated against by the CO who told the XO not to let her go "Not worthy for wasting money on a plane ticket."
Detailer interceded. She was going to leave the service if not for the detailer helping her and getting her in touch with child care resources.

African American found a noose in a bag in berthing area. He didn't have a lot of friends or peers. A warrant officer emailed-things going on she talked to the XO and he said you don't need to talk about this and told her "don't say anything". She went to the CO and he said there was an investigation and training would be done. Nothing was done to help the member and it divided the crew. Perception was there was no support from XO. CO lead training and did a good job.

Appendix E
Good Order & Discipline
Message Examples

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Good Order & Discipline Examples

Unclear as to whether further administrative action occurred which would prevent member from coming back into the CG as a civil service employee:

An O-3 resigned for the good of the Service and in lieu of trial by court martial after admitting to violating Article 133, UCMJ (conduct unbecoming an officer and gentleman). The officer intentionally burned a subordinate's jacket; made several sexist and racist comments; and made unlawful, offensive physical contact with a civilian while intoxicated and in front of subordinate enlisted members.

An O-3 resigned for the good of the Service with an other than honorable discharge in lieu of trial by general court martial proceedings after allegedly sexually harassing and assaulting another O-3 and falsifying official statements relating to the matter during an official investigation.

Example of Unclear Civilian Punishment:

A GS-13 was suspended for disrespectful conduct. [What was the conduct? What was the suspension time? Was this permanent suspension?]

Perceived Inequity between Officer and Enlisted Punishments:

An O-4 resigned in lieu of further adverse administrative action after receipt of a second alcohol incident and a previous conviction at a general court martial for government travel card fraud, making false official statements to investigators, and two counts of assault with intent to cause grievous bodily harm.

An E-4 was convicted by General Court-Martial for improper use of a government purchase card; using a purchase card that did not belong to the member; using government convenience checks to make unauthorized purchases; making a fraudulent claim against the U.S. Coast Guard in the amount of $500 or more; and for falsely pretending to have authority to use government funds to procure services of a value of $500 or more. The member was sentenced to reduction to pay grade E-1, confinement for 180 days, forfeiture of all pay, and a bad- conduct discharge.

An E-5 having knowledge of a lawful order, failed to obey the same by wrongfully engaging in sexual intercourse in a Coast Guard controlled workspace, wrongfully having sexual intercourse with a married civilian, not the member's spouse, and making a false official statement. The member was discharged under Other Than Honorable Conditions in lieu of trial by Court-Martial.

An O-3 resigned in lieu of involuntary board action as a result of a prohibited relationship with a junior enlisted member assigned to the same unit, which degraded the units workplace climate.

A CWO3 retired in lieu of involuntary board action as a result of a prohibited relationship with a junior enlisted member.

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Appendix F
COR IPT Focus Groups
Optimal State Standards

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COR IPT Focus Group Optimal State Standards

OPTIMAL STATE OF A CULTURE OF RESPECT

We hold ourselves to a higher standard than what is expected of the public—we live our core values of honor, respect, and devotion to duty. We act morally, ethically, lawfully, professionally, and with integrity on and off duty. We treat everyone with dignity, respect, care, and concern. We hold ourselves and others accountable and have the moral courage and authority to proactively prevent, stop, correct, and address undesirable behavior while upholding Coast Guard standards.

We are all leaders responsible for showing respect up, down, and across the chain of command through transparent action. As leaders we communicate clear expectations to our subordinates and demonstrate sound judgment. We model respectful behavior and lead by example, with self discipline and enthusiasm. We select leaders who demonstrate competence, commitment and character; role models who exhibit maturity and professional acumen. We understand that "character" encompasses ethical decision making, integrity, fairness, dignity, and respect. We know the people we work with and show them respect.

There are no bystanders in the Coast Guard. We do not tolerate sexual assault, harassment, discrimination, hazing, bullying, retaliation, or intimidation; we uphold a culture of respect for all. We provide a safe, collaborative, and productive environment free from hostility and violence as well as substance abuse. We will provide clear direction and standards to our members on how to report and take reports of culture of respect violations. We support victims of these offenses, and they shall not be made to fear retaliation for reporting violations.

We include, value, and respect all members of the Coast Guard family, regardless of background, job specialty/rating, gender, sexual orientation, religion, race, color, national origin, age, disability, genetic information, marital status, parental status, or political affiliation. We afford all personnel the equal opportunity to contribute to Coast Guard missions and advance in their careers.

Note: This was based on interviews from focus groups and Gold & Silver Badges. COR IPT Guidance Team and SAPC reviewed optimal state.

Appendix G

SEXUAL ASSAULT PREVENTION:

REFRAMING THE COAST GUARD

PERSPECTIVE TO ADDRESS THE

LOWEST LEVEL OF THE SEXUAL

VIOLENCE CONTINUUM –

SEXUAL HARASSMENT

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SEXUAL ASSAULT PREVENTION: REFRAMING THE COAST GUARD PERSPECTIVE

TO ADDRESS THE LOWEST LEVEL OF THE SEXUAL VIOLENCE CONTINUUM –

SEXUAL HARASSMENT

Lieutenant Commander Bryan R. Blackmore

We get it. We know that the larger issue is a cultural problem, which has allowed demeaning behavior and attitudes towards women to exist within the Navy Department. Our senior leadership is totally committed to confronting this problem and demonstrating that sexual harassment will not be tolerated. Those who don't get the message will be driven from our ranks. –Acting Navy Secretary Sean O'Keefe, September 1992

In my view, all this stuff is connected. If we're going to get serious about things like sexual assault, we have to get serious about an environment that could lead to sexual harassment. In some ways, this stuff can all be linked. – Gen. Mark A. Welsh III, Air Force Chief of Staff, December 2012

I. Introduction

He was the "cool" Chief. He was the most approachable senior enlisted on the cutter. He let the junior enlisted come into the ship's office where he would listen to them vent about life on a cutter. He offered them career advice. He played cards with them on the messdeck. He earned the complete trust of the crew. He also earned the trust of the command, he was the Executive Officer's trusted assistant, ably handling all administrative matters on the cutter and earning selection to the Chief Warrant Officer list.

Chief became especially close to two junior enlisted females. The first female (Female 1), a junior petty officer, would come to his office regularly and discuss life with Chief. She told him all about her boyfriend, who was on another cutter. He provided her updates on his A-school status. Chief would also refer to her as his "boo" and call her "babe." The other female (Female 2), a Seaman, would also come to his office and hang out. Chief identified with her because they were both from the same hometown. They often talked about home and she sought career advice from him and he updated her on her A-school status. He did not call her "boo," but he did call her by her nickname, a shortened version of her last name.

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During one patrol, Chief saw Female 1 in a bikini during a port call. He made a point of telling her that she looked really good in her bikini and that he really liked the pink bottom. She thought nothing of the comment at the time. During another port call a month later, and after drinking by most of the crew, Chief called her to his office. She thought Chief was going to update her on her boyfriend's A-school status. Instead, Chief locked the door to the ship's office, sat on her lap and tried to kiss her. She resisted and reminded him that she had a boyfriend. She was able to get up, but Chief then pinned her up against the printer and rubbed himself against her. She continued to resist and Chief finally relented. Before she was able to leave, he insisted that she tell him that they were still friends. She left the ship's office that night and did not report the incident.

At the next port call, Chief got really intoxicated. Most of the crew congregated at one bar shore-side. Chief made his way to a table of junior enlisted females. He sat down, leaned over, and rubbed the leg of a female Seaman sitting next to him. She slapped his hand away; Chief called her a "bitch."

Chief ended up at another table sitting next to another female junior petty officer. He rubbed her leg and told her she was beautiful, she rebuffed him and Chief left the table. Chief walked away and proceeded to hit on another junior enlisted female, telling her she looked "fine tonight" and that she was a "sexy Russian." She told him he was being inappropriate.

Chief was later seen grinding on other females on the dance floor. While dancing with one female petty officer, Chief told her to "get on my dick" and also said to her "damn, look at that ass." Another female petty officer reported Chief grabbed her butt on the dance floor. On the way back to the cutter that night with other crewmembers, he asked one female petty officer where her rack was located. She also told him that was inappropriate. Chief replied he was untouchable; that he handled the "captains masts" and he would not get in trouble.

Later that night, Chief went to the rack of Female 2 and sexually assaulted her. The next day she was in shock and did not report the sexual assault to the command. Chief came to her rack the next night and sexually assaulted her again, accusing her of leading him on and kissing on him on the dance floor the night before. She woke up the next morning and reported both sexual assaults to a shipmate. She eventually spoke with Female 1 and learned that Chief sexually assaulted her during a previous port call.

Chief was tried by a general court-martial and convicted by a panel of members of one specification of Aggravated Sexual Contact and three specifications of Wrongful Sexual Contact, in violation of Article 120 of the Uniform Code of Military Justice (UCMJ). He was also convicted of multiple specifications of Assault Consummated by Battery, in violation of Article 128 of the UCMJ; one specification of Housebreaking, in violation of Article 130 of the UCMJ; and two specifications of Unlawful Entry, one specification of Statements to the Prejudice of Good Order and Discipline in the Armed Forces, and one specification of Drunk and Disorderly Conduct, all in violation of Article 134 of the UCMJ. Chief was also charged with three specifications of Maltreatment, Article 93 of the UCMJ, based on his "get on my dick," "damn, look at that ass," "sexy Russian" comments as well as the comments about Female 1's bikini. The panel found him not guilty of these specifications.

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The armed forces are getting slammed daily from every direction because of the number of sexual assaults occurring within its ranks. Congress made significant changes to the UCMJ in the National Defense Authorization Act (NDAA) for Fiscal Year 2014, to include revising the Article 32 process, limiting a Convening Authority's ability to modify the findings and sentence of a court-martial, allowing a victim to submit matters to a Convening Authority before the Convening Authority takes action on a court-martial, and mandating discharge or dismissal for members found guilty of sex-related offenses.

The contemporary United States military culture has been cited as the source of the military sexual assault problem. In response, the Coast Guard, like the other services, has formulated a Sexual Assault Prevention and Response (SAPR) Strategic Plan to eradicate military sexual assaults. All of the services have attempted to address sexual assault through training and providing more robust services and protections to victims, in hopes of changing the culture of each service. But, with the exception of the Army, the services fail to explicitly address sexual harassment as an enabler of sexual assault in their SAPR policies and training.

Admiral Papp, Commandant of the Coast Guard, stated in his Commander's Intent that the Coast Guard shall "[create a culture intolerant of sexual assault or behaviors that enable it." The general court-martial of Chief Hughey exemplifies how sexual harassment can lead up to or enable sexual assault. Many aspects of Chief Hughey's behavior constituted sexual harassment, but he was left unchecked and his behaviors elevated to sexual assault. Sexual harassment is normally viewed as a form of employment discrimination, which the Coast Guard recognizes. But the Coast Guard fails to recognize that sexual harassment is a form of sexual violence that enables sexual assault. Sexual harassment is a part of the sexual violence continuum, a continuum that leads to sexual assault or death.

This article advocates for the Coast Guard to reframe the perspective in which it views and addresses sexual harassment in order to comprehensively prevent sexual assault. A comprehensive campaign to combat military sexual assault must include reframing the perspective through which the Coast Guard views sexual harassment, dispensing with the notion that sexual harassment and sexual assault are separate and distinct concepts. Rather than continuing to address sexual harassment as primarily a discrimination issue and sexual assault as criminal conduct, the Coast Guard needs to recognize the connection between the two and must address sexual harassment and sexual assault as part of a continuum of sexual violence. Effectively addressing sexual harassment as part of a continuum of sexual violence requires re-evaluating Coast Guard sexual harassment and sexual assault policies and training; recognizing that sexual harassment has been, and continues to be, a pervasive problem; and understanding the relationship between sexual harassment, organizational climate, and sexual assault; and integrating sexual harassment and sexual assault prevention efforts in order to maximize unity of effort. Ultimately, efforts to prevent sexual assault must include directly addressing behaviors found at the lower end of the sexual violence continuum, starting with the enabling offense of sexual harassment.

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Part II of this article details the legal background and Coast Guard definition of sexual harassment. Part III details the history and extent of the sexual harassment problem in the military, focusing on reports by the Government Accountability Office (GAO) that assess the levels of, and issues associated with, sexual harassment at the service academies and within the Department of Defense. Part IV analyzes the relationship between sexual harassment, organizational climate and sexual assault, to include summarizing the statistics, reframing the perspective to look at the full sexual violence continuum, and identifying research that high-lights sexual harassment as a precursor to sexual assault and evaluates the effect of organizational climate on the prevalence of sexual harassment and sexual assault. Part V examines Coast Guard sexual harassment policies and training, identifies an artificial distinction between sexual harassment and sexual assault inherent in Coast Guard policies and training, and provides recommendations to update policies and training to reflect the reality of the relationship between sexual harassment and sexual assault. Part VI summarizes the Coast Guard's SAPR Strategic Plan and the establishment of the Coast Guard SAPR Military Campaign Office (SAPR MCO), details the Plan's absence of sexual harassment and its relationship to sexual assault, argues that culture change must include directly addressing sexual harassment in the service's strategic planning, and recommends studying the ARMY's Sexual Harassment/Assault Response and Prevention (SHARP) program as a model for strategic integration of Coast Guard sexual harassment and sexual assault prevention efforts. Finally, Part VII urges elimination of the sexual harassment discrimination—sexual assault misconduct dichotomy currently present in Coast Guard policies and adoption of the sexual violence continuum as the conceptual model for addressing sexual harassment and sexual assault as the transformational change necessary to eliminate sexual assault; and summarizes the short-term and long-term recommendations needed to effectuate this transformational change.

II. Sexual Harassment Legal Background and Definition
A. Sexual Harassment Legal Background

Title VII of the Civil Rights Act of 1964 makes it "an unlawful employment practice for an employer . . . to discriminate against an individual with respect to his compensation, terms, conditions, or privileges of employment, because of such individual's race, color, religion, sex, or national origin." In 1986, the Supreme Court held sexual harassment in the workplace constitutes actionable sex discrimination under Title VII. Title VII does not explicitly extend these protections to the military, but Coast Guard policy applies Title VII protection to its military members.

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B. Sexual Harassment Definition

The Coast Guard Civil Rights Manual provides the service's definition of sexual harassment. Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when:

1. Submission to such conduct is made either implicitly or explicitly a term or condition of employment.
2. Submission to or rejection of such conduct is used as a basis for employment decisions.
3. Such conduct has the purpose or effect of unreasonably interfering with an individual's work performance or creating an intimidating, hostile, or offensive working environment.
4. This definition also encompasses unwelcome display or communication of sexually offensive materials.

The Civil Rights Manual further delineates sexual harassment into two categories. The first category, tangible employment action, involves sexual harassment by a supervisor when it results in a personnel action. Tangible employment actions must be official actions, and include actions such as hiring, firing, promotion or failure to promote, demotion, undesirable assignment, or significant changes in benefits or pay. The second category, hostile environment, encompasses all other situations in the definition of sexual harassment. The offender in hostile work environment sexual harassment may be a supervisor or coworker. The harassment must be so severe and pervasive that a reasonable person would view the environment as hostile, offensive, or abusive.

In general, sexual harassment ranges from overt behaviors, to include inappropriate touching, to subtle behaviors, such as making suggestive remarks. Furthermore, any behavior that relates to sex, is intentional or repeated, is unwelcome, and interferes with a member's ability to work, or has an effect on a member's working conditions may be sexual harassment. Specific types of sexually harassing behavior include gender harassment, seductive behavior, sexual bribery, sexual coercion, and sexual imposition.

Gender harassment consists of sexist statements and behaviors that convey degrading attitudes based upon sex. Seductive behavior is any unwanted, inappropriate, and offensive sexual advance. Examples include repeated and unwanted requests for dates, repeated and unwanted sexual invitations, and touching in a way that makes a person uncomfortable. Sexual bribery is the solicitation of sexual activity or other sex-related behavior in return for a reward. Sexual coercion is also known as *quid pro quo* behavior, it is coercion of sexual activity threatened by punishment such as demotion, withholding of promotion or negative performance appraisals. Finally, sexual imposition involves uninvited physical violation or *sexual assault*.

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III. The History and Extent of the Sexual Harassment Problem

A. The Problem is Not New

Sexual harassment in the military is not a new problem. The mention of sexual harassment in the military conjures up images of the Navy Tailhook scandal in 1991 and the sexual harassment and rape of Army female trainees at Aberdeen Proving Grounds in 1996. More recently, a single report of sexual harassment exploded into a full-blown sexual harassment and sexual assault scandal in the Air Force's basic training operations at Lackland Air Force Base in 2011.

Multiple sexual harassment incidents at the Naval Academy in 1989 and 1990, including a female midshipman being handcuffed to a men's room urinal and then being photographed by her male counterparts, prompted increased congressional interest in the extent of sexual harassment at the service academies. This interest prompted what would become the first of multiple General Accounting Office (GAO) reviews of sexual harassment at the service academies. From 1994 to 2007, the GAO conducted three reviews of sexual harassment at the service academies. In 2011, GAO reviewed the Department of Defense's (DoD) sexual harassment prevention efforts.

In 1994, the GAO conducted a survey at the service academies and found sexual harassment was very prevalent and underreported. During academic year 1991, between 93 and 97 percent of academy women reported experiencing at least one form of sexual harassment, with approximately 50 to 75 percent experiencing at least one form of sexual harassment on a recurring basis. Despite these numbers, there were only twenty-six formal reports of sexual harassment.

A year later, the GAO updated their 1994 report on the extent of sexual harassment at the service academies. The GAO conducted a follow-up survey at the academies during academic year 1993-94, adding a question on sexual harassment tailored after the wording of the DoD definition of sexual harassment in 1988. This new question focused on the incidence of more overt, physical forms of sexual harassment in addition to the verbal forms. The responses indicated between 36 percent and 42 percent of academy women at least once or twice over the year had experienced physical, gender-related behavior that interfered with their performance or created a hostile environment, or unwelcome, deliberate physical contact of a sexual nature. Approximately 11 percent to 22 percent of academy women indicated experiencing *quid pro quo* sexual harassment, where they experienced sexual advances that were tied to their careers.

In 2007, twelve years after their last report on sexual harassment at the service academies, the GAO conducted another review of sexual harassment and assault programs at the academies. In this review, the GAO evaluated the academies' programs to prevent, respond to, and resolve sexual harassment and assault cases; the academies' visibility over sexual harassment and assault incidents; and DoD and Coast Guard oversight over the academies' sexual harassment and assault programs.

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With respect to the academies' visibility over sexual harassment and assault incidents, the GAO's conclusions were not very positive. The academies collected data on sexual harassment and assault, but a comparison of the sexual harassment data provided by the DoD academies Military Equal Opportunity (MEO) offices and student perceptions collected from a 2006 Defense Manpower Data Center (DMDC) survey indicated that sexual harassment may be underreported. Specifically, the DoD academies' MEO offices reported eight alleged sexual harassment incidents in 2006. But, survey results of DoD academy students in March and April 2006 indicated that an estimated 51 to 60 percent of female respondents and an estimated 8 to 12 percent of male respondents experienced sexual harassment.

A 2006 Coast Guard Academy survey revealed similar disparities in the results. According to the 2006 Cadet Human Relations and Climate survey, forty-three females and twenty males of the 793 student respondents reported being subjected to sexual harassment or sexual assault. The Coast Guard Academy combined sexual harassment and sexual assault into one survey question, thus making it difficult to directly compare the survey responses to reported data. Regardless, the numbers from the survey responses exceed the ten recorded sexual assault and zero recorded sexual harassment incidents at the Coast Guard Academy in the 2006 academic year. This disparity in the numbers provided from the academies' offices designated to handle sexual harassment complaints and student perceptions of the sexual harassment problem led to the GAO's conclusion that the academies may not have complete visibility on the extent of the sexual harassment problem due to underreporting.

Finally, in 2011, Congress tasked the GAO with performing another performance audit. This time, instead of reviewing sexual harassment at the service academies, Congress directed GAO to assess DoD's sexual harassment prevention efforts. To complete this assessment, GAO officials analyzed DoD service policies and available sexual harassment complaint data. GAO officials also visited six DoD locations, where they conducted fifty-nine small-group discussions and administered a confidential survey to 583 service members. The GAO noted one particular area for improvement was the inconsistent support for sexual harassment policies by military commanders and senior enlisted members. DoD Directive 1350.2, which outlines the department's sexual harassment policy, states it is DoD policy to use the chain of command to promote, support, and enforce the department's sexual harassment policies. But, GAO found that service members have mixed perceptions regarding leadership's support of sexual harassment policies and programs. GAO's review of the DoD's 2010 Workplace and Gender Relations Survey of Active Duty Members (2010 WGRA Survey), responses from GAO's confidential survey, and feedback from interviews during GAO's site visits support this finding.

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A cursory review of the 2010 WGRA Survey would lead to the conclusion that service members generally perceived their leaders to be supportive of sexual harassment policies and programs, but the results also indicated a significant percentage of service members did not necessarily concur with that perception. Approximately 76 percent of service members believed that senior leadership made "honest and reasonable efforts to stop sexual harassment, regardless of what was said officially." The survey also found approximately 69 percent of women and 77 percent of men believed their immediate supervisor made "honest and reasonable efforts to stop sexual harassment, regardless of what is said officially." Those numbers seem to be positive, but GAO looked at these results from a different perspective, noting that an estimated 31 percent of women and 23 percent of men did not believe or were unsure of whether their immediate supervisor made " honest and reasonable efforts to stop sexual harassment, regardless of what is said officially." GAO officials further noted the survey also found an estimated 52 percent of women and 38 percent of men indicated that members would be able to get away with sexual harassment to some extent in their work group, even if it were reported.

Similarly, GAO's confidential survey found that service members had mixed perceptions regarding whether their direct supervisor created a climate that discouraged sexual harassment. Sixty-four of 264 female service members and 53 of 319 male service members interviewed by GAO officials responded that they did not think or were not sure whether their direct supervisor created a climate discouraging sexual harassment from occurring. Feedback from GAO's interviews during site visits also revealed service members had mixed perceptions of leadership's support of sexual harassment policies. GAO officials noted frequently hearing in interviews that there was "zero tolerance" for sexual harassment and that leaders issued statements against sexual harassment or regularly spoke to service members about sexual harassment, but the officials also heard plenty of examples of leadership not consistently displaying a strong stance against sexual harassment. Examples include members detailing sexual harassment incidents being "swept under the rug" and incidents of sexual harassment needing to occur multiple times or to multiple people before being addressed or taken seriously. GAO officials were also told during their site visits that some leaders do not back up their words with actions and that leaders who do not support or show their support for sexual harassment policies undermined implementation of the department's programs. Finally, Equal Opportunity program officials at the site visits stated that leadership could negatively affect unit morale and cohesion by not taking sexual harassment seriously. A military chaplain and multiple service members echoed this sentiment, with one service member's comment specifically resonating: "Why would you stick your neck out for someone who doesn't respect you?"

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B. Sexual Harassment Remains a Persistent Problem

Available statistics from more recent surveys conducted by the DMDC clearly indicate that sexual harassment remains a persistent problem in the active duty components and at the service academies. The DMDC conducts the Workplace and Gender Relations Survey of Active Duty Members (WGRA) to provide information on the active duty prevalence rates of sexual assault, sexual harassment, and sexist behavior; personnel policies, practices, and training related to sexual assault; and to provide an assessment of progress. The DMDC also conducts the Service Academy Gender Relations Survey (SAGR) to assess the incidence of sexual assault and harassment and gender-related issues at the three DoD academies and the Coast Guard Academy. The 2012 versions of these surveys provide statistical data that clearly indicates sexual harassment remains a persistent problem in the military. In fact, Major General Gary Patton, the former director of the DoD Sexual Assault Prevention and Response Office, echoed this sentiment in December 2012 in response to the release of the Annual Report on Sexual Harassment and Violence at the Military Service Academies, Academic Program Year 2011-2012, and stated the "report shows that sexual assault and sexual harassment remain persistent problems at the academies."

   In the 2012 WGRA, the DMDC received completed surveys from 22,792 active duty members after requesting confidential feedback from over 108,000 active duty members. The report includes rates for unwanted sexual contact and unwanted gender-related behaviors. Unwanted sexual contact is intended to measure sexual assault, it is used as an umbrella term to include acts prohibited by the Uniform Code of Military Justice. Unwanted gender-related behaviors encompass sexual harassment and sexist behavior. To determine the extent of unwanted gender-related behaviors, members were provided a list of twelve sexual harassment behaviors and four sexist behaviors and were then asked to indicate how often they experienced those behaviors in the past year. The twelve sexual harassment behaviors contain three components of sexual harassment: crude or offensive behavior, unwanted sexual attention, and sexual coercion. Members must have experienced at least one behavior defined as sexual harassment and indicated they considered that behavior to be sexual harassment in order to be included in the calculation for the sexual harassment rate.

According to the report, 23 percent of women and 4 percent of men reported experiencing sexual harassment in the past year. Forty-one percent of women and 20 percent of men experienced crude or offensive behavior. Twenty-three percent of women and 5 percent of men experienced unwanted sexual attention. Finally, 8 percent of women and 2 percent of men reported experiencing sexual coercion.

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In the 2012 SAGR, DMDC received completed surveys from 5,425 students out of an eligible sample size of 7,258 students. The SAGR report also includes rates for unwanted sexual contact and unwanted gender-related behaviors, and uses the same methodology and definitions as the WGRA. At the Coast Guard Academy, 40 percent of women and 10 percent of men indicated experiencing sexual harassment in 2012. Seventy-six percent of women and 46 percent of men reported experiencing crude or offensive behavior. With respect to unwanted sexual attention, 42 percent of women and 13 percent of men reported experiencing that type of behavior. Lastly, 11 percent of women and 4 percent of men reported experiencing sexual coercion.

C. Complete Visibility and Leadership Support Needed

Not only do the GAO and 2012 DMDC reports clearly show sexual harassment has been a problem since the early 1990s and continues to be a problem today, they also underscore the importance of complete visibility over the extent of the problem. Congress took action in 2003 and 2004 to improve the visibility over sexual harassment problem in the DoD. After reviewing DoD surveys from 1988, 1995, and 2002 that indicated sexual harassment was a problem in the military, Congress passed the Bob Stump National Defense Authorization Act for Fiscal Year 2003 (2003 NDAA). In the act, Congress required DoD to conduct four quadrennial surveys to assess racial, ethnic, and gender issues in the military.

Similarly, in response to a series of sexual assault investigations at the Air Force Academy in 2003, Congress took action to address sexual harassment and assault at the DoD academies. In the National Defense Authorization Act for Fiscal Year 2004 (2004 NDAA), Congress required the three DoD academies to establish policies, programs, and procedures to address sexual harassment and sexual assault incidents and provide annual reports on sexual harassment and sexual assault incidents. Initially, these requirements did not apply to the Coast Guard Academy, but the Coast Guard Academy adopted sexual harassment and assault policies, programs, and procedures similar to the DoD academies on its own accord. In 2010, the Department of Homeland Security mandated that the Coast Guard comply with these specific provisions in the 2004 NDAA.

The Coast Guard must also take steps to maximize visibility over sexual harassment within the service. Ideally, the Coast Guard would have been included in the 2003 NDAA, and thus included in the mandated surveys conducted by the DMDC. But, for some reason, the Coast Guard was expressly excluded from the 2003 NDAA requirements. Regardless, the GAO reports clearly illustrate that sexual harassment is underreported and the DMDC reports indicate that sexual harassment remains a persistent problem in the DoD services as well as at the service academies. While these reports mainly address the DoD services, it is logical to conclude the Coast Guard is experiencing similar issues. Congress implemented the mechanisms to improve DoD's visibility; the Coast Guard needs to follow suit and implement its own mechanisms in order to more accurately assess the severity of the sexual harassment problem. The Coast Guard should consider a legislative change proposal including the Coast Guard in the surveys mandated in the 2003 NDAA or conduct its own annual surveys mirroring the requirements in the 2003 NDAA.

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The GAO also revealed another problematic area in its 2011 report: the perception that military leaders did not support sexual harassment programs or did not create a climate discouraging sexual harassment. These are two critical areas that must be addressed, as leadership support of sexual harassment policies and organizational climate play an important role in the relationship between sexual harassment and sexual assault.

IV. The Relationship between Sexual Harassment and Sexual Assault

A. What Do The Statistics Indicate?

Just as the WGRA and SAGR statistics reveal that sexual harassment remains a problem, the statistics also indicate a strong connection between sexual harassment and sexual assault. In the 2012 WGRA, 6.1 percent of women and 1.2 percent of men indicated experiencing unwanted sexual contact. Of the 6.1 percent of women that experienced unwanted sexual contact, 30 percent indicated that the offender sexually harassed them before or after the situation, 8 percent indicated that the offender stalked them, and 20 percent indicated that the offender both sexually harassed and stalked them. Of the 1.2 percent of men that experienced unwanted sexual contact, 19 percent indicated that the offender sexually harassed them before or after the situation, 2 percent indicated that the offender stalked them, and 21 percent indicated that the offender both sexually harassed and stalked them. Thus, according to these numbers, 50 percent of the women that experienced unwanted sexual contact indicated being sexually harassed by the offender and 40 percent of the men that experienced unwanted sexual contact indicated being sexually harassed by the offender.

For the Coast Guard Academy, the 2012 SAGR reported 9.8 percent of women and 0.7 percent of men indicated experiencing unwanted sexual contact. Of the 9.8 percent of women who reported unwanted sexual contact, 22 percent indicated that the offender sexually harassed them; four percent indicated that the offender stalked them; 15 percent indicated that the offender both sexually harassed and stalked them; and 59 percent indicated that the offender neither sexually harassed nor stalked them. In total, according to these numbers, 37 percent of the women who reported unwanted sexual contact were sexually harassed.

The 2012 SAGR also provided statistics detailing the timing of any sexual harassment or stalking associated with an unwanted sexual contact experience. Of the 9.8 percent of Coast Guard Academy women that reported experiencing unwanted sexual contact, 11 percent indicated that the offender sexually harassed or stalked them before the assault; 11 percent indicated that the offender sexually harassed or stalked them after the assault; 19 percent indicated that the offender sexually harassed or stalked them both before and after the assault; and 59 percent indicated neither before nor after the assault.

Major General Patton, in assessing the statistics in the 2012 SAGR, also recognized the connection between sexual harassment and sexual assault. In commenting on the 2012 SAGR, Major General Patton stated that the survey "shows no significant change in the prevalence of sexual harassment . . . And we recognize that eliminating sexual harassment is critical to preventing sexual assault."

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He went further, stating: We know from the survey respondents – that those who experienced a sexual assault in the past year, the vast majority of those people also experienced sexual harassment. So this is an important correlation, and it gets at establishing a climate – a non-permissive climate or environment in which the – the solution to this problem is an environment – creating a non-permissive environment where sexual harassment, sexist behavior, stalking, and these types of behaviors are not condoned, tolerated, or ignored. And we know that that would also contribute to establishing an environment where sexual assault is – would – would be reduced. So it's important that we survey the sexual harassment and we address that point, as well.

As Major General Patton noted, these statistics establish a strong correlation between organizational environment, sexual harassment, and sexual assault. Research on the interrelationship amongst these three issues further supports Major General Patton's observations.

B. Organizational Environment, Sexual Harassment, and Sexual Assault Are Interrelated
The statistics from the 2012 WGRA and SAGR surveys indicate a strong connection between sexual harassment and sexual assault and Major General Patton's conclusions regarding the strong correlation validate prior research that evaluated the relationship amongst organizational environment, sexual harassment, and sexual assault. Three research studies support the theory that sexual harassment is often a precursor to sexual assault. These studies also analyzed the effect organizational factors have on the prevalence of sexual harassment and sexual assault.

1. Factors Associated with Women's Risk of Rape in the Military Environment
One study focusing on risk factors for rape in the military interviewed 558 women veterans from November 1996 to May 1997. The sample of women was selected from the Department of Veterans Affairs health care registries. The 558 subjects selected consisted of women veterans from across the country who served in Vietnam, post-Vietnam, and the Persian Gulf eras, spanning a date range of military service from 1961 to 1997. Complete interview data was compiled for 506 women veterans, with all branches of the armed forces represented.

The interview participants were asked about their exposure to violence during their military service. Approximately 399 participants, or 79 percent, reported experiencing sexual harassment during their service. More than half of the participants, approximately 54 percent, reported experiencing unwanted sexual contact. Finally, approximately one-third, or 151 participants, reported experiencing one or more attempted or completed rapes. Of the participants who reported experiencing attempted or completed rape, over 60 percent indicated that the offender had sexually harassed them.

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This study also assessed the relationship between the military environment and rape during military service, and identified several risk factors associated with sexual harassment. In general, women that were exposed to harassment or violence during their service were also more likely to experience rape. Women who were sexually harassed or experienced unwanted sexual contact during their service had significantly elevated odds of in-military rape. According to the numbers provided, women experiencing sexual harassment had approximately fifteen times greater odds of being raped, while those reporting unwanted sexual contact had approximately seven times greater odds of being raped. Women who reported hostile work environments had approximately six-fold greater odds of being raped, while those who experienced unwanted sexual advances, remarks, or pressure for dates in sleeping quarters had more than a three-fold increase in odds of being raped. Finally, and most notably from a military leadership and climate perspective, ranking officer or immediate supervisor behaviors had a strong association with women's frequency of rape. Women's odds of being raped increased five-fold when officers engaged in *quid pro quo* behaviors. Officers allowing or initiating sexually harassing behaviors such as sexually demeaning comments or gestures was associated with a three to four-fold increase in odds of rape.

The conclusions from this study should alarm military leadership. The researchers concluded that military environmental factors were strongly associated with women's risk of rape during service. The results demonstrate that the odds of rape increase when the living or working environments were sexualized. In particular, work environments that allow inappropriate sexual conduct, however subtle, can significantly increase the risk of rape for women. This finding indicates a continuum of violence, with rape the most severe behavior. Lastly, this study's results underscore the importance of leadership behaviors. The leadership behaviors of officers constitute a powerful risk factor with respect to violence towards women. The findings from this study support prior research indicating women often identify higher ranking personnel as perpetrators of unwanted sexual attention, and that such sexual harassment is associated with male service members acting adversely towards female members.

2. Sexual Assault and Other Types of Sexual Harassment by Workplace Personnel: A Comparison of Antecedents and Consequences
Another study used data from the 1995 DoD Gender Issues Survey to address whether the antecedents found to be associated with sexual harassment are also associated with sexual assault by workplace personnel. Specifically, the authors noted that previous research had examined sexual harassment and sexual assault by workplace personnel as a unitary construct, but it is unknown whether factors such as organizational climate, job gender context, organizational power, and sociocultural power that have been proposed as antecedents to sexual harassment also predict sexual assault by workplace personnel when sexual assault is considered separately. This study used aspects of several theories for the causes of sexual harassment, to include sex role spillover theory, organizational climate theory, and power differential theories, while also considering sociocultural power, to guide an examination of the theoretical antecedents and consequences of sexual assault by workplace personnel and sexual harassment in the military.

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The sample for this study consisted of 22,372 female service members who responded to the survey, to include representation from all DoD services and the Coast Guard. Of the 22,372 female service members, 941 reported being sexually assaulted by workplace personnel in the previous 12 months. Approximately 72 percent, or 16,204 female service members reported experiencing other forms of sexual harassment, while approximately 23 percent indicated not experiencing sexual assault or sexual harassment by workplace personnel in the past 12 months. Of the 941 female service members who reported experiencing sexual assault, 938, or 99.7 percent, indicated that workplace personnel sexually harassed them in the past 12 months.

This study used the data available from the 22,372 surveys to assess how organizational climate, job gender context, organizational power, and sociocultural power relate to sexual harassment and sexual assault. To measure organizational climate, the researchers reviewed the survey respondents' perceptions of the military's efforts to enforce sexual harassment policies, perceptions of the services provided to sexual harassment victims, and perceptions of the prevalence of sexual harassment training. The responses were standardized and summed to create a composite variable of organizational climate, a higher score represented less tolerance of sexual harassment. Four items were used to assess job gender context. These items included "job not usually held by personnel of your gender," "in a work environment where personnel of your gender are uncommon," supervisor's sex, and the gender ratio among coworkers. The responses were standardized and summed to create an indicator of how much a participant's workgroup was masculinized. To assess the organizational power of a survey respondent, the researchers looked at pay grade and years of active duty service. A lower pay grade and fewer years of active duty service represented a lower organizational power. Lastly, a review of a respondent's age, education, race or ethnicity, and marital status was completed to assess one's sociocultural power. A younger age, lower education level, minority racial group membership, and non-married status represented lower sociocultural power.

After reviewing all of these factors, the researchers concluded there are important similarities and differences between sexual assault by workplace personnel and sexual harassment. The results indicated that low sociocultural and organizational power were associated with an increased likelihood of experiencing both sexual assault and sexual harassment by workplace personnel. With respect to an organization's climate and the job gender context, these two factors were found to be directly associated with sexual harassment, but only indirectly associated with sexual assault by workplace personnel. Instead, the relationship between organizational characteristics and sexual assault is completely mediated by women's experiences of sexual harassment. The researchers explained the apparent indirect relationship with organizational characteristics and sexual assault by pointing out while both sexual assault and harassment appear to occur primarily on military installations, the sexual assaults are not occurring in the workplace or during duty hours like instances of sexual harassment.

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The researchers further note it is logical that organizational characteristics have an indirect relationship given that the majority of sexual assaults occur outside the immediate work setting. Because of this relationship, the researchers concluded that improving the military climate with respect to sexual harassment may decrease the occurrence of other types of sexual harassment, which, in turn may lower sexual assault occurrences.

3.   Sexism, Sexual Harassment and Sexual Assault: Comparing Data from 2002 and 2006
Lastly, a 2008 Defense Equal Opportunity Management Institute (DEOMI) research report used more recent data to support prior research that analyzed the relationship between sexual assault and sexual harassment in the workplace. The author of this report used data from the Armed Forces 2002 Sexual Harassment Survey and the 2006 Workplace and Gender Relations Survey (WGRA) to analyze the relationship among different types of sexual harassment and sexual assault to assess whether sexual assault indicators had changed. Both surveys included responses from enlisted members and officers in the Army, Navy, Marine Corps, Air Force, and Coast Guard.

This study focused on using the survey results to identify separate categories of individual and environmental harassment, and then delineate the relationships between these two forms of sexual harassment and sexual assault. Individual harassment was characterized as the *quid pro quo* type of harassment, to include the exchange of work-related benefits or consequences for sexual favors through bribes, threats, or physical force. Environmental harassment was characterized to include unwanted sexualized actions that affected one's work performance by creating a hostile work environment. More specifically, this study used the 2002 and 2006 survey responses to identify individualistic forms of sexual harassment that were personal and frequently physical in nature and left little room for misinterpretation. Examples of this individual harassment include sexual assault, touching, and sexual phone calls. This individual harassment was differentiated from the broader and more public environmental harassment, which included jokes, whistles, and suggestive looks. The survey responses were then classified as having experienced individualistic unwanted, uninvited sexual behavior; environmental unwanted, uninvited sexual behavior; or both. The study used this data to perform a logistic regression analysis to assess the impact of these forms of sexual harassment on the likelihood of reporting sexual assault.
In both surveys, more than 50 percent of female service members reported experiencing some form of sexual harassment. The percentages for females experiencing sexual harassment were approximately double the percentages for males in both 2002 and 2006. The study analyzed the numbers of attempted or actual sexual assaults for men and women by whether environmental harassment was reported in order to show the impact of environmental harassment on individualized harassment experiences. The results show that sexual assault reports were rare when environmental harassment was not noted and much more prevalent when environmental harassment was reported. The results of both surveys indicate the odds of sexual assault increased for both men and women when environmental harassment was present. The odds of sexual assault for men increased nearly 35 times, while the odds for women increased twelve-fold.

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The results of the logistic regression models designed to predict the probability of reporting attempted or actual sexual assault provide insight into what variables increase the odds of sexual assault. These models identified the dominant variables as individual harassment, sexist behavior, and environmental harassment. The logistic regression analysis also sheds light on the roles of individual and environmental harassment. The results of the analysis suggest that environmental harassment along with sexist behavior create a climate in which individual harassment is viewed as acceptable by potential offenders, and this climate in turn increases the likelihood of sexual assault. The linkage between individual and environmental harassment is apparent. When environmental harassment is not reported, individual harassment is rarely reported. For male members, approximately 89 percent of those members reporting no environmental harassment also reported no individualized harassment. For the female members that reported no environmental harassment, approximately 81 percent also reported an absence of individualized harassment. Conversely, when environmental harassment was reported, the probability of the presence of individualized harassment was extremely high, with approximately 98 percent for males and 99 percent for females. Thus, according to this study, the reporting of individualized harassment results in the greatest increase in the likelihood of sexual assault.

This research indicates that those members who experienced unprofessional, gender-related behaviors, such as crude or offensive behaviors, unwanted sexual attention, sexual coercion, and sexist behaviors, were also more likely to report experiencing attempted and actual rape. The research also indicates that experiencing increased numbers of unprofessional, gender-related incidents also increases the likelihood of sexual assault being reported. Finally, the author also noted it is likely that an organizational context where environmental harassment may be unofficially condoned and institutionally supported as a process for excluding women, and men that may not fit in, sends a message to those members with the propensity to engage in egregious individualized sexual harassment and sexual assault that their behaviors are acceptable.

4. Organizational Environment and Sexual Harassment are Linked to Sexual Assault

These three research studies provide startling insights into the connections between organizational environment, sexual harassment, and sexual assault. All three support the proposition that sexual harassment is often a precursor to sexual assault. Specifically, members who are sexually harassed are at significantly increased odds of being sexually assaulted. Furthermore, these studies highlight the importance that the organizational environment plays with respect to levels of sexual harassment and sexual assault. Not surprisingly, in environments where sexual harassment is tolerated or unofficially condoned by leadership, the risk of sexual assault increases. In particular, the effect of leadership behavior of officers should be noted, as these studies indicate these behaviors constitute a powerful risk factor. If leadership engages in sexually harassing behavior, it creates an environment where other members feel it is appropriate to engage in similar harassing behaviors.

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In sum, these studies show that sexual harassment is a precursor to sexual assault. They also show that the organizational environment plays a key part in the levels of sexual harassment, with environments that tolerate or condone sexual harassment and environments where leadership engages in sexually harassing behaviors having higher levels of sexual harassment. Thus, logic dictates that addressing organizational environments with respect to sexual harassment would lead to more successful prevention of sexual assaults.

Given that sexual harassment continues to be a persistent problem and the implications of the relationships among organizational environment, sexual harassment, and sexual assault, the Coast Guard must reframe the perspective in which it views sexual harassment and its connections to sexual assault. History and the current state of the sexual assault problem in the military compel a sea change in the culture of sexual harassment prevention and response.

C. Reframing the Perspective: The Sexual Violence Continuum

The sexual violence continuum provides a clear, straightforward conceptual model in which members can understand the nature of sexual violence and how sexual harassment and sexual assault fit within the overarching construct of sexual violence. Rather than solely focusing on sexual harassment as a discrimination issue, the Coast Guard should view sexual harassment as offensive conduct within a continuum of sexual violence. In particular, by viewing sexual harassment as part of a continuum of sexual violence, it provides a framework from which the service can view all behaviors that enable, or serve as a precursor, to sexual assault.

Understanding the continuum of sexual violence first requires defining "sexual violence." According to the Centers for Disease Control and Prevention (CDC), sexual violence is any sexual act perpetrated against someone's will. The CDC's definition suggests a continuum of sexual violence, as it details sexual violence as a range of offenses, to include a completed nonconsensual sex act such as rape, an attempted nonconsensual sex act, abusive sexual contact such as unwanted touching, and non-contact sexual abuse. Examples of non-contact sexual abuse include voyeurism, exhibitionism, unwanted exposure to pornography, threats of sexual violence to accomplish some other goal, taking nude photographs of a sexual nature without a person's consent, and verbal or behavioral sexual harassment.

Other organizations have further explained the sexual violence continuum. The National Center on Domestic and Sexual Violence (NCDSV) does not view sexual assault as an isolated act, but rather an act on a continuum related to other common events or activities, both illegal and legal. The NCDSV describes the continuum as beginning with suggestive looks, sexist comments, verbal harassment, and then escalating to exposure, sexual assault, aggravated sexual assault, and ultimately murder. According to the NCDSV, most women have experienced some act that falls within the continuum. The NCDSV also states the common denominator in every act along the continuum is a lack of respect.

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Experts working in the field of sexual violence have also provided a definition for sexual violence. In research sponsored by the National Sexual Violence Resource Center to facilitate the advancement of effective ways of communicating what constitutes, and what can be done to address, sexual violence, these experts described sexual violence as a continuum of behaviors that included both physical and nonphysical acts. Sexual violence was defined as nonconsensual acts that are sexual in nature. Most of the experts also emphasized that nonphysical acts such as emotional or verbal abuse constitute sexually violent acts. Thus, these experts conceptualized sexual violence as more than just the physicality of the act.

The Pee Dee Coalition, a volunteer victim advocacy training nonprofit organization in South Carolina, provides a similar description of the sexual assault continuum. They characterize sexual assault as a range of behaviors, with catcalls, voyeurism, and sexual harassment towards the lower end, and molestation, rape, and incest at the higher end. The sexual assault continuum represents a set of behaviors, some of which are accepted by society more than others. Underlying every behavior on the continuum are the attitudes and beliefs our society holds about gender roles and acceptable behavior. For example, rape is universally unacceptable, but some of the other behaviors such as catcalls or sexual harassment may be tolerated, which could lead to offenders advancing from one behavior on the continuum to a more egregious behavior.

It is time for the Coast Guard to reframe its perspective and look at sexual harassment and sexual assault through the lens of a sexual violence continuum. Advocates and others working in the field of sexual violence are clearly using this broader definition of sexual violence and find the continuum to be a useful tool, but the public may not fully understand the concept. For instance, when the sexual violence continuum was explored in a study involving 951 college students, the results indicated that students were able to identify acts at the more egregious side of the continuum, such as rape, as problematic but not the less serious, more subtle acts, such as harassment. Framing sexual harassment and sexual assault, as well as other sexually violent behaviors, through the lens of the sexual violence continuum, can reap extraordinary benefits in the Coast Guard's sexual assault prevention efforts. Specifically, the sexual violence continuum is a useful way to conceptualize ways in which bystanders can intervene before a sexual assault occurs. Incorporating the sexual violence continuum into bystander intervention training can educate Coast Guard members of the behaviors on the continuum, clearly detail that there is a link among these various behaviors, and ultimately show intervention at one end of the continuum can impact other behaviors, to include preventing a sexual assault. In other words, the sexual violence continuum provides a framework through which members can visualize how sexual harassment and sexual assault are connected, and how sexual harassment may oftentimes be a precursor to sexual assault. Unfortunately, Coast Guard policies and training fail to recognize the strong connection between sexual harassment and sexual assault.

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V. Sexual Harassment Prevention, Response, and Training in the Coast Guard

A. Anti-Harassment and Hate Incident Procedures Policy

   The Coast Guard's Civil Rights Manual provides Coast Guard members and employees guidance for applying and complying with the service's Equal Employment and Equal Opportunity (EEO/EO) requirements. The procedures for combating harassment and promptly addressing any harassment complaints are prescribed in the Anti-Harassment and Hate Incidents Procedures (AHHIP) Policy. Sexual harassment is one of the forms of prohibited harassment under this policy; and the Sexual Harassment Prevention Policy is outlined in this manual. The Civil Rights Manual is intended to provide a single point of focus for the Coast Guard's efforts to prevent sexual harassment and outlines a service member's options, the command's options, and sexual harassment prevention training.

B. Sexual Harassment Response

   1. A Service member's Options

The Civil Rights Manual provides two processes in which members may respond to sexual harassment. Members may respond utilizing the Harassment Complaint Process under the AHHIP Policy or the Discrimination Complaint Process under the EEO/EO Program, or both processes if they wish.

Under the Harassment Complaint Process, members are advised not to ignore the problem, not to assume the harassment will stop, and to expect that the harassment will likely intensify when ignored because the lack of corrective action will be seen by the perpetrator as acceptance or encouragement. If a member believes he or she is being sexually harassed, the manual directs the member to tell the harasser that the behavior is unwelcome and must cease immediately, to report such behavior immediately to the supervisor or to an official at a higher level, and to seek advice on how to deal with the situation from the local Civil Rights Office.

As seen from this guidance, the Harassment Complaint Process encourages members to confront the harasser before reporting the harassment to a supervisor. The Coast Guard's Sexual Harassment Prevention training reinforces this notion, encouraging members to "try to resolve the issue at the lowest level" by letting "the harasser know that [he or she is] offended." If the harassment continues or is severe enough to warrant immediate attention, the member may report the harassment to his or her supervisor. Once reported to a supervisor, the command must conduct an investigation and report the findings to the Civil Rights Directorate.

A member may also utilize the Discrimination Complaint Process to respond to sexual harassment. Under this process, a member must report the harassment to an EO Counselor and indicate an "intent to initiate the process." The Discrimination Complaint Process has three stages: the pre-complaint process, alternative dispute resolution process, and the formal complaint process. A member does not have to exhaust the Harassment Complaint Process prior to initiating the Discrimination Complaint Process; the processes may run in parallel if the member chooses.

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2. The Command's Options

The Civil Rights Manual states the most effective way to limit harassment is to treat it as misconduct, even if it does not meet the requirements for action under civil rights laws and regulations. Commanding Officers or Officers-in-Charge (CO/OICs) are "directed to be intolerable of sexual harassment at their units and are required to take immediate corrective action when it occurs." In addition to investigating upon receiving a sexual harassment report, CO/OICs are required to take appropriate steps to end the harassment and must take appropriate administrative and disciplinary action if warranted. The administrative and disciplinary options for commands are outlined in the Coast Guard's Discipline and Conduct Manual. Similar to the guidance in the Civil Rights Manual, CO/OICs are directed to take prompt and appropriate administrative action simultaneously with the complaint processes. The administrative options include informal or formal counseling, documenting the harassment in performance evaluations, and processing the offender for administrative separation. Sexual harassment may also rise to the level of criminal offenses under the UCMJ. Conduct constituting sexual harassment can meet the elements of a wide range of UCMJ provisions, to include Attempt to Commit an Offense under Article 80, Failure to Obey an Order or Regulation under Article 92, Cruelty and Maltreatment under Article 93, Sexual Assault under Article 120, and Conduct Unbecoming an Officer and Gentleman under Article 133.

In addition to listing these UCMJ provisions as disciplinary options, the Discipline and Conduct Manual also contains a lawful general order prohibiting illegal discriminatory conduct. Sexual harassment is included in this order's definition of illegal discrimination. However, using this order as an accountability tool is problematic for two specific reasons. First, it is susceptible to constitutional challenge as it is not drafted in a way to provide sufficient notice of what conduct is specifically prohibited. Second, if the order were to overcome a constitutional challenge, intentional discrimination on the part of the accused must be proven as an element. Proving the intent to discriminate required by this order in sexual harassment prosecutions is extremely difficult, as the trial counsel must show the purpose of the sexual harassment was to discriminate and that it was committed with the purpose of discriminating against someone because of his or her protected status.

The responsibilities of Commanding Officers and Officers-in-Charge are not limited to responding to sexual harassment incidents. They must also ensure members of their units receive annual training in sexual harassment prevention.

3. Sexual Harassment Prevention Training

Coast Guard members are required to complete Sexual Harassment Prevention (SHP) training annually. SHP training is designed to raise awareness among Coast Guard personnel of behaviors that constitute sexual harassment and educates personnel on how to respond, prevent, and eliminate sexual harassment. With respect to SHP training, the Civil Rights Manual is very explicit in distinguishing sexual harassment from sexual assault, specifically dedicating a portion of the SHP training section to the topic "Sexual Harassment is not the same as Sexual Assault." In this section, the manual states SHP training pertains to employment and conditions of employment, and should never be confused with sexual assault. The manual further states "sexual assault involves criminal activity and should be reported to the proper law enforcement authorities and investigating entities."

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C. Sexual Harassment Policy and Training Needs to be Re-evaluated

The Coast Guard's sexual harassment policies and training need to be re-evaluated and up-dated to better reflect the reality that sexual harassment is misconduct, not just discrimina-tion. The legal background of sexual harassment and Coast Guard's sexual harassment defi-nition are straightforward and uncontroversial. In fact, the Coast Guard's sexual harassment definition and complaint processes are consistent with the other services' definitions and processes. The definitions of sexual harassment in all of the services describe a spectrum of behaviors, with the most severe forms of sexual harassment legally constituting sexual as-sault under Article 120 of the UCMJ. Yet, Coast Guard policy specifically states "sexual har-assment is not the same as sexual assault" and trains its members accordingly.

This artificial distinction between sexual harassment and sexual assault is inconsistent with other parts of sexual harassment policy and creates needless confusion. At its core, this dis-tinction is completely contradictory, as the Civil Rights Manual's definition of sexual harass-ment includes sexual assault. In the SHP Training section of the Civil Rights Manual, sexual assault is characterized as criminal activity while sexual harassment only pertains to employ-ment and conditions of employment. The introduction to the AHHIP Policy, which states that the Coast Guard has determined the most effective way to limit harassing conduct is to treat it as misconduct, is not aligned with this notion. It is also inconsistent with the responsibility of CO/OICs in responding to sexual harassment reports, where the CO/OICs are directed to take appropriate administrative and disciplinary action.

In addition, further guidance on disciplinary options is provided in the Discipline and Con-duct Manual, where multiple provisions of the UCMJ and a lawful general order are provided as options for holding offenders accountable. In particular, the lawful general order prohibit-ing sexual harassment in the Discipline and Conduct Manual further undermines the Civil Rights Manual's attempt to distinguish sexual harassment from sexual assault. Claiming that sexual assault is criminal activity while maintaining sexual harassment only pertains to em-ployment and conditions of employment in the Civil Rights Manual is misleading when the Coast Guard criminalizes sexual harassment under Article 92 of the UCMJ in the Discipline and Conduct Manual.

The Coast Guard's online SHP Training and SAPR Training also perpetuate this artificial dis-tinction between sexual harassment and sexual assault. The SHP Training explains the dis-tinctions are important because the reporting procedures are different and runs through a number of vignettes to help reinforce the distinction. The SAPR Training provides an identi-cal explanation and identical vignettes. While the Coast Guard SAPR Program Manual out-lines the reporting options for victims and dictates that investigations will be conducted by CGIS, sexual harassment allegations are addressed at the lowest level. But, both the SHP and SAPR Training fail to address instances where sexual harassment would also meet the definition of sexual assault, thereby training Coast Guard members that sexual harassment and sexual assault are separate and distinct concepts.

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This artificial distinction, and subsequent training emphasizing it, needlessly confuses Coast Guard members. In this author's experience facilitating Sexual Assault Prevention Workshops (SAPWs), the confusion in distinguishing between sexual harassment and sexual assault is consistently an issue raised by Coast Guard members. Judge Advocates and Sexual Assault Response Coordinators who have facilitated SAPWs Coast Guard-wide have had similar experiences, prompting one facilitator to include a Civil Rights representative as a co-facilitator to help explain the distinction. In focus groups conducted at various locations by the SAPR MCO and Commandant's Junior Council in the summer of 2013, Coast Guard members expressed similar confusion with respect to the policies and definitions. Junior members indicated they had difficulty seeing the dividing line between "white and black" behavior, specifically noting that sexual harassment is handled at the lowest level but unwanted touching requires reporting.

This confusion prompted a common recommendation from the focus groups: clarify the definition of sexual harassment and how it differs from sexual assault.

Due to the needless confusion created by the artificial distinction between sexual harassment and sexual assault, Coast Guard policies and training need to be re-evaluated and updated to reflect the reality that sexual harassment is a part of the overall sexual violence continuum. It is readily apparent that Coast Guard policy is drafted in a manner to view sexual harassment as discrimination and sexual assault as criminal conduct. This oversimplification of the nature of sexual harassment minimizes the fact that sexual harassment is also misconduct, and can be criminal conduct as well. Sexual harassment policy must address the fact that sexual harassment may be both misconduct and discrimination.

The artificial distinction between sexual harassment and sexual assault should be immediately deleted from Coast Guard policy and training. Specifically, Article 3.B.2.b of the Civil Rights Manual, which states "Sexual Harassment is not the same as Sexual Assault," should be removed. All references to this distinction should also be removed from the annual mandated SHP and SAPR training modules. Not only should the substance of the mandated training be updated to reflect sexual harassment as part of the continuum of sexual violence, the method of delivery should be updated as well. Currently, this training is provided via an online module and does not allow interaction with subject matter experts. The training should be combined and provided in a manner similar to the SAPWs, with a Sexual Assault Response Coordinator, a Civil Rights Representative, and a Judge Advocate facilitating the training. This format has proven successful in facilitating dialogue, increasing awareness, and clearing up confusion.

In addition to updating the Civil Rights Manual and the mandated training, the Coast Guard should update the Discipline and Conduct Manual to reflect the view that sexual harassment is misconduct. In particular, Article 2.B, titled "Sexual Harassment," which currently falls under the "Discrimination" chapter, should be deleted. The Discipline and Conduct Manual should be updated with a stand-alone "Sexual Harassment" section that addresses sexual harassment as offensive conduct. A proposed stand-alone section is included in the Appendix. This proposed section was drafted to define sexual harassment as offensive conduct, rather than solely discrimination. In addition, this proposed section incorporates a lawful general order prohibiting sexual harassment as offensive conduct, thereby eliminating the necessity to prove intentional discrimination.

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The recommendations above are immediate steps that can be taken in the near-term. To effectuate transformational change, and comprehensively combat sexual assault, the Coast Guard must incorporate the concept of sexual harassment as part of the sexual violence continuum into its SAPR Strategic Plan. Unfortunately, sexual harassment is currently not explicitly addressed in the SAPR Strategic Plan.

VI.   The Coast Guard Sexual Assault Prevention and Response Strategic Plan
The Coast Guard promulgated its first SAPR Strategic Plan on April 24, 2013. The plan outlines four critical areas and establishes goals to eliminate sexual assault in the Coast Guard: Climate, Prevention, Response, and Accountability. More specifically, in his foreword to the strategic plan, Admiral Papp states the plan to eliminate sexual assault will be accomplished by providing a strong culture, policies and procedures for prevention, education and training, response, victim support, intimidation-free reporting, fair and impartial investigations, and accountability. To implement this strategic plan, the Coast Guard chartered the SAPR Military Campaign Office (MCO) in June 2013. The MCO is tasked with maintaining, updating, tracking, and coordinating timely and effective completion of all activities listed in the SAPR Plan of Actions and Milestones (POAM).

Sexual harassment and its relationship to sexual assault are not specifically addressed in the strategic plan. The Introduction states, "we must address all factors that enable this violent crime or impact our ability to prevent it." Yet, sexual harassment is not included in the illustrative list of enabling factors. The first goal of the strategic plan addresses climate, and mandates "[create a culture intolerant of sexual assault or behaviors that enable it." In this section, sexual harassment is only addressed to ensure that incidents are properly classified as either sexual harassment or sexual assault. Similarly, sexual harassment is not addressed in the SAPR POAM with the exception of ensuring correct classification of incidents.

Given the stated distinction between sexual harassment and sexual assault in the Civil Rights Manual, it is not surprising that sexual harassment is not directly addressed in the SAPR Strategic Plan or POAM. However, the mandate to "create a culture intolerant of sexual assault or behaviors that enable it" requires directly addressing sexual harassment.

The Coast Guard should study the Army's SHARP program and execute a similar reorganization of sexual harassment and sexual assault prevention programs to provide for greater unity of effort. The Army has recognized sexual harassment as an enabler of sexual assault and integrated its sexual harassment and sexual assault prevention efforts into one program. In December 2008, Secretary of the Army Pete Geren directed his Headquarters SAPR Office to restructure and integrate the Prevention of Sexual Harassment (POSH) office to form a new Sexual Harassment/Assault Response and Prevention (SHARP) office. Before this integration, the Equal Opportunity Office managed sexual harassment complaints and POSH training for military members and the Army G-1 managed the SAPR program.

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The Army integrated the POSH and SAPR offices after recognizing the relationship between sexual harassment and sexual assault. Specifically, the Army found that sexual harassment and sexual assault are often interrelated and exist along a sexual violence continuum "in which acts of sexual harassment, if unchecked, may lead to acts of sexual assault." The integration of these two offices now provides for unity of effort for sexual harassment and sexual assault prevention efforts across the Army.

Currently, the Coast Guard's unity of effort in combating sexual assault is not maximized due to the separation of sexual harassment and sexual assault prevention efforts. To truly have unity of effort, the Coast Guard must integrate these two efforts. This requires removing sole responsibility for sexual harassment prevention efforts from the Civil Rights Directorate and combining efforts with the Coast Guard's SAPR Program Office. Given the relationship between sexual harassment and sexual assault, sexual harassment must be directly addressed in order to "create a culture intolerant of sexual assault or behaviors that enable it." From a strategic perspective, the culture change and unity of effort required must start from the top of the organization. Accordingly, the Coast Guard must realign its organization to integrate sexual harassment and sexual assault prevention efforts.

VII. Conclusion

Sexual harassment is not a new problem, and it continues to be a problem, as efforts to eradicate sexual harassment in the past three decades have proven ineffective. GAO reports and DMDC statistics indicate that sexual harassment continues to be prevalent in the military. In addition, the higher levels of sexual harassment reported by GAO and DMDC plainly indicate that sexual harassment is underreported to the services' respective Equal Opportunity or Civil Rights offices.

Coast Guard leadership must recognize that sexual harassment remains an important issue that needs to be addressed. The strong correlations among organizational environment, sexual harassment, and sexual assault require a re-evaluation of sexual harassment prevention and response policies and training, and the culture that underlies the basis of these policies. Leadership should start by reframing the perspective through which sexual harassment and sexual assault are viewed. Specifically, the Coast Guard needs to eliminate the notions that sexual harassment is solely a discrimination issue and that the Coast Guard's Civil Rights program is solely responsible for sexual harassment prevention efforts. A re-evaluation of Coast Guard policies and training requires eliminating all references to the artificial distinction that "sexual harassment is not the same as sexual assault" and changing the training delivery to effectively facilitate discussion, increase awareness, and lessen confusion.

Sexual harassment is also a form of violence, a form of violence that falls along a continuum of sexual violence that leads to sexual assault. With this recognition that sexual harassment and sexual assault represent certain grades of sexual violence along a continuum, then the sexual violence continuum should serve as the conceptual model for addressing military sexual violence.

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Sexual assault prevention must start with addressing the lowest level of the sexual violence continuum—sexual harassment. Current Coast Guard sexual harassment policies and training provide an unworkable model for comprehensively preventing sexual assault. Rather than continuing to distinguish sexual harassment from sexual assault, the Coast Guard must embrace its operational principle of Unity of Effort in addressing sexual harassment and sexual assault. The principle of Unity of Effort states that "[achieving successful outcomes requires positive leadership to ensure clear understanding of the objective and the role that each individual, unit, or organization is expected to play in meeting that objective." Unity of effort in the mission to eradicate sexual assault requires changing the culture of treating sexual harassment and sexual assault as separate constructs and reframing the Coast Guard's perspective to address the full continuum of sexual violence, starting with sexual harassment. Unity of effort also requires strategic change and organizational realignment, the Coast Guard's sexual harassment and sexual assault prevention efforts must be integrated.

Reframing the Coast Guard's perspective to address the full continuum of sexual violence is the transformational change necessary sought by Coast Guard leadership to fight the sexual assault problem. Vice Admiral Manson Brown, the Deputy Commandant for Mission Support, states in his SAPR POAM Charter that the campaign to address the scourge of sexual assault "will require innovation and new thinking to effect permanent and lasting organizational and cultural change" and "[elements of this change will likely require fundamental adjustments to our climate and culture, HR policies, training requirements, leadership focus, and accountability mechanisms." Dispensing with the Coast Guard's current methods of addressing sexual harassment and sexual assault, and viewing both within the sexual violence continuum, is a fundamental adjustment necessary to effect permanent and lasting organizational and cultural change.

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Appendix H
Recruiting Best Practices

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Recruiting Best Practices

Recruit Qualification Standard
U.S. Coast Guard Recruiting Command

Delayed Entry Program (DEP) Date: ___ / ___ / ___
Day   Month   Year

NOTE: Performance Qualifications must be certified no later than 30 days _prior_ to basic training

SIGNATURE OF RECRUITER

DATE	NAME/SIGNATURE	INITIALS

Remarks

I certify the Recruit named below has satisfactorily completed all Recruit Performance Standard Qualifications

_____
Recruiter-in-Charge   Date

NAME *(Last, First, Middle Initial)*

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Recruit Qualification Standard
U.S. Coast Guard Recruiting Command

Recruit Qualification Standard	Intials	Date
REQUIRED KNOWLEDGE **Eleven General Orders** Demonstrate ability to recite 11 General Orders from memory *References: The Helmsman, Recruit Training Pocket Guide* **Phonetic Alphabet** Demonstrate ability to recite phonic alphabet from memory *Reference: The Helmsman* **Nautical and Military Terminology** Demonstrate ability to recite terminology from memory *References: The Helmsman, Recruit Training Pocket Guide* **Military Time** Demonstrate ability to recite military time from memory *Reference: The Helmsman* **Coast Guard Ethos** Demonstrate ability to recite Coast Guard Ethos from memory *Reference: Recruit Training Pocket Guide* **Coast Guard Roles and Missions** Demonstrate understanding of Coast Guard Roles and Missions *Reference: Recruit Training Pocket Guide* **Rates and Ranks** Demonstrate understanding of: Coast Guard Enlisted Rates Coast Guard Officer and Warrant Officer grade structures Coast Guard Non-Commissioned Officer grade structure Coast Guard Enlisted grade structure (Seaman, Fireman, Airman) *Reference: Recruit Training Pocket Guide*		
Name *(Last, First, Middle Initial)*	Page 2 of 5	

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Recruit Qualification Standard
U.S. Coast Guard Recruiting Command

Recruit Qualification Standard	Intials	Date
CUSTOMS & COURTESIES **Proper Salute** Demonstrate ability to render proper salute *Reference: The Helmsman, Recruit Training Pocket Guide* **Position of Attention** Demonstrate ability to properly execute position of attention *Reference: The Helmsman* **Addressing Military Personnel** Demonstrate ability for Recruits to properly address military personnel (during basic training) Demonstrate ability to properly address military personnel (after basic training) *Reference: The Helmsman, Recruit Training Pocket Guide* **Colors** Demonstrate ability to render colors in uniform Demonstrate ability to render colors in civilian clothes *Reference: Recruit Training Pocket Guide* **Boarding a Vessel** Demonstrate ability to properly board a vessel *Reference: Recruit Training Pocket Guide*		
Name *(Last, First, Middle Initial)*	Page 3 of 5	

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Recruit Qualification Standard
U.S. Coast Guard Recruiting Command

Recruit Qualification Standard	Intials	Date
PHYSICAL FITNESS		
Getting In Shape Discuss importance of fitness preparation prior to basic training *Reference: The Helmsman*		
Elements of Fitness Discuss elements of fitness to include tabacco cessation *Reference: The Helmsman*		
Stretching Discuss importance of proper stretching *Reference: The Helmsman*		
Bent-Knee Sit Ups Demonstrate ability to meet minimum qualification: Male: 38 Female: 32 Time: 1 minute *Reference: The Helmsman*		
Push-Ups Demonstrate ability to meet minimum qualification: Male: 29 Female: 15 Time: 1 minute		
Name *(Last, First, Middle Initial)*	Page 4 of 5	

Note: Page 5 is remarks and not included here

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Recruiting Best Practices

STANDARDIZED APPLICANT CARETAKING GUIDE

A. PURPOSE. This guide establishes the minimum standards for an applicant care-taking program across the Coast Guard's recruiting enterprise. A standardized caretaking process during recruitment maintains an applicant's qualifications, motivation and commitment. It also serves as a process to assist in the challenging transition into military service. Caretaking begins the moment an applicant successfully pre-screens.

B. BACKGROUND. Engaging and evaluating approximately 100K potential recruits each year is a challenge requiring Coast Guard recruiters to use the "whole person" concept to select the best qualified two to four percent of recruits the : .t access. It is a well-established concept and set of criteria directing recruiters to evaluate an applicant's level of qualification, motivation, and commitment as essential factors in producing the best qualified new service members. Yet, the Coast Guard continues to report a rate of approximately 28 percent of Cape May losses are for refusals to run/unsuitability.

In FY12, the Coast Guard spent $230K on reversions and discharges due to both injury and physical fitness failures. *[Training Center Cape May: Injury prevention & physical fitness study].* There is also evidence of a significant correlation between physical fitness failures, injuries and reversions. The Coast Guard's overall attrition and reversion rates are not only impacted by physical conditioning, but also by an applicant's personal readiness to transition to military life.

Recruitment does not end with the accession and shipment of an applicant. As ,--' recruiters, we should all invest ourselves in the' success of our future shipmates and strive to run the most professional recruiting enterprise in government. A · standardized applicant caretaking guide is essential in assisting applicants prepare for the MENTAL, PHYSICAL and CULTURAL adjustments they will need to make in order to successfully transition into the Coast Guard.

C. GOALS/OBJECTIVES. To reduce training losses/reversion costs and attrition due to unsuitability and lack of fitness, recruiters must exercise keen judgment through the use of the "whole person" concept and ensure implementation of a robust caretaking process that prepares selected civilians for the major transition to military life. A program that instills a sense of military culture, a training mindset and establishes clear fitness expectations will best prepare applicants for success~

Our enterprise-wide goals for caretaking applicants are to:

a. Foster a culture of professionalism in which applicants earn their way into service, remain motivated to serve, and maintain qualifications throughout the recruitment process to reduce remedial training loads at TRACEN Cape May:

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CULTURAL PREPARATION. Once an applicant is qualified and has

demonstrated the commitment to become a member, recruiters have a great opportunity to bond and create lasting mentorship. You do this by conducting office events, challenging applicants on their Helmsman knowledge, teaching them how to salute, explaining rates/ ranks and military traditions, telling them 'sea stories'. Your engagement in their transition into the military is critical. Think back to when you enlisted. Was your recruiter truly interested in you becoming a great and productive member, or were they indifferent and aloof once you committed? YOU now have the chance to engage and

transform a young civilian into a strong follower/ leader. It starts with your effort to impart the idea that the Coast Guard's legacy is intricately entwined with national history.

Arrange tours with local Coast Guard units for applicants and influencers.

BEST PRACTICE. Involve applicants and influencers in CG activities, and provide them access to real-life examples. This helps maintain interest, motivates them to achieve qualifications and improves a recruiter's chance at obtaining quality referrals.

ii. Hold career nights for applicant pools. Invite local CG members to demonstrate rescue/mission equipment and share professional "sea stories" with applicants helps improve motivation and fosters a deeper understanding of ranks, roles and missions of the Coast Guard.

Incorporate Coast Guard history into your applicant meetings/DEP parties.
.

BEST PRACTICE. Assign each member of your applicant pool a homework assignment to visit the Coast Guard Historian's website or official Coast Guard blog to identify a hero, significant CG historical event or current news story to share with the group at each meeting. Assignments encourage applicants to read more about the service and share those things they found interesting with their peers. Make the applicants share their "discovered" stories in front of the group at every meeting. Current news stories can be found at http://www.uscg.mil/ Historical CG stories are located at http://www.uscg.millhistory/.

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Set and manage applicant expectations based on meeting the requirements of the "whole person" concept to prepare them mentally for training and to reduce the overall number of refusals to train and unsuitability losses.

Evaluate each applicant's commitment and ability to adhere to a healthy

lifestyle and meet military physical fitness requirements to help lower the service's costs on reversions and discharges due to fitness failures/injuries.

Stay engaged with qualified applicants and people with influence over applicants to maintain qualifications, motivations, and commitment while obtaining quality referrals.

RESPONSIBILITIES. Recruiters in charge are responsible for ensuring implementation of a robust caretaking program for all applicants within their areas of responsibility. Local caretaking programs should be designed to meet the goals and objectives outlined in this guide. This program, based on best practices, establishes the MINIMUM standardized foundation for a caretaking program. RICs are encouraged to add their own ideas to those set forth by this guide in order to account for any unique circumstances or resource limitations.

This guide is intended to serve as a "living" document that captures best practices in pursuit of CG RC objectives to "attract, inspire, select and prepare the best and most diverse workforce possible." RICs may submit ideas for incorporation into this guide to their regional leaders or regional supervisors.

Caretaking of applicants is an excellent opportunity for production recruiters to apply mentoring, coaching and counseling skills to remain engaged with applicants and influencers, which helps prepare enlisted members for greater responsibilities and leadership roles.

E. THE CARETAKING PROGRAM. This guide establishes a standardized caretaking program based on a three-pronged philosophy that ensures applicants are adequately prepared MENTALLY, PHYSICALLY and CULTURALLY for the transition to Coast Guard life. Remain alert and vigilant for any loss of commitment. An applicant who fails to return calls or emails and avoids eye contact may be having a change of heart. Proper caretaking addresses concerns and helps maintain an enthusiasm to serve.

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MENTAL PREPARATION: As recruiters we must provide our applicants with a realistic view of service. Life at basic training is not meant to be fun. It's a challenge ... in the first few weeks of training it's not uncommon for recruits to wonder what they have got themselves into. It's *up* to you, as their recruiter, to ensure the applicant is aware that they are embarking on what may be the most mentally challenging endeavor they have ever undertaken. Only you can set realistic expectations and inspire them to give a 100% and succeed. This requires a balancing act of being frank while not scaring an applicant off- and YOU are the most qualified to do it.

Ensure applicants and influencers watch the boot camp video: Discuss with all what boot camp is really like.

There will be yelling.

There will be both real and artificially-induced stress.

They are expected to make mistakes.

They are expected to be exhausted, and apprehensive, homesick.

You know they can succeed. Convince them.

Invite recent graduates of boot camp in to address applicant pools on challenges and realities of boot camp. If there are no recent graduates locally available to attend applicant events, consider inviting members to participate in discussions via speaker phone or Skype/Facetime on office iPads. Make sure invited members wear a sharp uniform. Recent graduates can serve as positive role models.

Use a Letter of Understanding at the outset (during first meeting with pre-screened applicant) to establish and manage expectations with successfully pre-screened applicants and influencers. The purpose of such a letter is to set realistic expectations, outline the application process, explain the responsibilities of the recruiter and set responsibilities for applicants. Letters are signed by recruiters; applicants and influencers, as applicable. Copies are maintained by the recruiter and the applicant. [Letter of Understanding template located in the Caretaking folder under Recruiter Resources on the CG Portal].

Establish regular applicant pool meetings, including influencers as well. Vary meeting sites to maintain interest and increase participation across your AOR. Meet with entire applicant pool twice a month to reView training expectations, practice required Helmsman knowledge, and indoctrinate applicants to the idea that maximum effort, initiative, and attention to detail are required at all times. Remind them that their decisions and actions matter.

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BEST PRACTICE. Regular meetings build a sense of community, foster teamwork and improve knowledge of the Coast Guard and training expectations. BEST PRAC-TICE. Consider requiring a minimum level of attendance/participation to maintain shipping date. Whole person- commitment, motivation.

1. Hold required knowledge (Helmsman/Recruit Guide) challenges, face- off challenges, team-building exercises or jeopardy-style quiz games at applicant meetings.

BEST PRACTICE. Reward high performers with promo incentives (key chain, water bottle, etc.). Challenges instill attention to detail, improve general CG knowledge and give applicants a sense of accomplishment- make it fun.

BEST PRACTICE. For face-off challenges, recruit volunteers and run them through a series of random facing movements, salutes and position of attention drills, having those who make mistakes sit until you get down to one "contestant" winner. Reward with promo incentive(s).

Hold applicants accountable throughout the process -use standard memos to document significant steps in the accessions process. For example, use a memo to acknowledge a recruit has all the required "Helmsman sea bag" items prior to shipment to boot camp. [Checklist available in the Caretaking folder under Recruiter Resources on the CG Portal]

BEST PRACTICE. Hold a shippers' meeting to discuss permitted basic training items as well as contraband items. Require shippers to acknowledge compliance in writing to ensure each understands, and has all permitted items prior to departing for basic train-ing as outlined in the Helmsman. The signed memo should be incorporated in the pa-perwork carried to Cape May for accountability.

PHYSICAL PREPARATION. We are NOT legally covered to work out with, or lead, our applicants through physical workouts. However, we must educate applicants on boot camp physical fitness standards, encourage them to get in shape, evaluate their progress, praise them on meeting milestones and counsel them on areas in which they can improve their physical readiness. Hold them accountable for a commitment to liv-ing a healthy lifestyle as part of the whole person concept. YOU are the evaluator and mentor.

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Many times, family and friends may not care if one of your applicants makes progress towards the 1.5 mile time requirement for their age group - but your words of encouragement and pride in their performance can be a catalyst to their success.

Inform applicants of the Coast Guard weight and physical fitness standards as outlined in the Helmsman.

u. Have applicants sign a fitness pledge. The pledge establishes expectations and accountability, provides links to resources for improving fitness and nutrition, and includes a daily fitness log applicants must fill out and provide to recruiters at every meeting. RICs and recruiters should review each applicant's fitness log and provide feedback (both praise and counseling) to applicants in one-on- one meetings. As a rule of thumb, look for at least 180 minutes of strength, cardio, and swimming activity per seven-day period. Fitness Pledge and workout logs are tools to help the recruiters evaluate an applicant on the "whole person" concept. [Located in the Caretaking folder under Recruiter Resources on the CG Portal].

Brief applicants on the zero tolerance drug testing policy. Ensure that they understand they will receive drug testing when they arrive in Cape May and that a positive urinalysis will result in immediate discharge. '

Advise applicants to seek the advice of health care professionals on matters of nutrition and fitness. Recruiters should not promote specific fitness or diet programs. Provide applicants with the USCG Health and Physical Fitness Preparation Guidelines, which can be found in the Caretaking folder under Recruiter Resources on the CG Portal.

v. Conduct applicant weigh-ins at every meeting. Applicants should wear gym shorts and t-shirts for weigh-ins. Recruiters shall NOT ship any applicant who weighs within 10 pounds of their max allowable weight.

vi. Administer a voluntary in-office push-ups and sit-ups assessment following successful pre-screening to determine each applicant's ability to meet the fitness standards set forth in the Helmsman. Applicants will not be forced to do the assessment and may opt out of it, but ask every applicant to complete an assessment. [In Office Assessment GUIDANCE and Fitness Assessment_ Instructions_:_ Scoring Manual found in the Caretaking folder under Recruiter Resources on the CG Portal]

Additionally, RICs and recruiters will encourage applicants to take a voluntary run and swim assessment witnessed and certified by a coach, physical education instructor, or personal trainer, also found in the Fitness Assessment Instructions and Scoring Manual.

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If an applicant opts out of any assessments, the RIC will use discretion and judgment in evaluating acandidate's motivation and suitability for accession.

The in-office assessment can be conducted more than once if the recruiter or RIC would like to gauge the applicant's readiness/improvement. The recruiting staff will not conduct push-up or sit-up competitions between applicants. Recruiting staff will be encouraging and empowering regardless of the number of exercises completed.

If it becomes clear that the applicant is straining too hard, or struggling, the recruiter will stop the assessment. The assessment will be conducted in an area away from the public's view. The space will be clear around the applicant by a minimum of two feet in all directions.

The recruiting staff will closely follow Training Center Cape May standards in form when demonstrating exercises or when advising applicants on how to perform the exercises.

NOTE: Recruiting staff cannot visually assess an applicant's ability to complete the run or swimming portions of basic training. Therefore, it is incredibly important for recruiters to clearly express the importance of swimming and running to each applicant prior to shipping. Encourage all applicants to take a voluntary run and swim assessment witnessed and certified by a coach, physical education instructor or personal trainer.

BEST PRACTICE. We are simply trying to determine an applicant's overall readiness for training. Following the in-office assessment and any voluntary run/swim assessment witnessed by a coach, physical education instructor or personal trainer; recruiters will meet with each applicant to discuss overall performance.

Applicants who meet minimum graduation standards should be encouraged to maintain their fitness levels.

At Cape May, recruits scoring 80 to 100 percent of the standard form with the company. Recruits scoring between 50 and 80 percent form with the company but are generally placed in an enhancement program that requires extra fitness work early each morning. All other recruits are placed in physical fitness (PF) hold and do not form with the company. Recruits in PF hold test each Friday with incoming companies until they reach a score that allows them to form with a company. [A cutoff chart is available in the Caretaking folder on the CG Portal to help recruiters evaluate results of voluntary assessments – convert raw scores to points using the chart.]

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Recruiters should consider each applicant's performance as part of the "whole person" criteria in selecting those they feel are most ready for recruit training. Evaluate ability to perform exercises by scrutinizing daily fitness logs.

Minimum Standards	MALE	FEMALE
Bent-knee sit ups (timed- one minute)	38	32
Push-ups (timed- one minute)	29	15
1.5 mile run (minutes:seconds)	12:51	15:26
Swim	Six,..foot platform jump, 100 meter swim under 5 minutes, tread water for 5 minutes	Six-foot platform jump, 100 meter swim under 5 minutes, tread water for 5 minutes

BEST PRACTICE. The Coast Guard Office of Work- life has resources available to help applicants create strength, cardio and swimming fitness programs: http://www.uscg.mil/hg/cgl/cglll/fitness__help·.asp

BEST PRACTICE. Encourage applicants to sign up for and participate in the President's Challenge:

https://www.presidentschallenge.org/

Consider having DEP'd applicants wear a "uniform." (i.e. Khakis and an organizational polo approach CG RC advertising with your proposals).

Follow up with your recruits between four and six months after they graduate boot camp.

BEST PRACTICE. Ask the graduates whether they felt adequately prepared by you for their boot camp experience. Ask them what worked and what didn't in preparing them for their transition to military life and whether they'd be willing to talk with applicants.

Follow ups help CO RC adjust the standardized caretaking guide to best meet the needs of our applicants and training center partners.

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F. METRICS. How CO RC gauges success of the caretaking guide.

CG RC compares TRACEN Cape May's Week 1 fitness test results with recruits' fitness tracking logs quarterly to determine whether logs and fitness pledges are useful in reducing the service's costs on reversions and discharges due to fitness failures/injuries- By ensuring applicants are tracking at least 180 minutes of strength/cardio/swimming per week, CG RC and TRACEN Cape May should see a positive impact on refusals, reversions and discharges.

CG RC analyzes specific data collected from Recruit Customer Service Survey, administered to all recruits in Week 8, quarterly, and shares information with ROs. Additionally, CO RC conducts and collects data from discharged recruits. Analysis enables CG RC to determine overall success of the standardized caretaking guide. Data **will** show whether robust caretaking and fitness tracking requirements and assessments are effective in reducing attrition and injuries. Needed improvements can be identified and incorporated into this standardized program.

G. IMPROVING THE GUIDE. RICs and recruiters are encouraged to submit ideas for improving this standardized caretaking program through their regional leaders/supervisors. Production recruiters must submit ideas through their RICs. This guide, as well as useful forms and caretaking references are located in the caretaking folder found under Recruiter Resources on the CG Portal.

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Appendix I
Change Management Models

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Change Management

Change Management Models Sub-group Continued				
Model	**Benefits**	**Cons**	**Information**	**Notes**
Prosci Model	CG paid for subscription Prosci tools, templates, training to implement the model Prosci research in change management Focus on measureable results Exceptional support structure and network of trained consultants in the Prosci model Research on success stories Viewed as established model for organizational change	A rival change mgmt. guru asserts Prosci's BPR background created an "engineer's" approach to business improvement that: Is more suited to incremental change rather than also step change initiative Fails to distinguish between leaders vs. managers (leaders drive change, mgrs. deliver it; leaders define culture; mgrs are defined by culture) Ignores the need for leadership to address the emotional dimension Fails to see the macro level of program management	Awareness "Every year, 10,000 gallons of water are wasted annually in hotels." They are making us aware of the need to change Desire "You can help." They have appealed to our desire to save water. Knowledge "Place your towel on the rack if you don't want it washed, place it on the floor if you do." This provides us the knowledge we need to support the change. Ability "The towel" We wouldn't have the ability to change without towels. Reinforcement Person: Warm Fuzzy Measureable: Reduction of water usage The change is measureable and provides rewards	2014 ALCOAST Message dictates this is the model that everyone in CG uses.

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Change Management Continued

Change Management Models Sub-group Continued				
Model	Benefits	Cons	Information	Notes
Chocolate Model	• Made for Change Agents in the Middle of the Organization • Holistic approach • Theory Based • Practice Oriented • Field Tested • Simple worksheets are easy to follow	New to field	• Helps identify and plan for the four dimensions of your change situation: Change + Adopters + Change Agent + Organization = CACAO • Steps: 1. Specify your C-A-CA-O 2. Analyze the Change 3. Analyze the Adopters 4. Analyze the Change Agent 5. Develop the Action Plan 6. Analyze the Organization 7. Analyze the Big Picture 8. Revise Action Plan	http://www.chocochange.com

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Change Management Continued

Change Management Models Sub-group Continued				
Model	**Benefits**	**Cons**	**Information**	**Notes**
Burke-Litwin Model	• Follows Analysis theory that is used in the CG/PTC. • Categories of change are EXACT findings in this study. • Organizations exist in a feedback loop. • The organization's performance is affected by the environment and conversely, the environment is affected by the organization's performance.	• This model is complex and might require some specialty assistance to implement effectively. (PTC lead analyst does not agree) • The Org Change team may experience difficulty achieving buy in from senior command.	• He breaks his boxes into two different categories: Transformational and Transactional. • Dr. Burke argues that an Org Change team needs to account for both the Executive level change and the Day-to-day manager level change. • Dr. Burke's transformational factors include: External Environment, Leadership, Mission & Strategy, and Organizational Culture. • Dr. Burke adds, "By Transformational we mean areas in which alteration is likely caused by interaction with environmental forces (both within and without) and will require entirely new behavior sets from organization members. • Transactional dynamics include Structure, Management Practices, Systems, Work Unit Climate, Motivation, Task Requirements & Indv Skills, Indv Needs & Values, and finally, Individual and Organization Performance. • Dr. Burke adds, "these factors primarily address short term reciprocity among people and groups."	http://www.tc.columbia.edu/academics/?facid=wwb3 http://reflectlearn.org/discover/a-causal-model-of-organizational-performance-change-burke-litwin-model This is the model the PTC Lead Analyst would recommend using if not directed to use PROSCI.

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Change Management Continued

Change Management Models Sub-group Continued				
Model	**Benefits**	**Cons**	**Information**	**Notes**
Lewin Change Management Model	• Simple and easy to understand framework for managing change • Offers three distinct stages of change for major change • Many change mgmt. models today are in fact inspired or based on Lewin's approach	• Critics call the model "wildly inappropriate, "too simplistic", and "quaintly linear and static" • Most criticism focused on the "refreezing" stage because today's business climate is constantly changing and there is no time to "refreeze"	1. Unfreeze – Most people make an active effort to resist change. In order to overcome this tendency, a period of thawing or unfreezing must be initiated through motivation. (In this stage: Determine what needs to change, ensure strong leadership support, create need for change, create motivation, manage and understand doubts/concerns) 2. Transition – Once change is initiated, the company moves into a transition period, which may last for some time. Adequate leadership and reassurance is necessary for the process to be successful. (In this stage: communicate often, dispel rumors, empower action, involve people in the process) 3. Refreeze – After change has been accepted and successfully implemented, the company becomes stable again, and staff refreezes as they operate under the new guidelines. (In this stage: anchor change into the culture, develop ways to sustain the change, provide support and training, celebrate success.)	http://quickbase.intuit.com/blog/2012/08/28/three-types-of-change-management-models/# http://www.strategies-for-managing-change.com/adkar.html http://www.mindtools.com/pages/article/newPPM_94.htm

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Change Management Continued

Change Management Models Sub-group Continued				
Model	Benefits	Cons	Information	Notes
McKinsey 7-S Model	• Holistic approach • Integrated parts addressed in a unified manner • Combines rational and emotional components • Effective method to diagnose and understand an organization	• Interrelationship of model components means that when one part changes, all parts change. • Complex • Some assert this model has a higher incidence of failure	1. Strategy: the plan devised to maintain and build competitive advantage over the competition. 2. Structure: the way the organization is structured and who reports to whom. 3. Systems: the daily activities and procedures that staff members engage in to get the job done. 4. Shared Values: called "superordinate goals" when the model was first developed, these are the core values of the company that are evidenced in the corporate culture and the general work ethic. 5. Style: the style of leadership adopted. 6. Staff: the employees and their general capabilities. 7. Skills: the actual skills and competencies of the employees working for the company.	http://quick-base.intuit.com/blog/2012/08/28/three-types-of-change-management-models/#

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Change Management Continued

Change Management Models Sub-group Continued				
Model	Benefits	Cons	Information	Notes
Kotter 8 Step Model	Top-down approach is good for large organizations. Takes a holistic, systemic view of change; looks at processes, policies, tools, skills (like HPT) as well as culture. Easy step-by-step model Focus on preparing and accepting change Some believe "transitioning" is easier with this model	The model focuses on implementing change, though some experts question its effectiveness in sustaining change. Top-down approach may not work for certain decentralized organizational structures Do not skip any steps Process takes a "great deal of time"	1. Establish a sense of urgency (why change, and why change now?) 2. Create the guiding coalition (create a group of people in broad agreement for the change – leaders from various organizational agencies) 3. Develop a vision and strategy (an exciting goal; a picture of the future including reason people should create this future) 4. Communicate the change vision (use metaphors, examples, varied communication channels and strategies) 5. Empower employees for broad based action (includes IT systems, skills, tools, policies, processes – the formal structures - needed for change) 6. Generate short term wins (this keeps morale and motivation high) 7. Consolidate gains and produce more change (don't give up too soon) 8. Anchor new approaches into the culture.	http://www.trainingzone.co.uk/topic/strategy/organisational-change-which-model-should-i-use http://quick-base.intuit.com/blog/2012/08/28/three-types-of-change-management-models/#

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Appendix J
Interviewees & Interview Questions

Interviewees/SME's/Accomplished Performers

Interviewees/SME's/Accomplished Performers

1. LCDR (b) (6)
2. BMC (b) (6)
3. BM3 (b) (6)
4. MKC (b) (6)
5. CWO (b) (6)
6. CAPT (b) (6)
7. AMT3 (b) (6)
8. CAPT (b) (6)
9. CAPT (b) (6)
10. MCPO (b) (6)
11. HS3 (b) (6)
12. YN3 (b) (6)
13. LCDR (b) (6)
14. BMC (b) (6)
15. LT (b) (6)
16. CAPT (b) (6)
17. GS12 (b) (6)
18. LCDR (b) (6)
19. ASTC (b) (6)
20. SKCM (b) (6)
21. CAPT (b) (6)
22. Ms. (b) (6)
23. Ms. (b) (6)
24. Mr. (b) (6) (Chick-fil-a)
25. (b) (6) (Southwest Airlines)
26. Mr. (b) (6) (Disney)
27. MAJ (b) (6) -Marines
28. LT (b) (6)
29. Dr. (b) (6)
30. Mr. (b) (6)
31. Mr. (b) (6), (b) (DoD-Navy)
32. Mr. (b) (6), (b) (OPNAV)
33. Ms. (b) (6) (SAPRO Assessment)
34. Mr. (b) (6) (Navy Sexual Harassment Prevention & EEO)
35. Mr. (b) (6)
36. FS3 (b) (6)
37. BMCM (b) (6)
38. BOSN 4 (b) (6)
39. LCDR (b) (6)
40. LCDR (b) (6)
41. CAPT (b) (6) (ret)
42. BMCS (b) (6)
43. LT (b) (6)
44. Ms. (b) (6)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued
44. Ms. (b)   (Connecticut College)
45. (b)   (Tulane University)
46. Dr. (b)   (University of San Francisco)
47. Ms. (b)   (University of New Haven, CT)
48. Ms. (b)   (University of Mary)
49. Mr. (b)   (University of Mary)
50. Mr. (b)   (College of William & Mary)
51. Ms. (b)   (b) (6) President)
52. Mr. (b)   (Central Michigan University)
53. BM1 (b)
54. YNC (b)
55. Ms. (b)
56. CAPT (b)
57. FS1 (b)
58. LT (b)
59. LT (b)
COR IPT members not already listed:
60. LCDR (b)
61. CDR (b)
63. CAPT (b)
64. CDR (b)
65. CDR (b)
66. LCDR (b)
67. Ms. (b)
68. SKCM (b)
69. Ms. (b)
70. LCDR (b)
71. LCDR (b)
72. LCDR (b)
73. Ms. (b)
74. CDR (b)
75. LCDR (b)
76. LCDR (b)
77. LCDR (b)
78. LT (b)
79. MECM (b)
80. GM1 (b)
81. LCDR (b)
82. AETCS (b)
83. CWO4 (b)
84. LCDR (b)
85. CDR (b)
86. Ms. (b)
87. LCDR (b)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued

COR IPT members not already listed continued:

88. LCDR (b)
89. LCDR (b)
90. LCDR (b)
91. Ms. (b)
92. LCDR (b)

MOCTC:
93. LCDR (b)
94. LCDR (b)
95. LCDR (b)
96. LCDR (b)
97. LCDR (b)
98. LCDR (b)
99. LCDR (b)
100. LCDR (b)
101. LCDR (b)
102. LCDR (b)
103. LCDR (b)
104. LCDR (b)
105. LCDR (b)
106. LCDR (b)
107. LCDR (b)
108. LCDR (b)
109. LCDR (b)
110. LCDR (b)
111. LCDR (b)
112. LCDR (b)
113. LCDR (b)
114. LCDR (b)
115. LCDR (b)
116. LCDR (b)
117. LCDR (b)
118. LCDR (b)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued

PCO/PXO:
119. CAPT (b)
120. CDR (b)
121. LCDR (b)
122. LCDR (b)
123. LT (b)
124. LTJG (b)
125. LTJG (b)
126. LTJG (b)
127. LTJG (b)
128. LTJG (b)
129. LTJG (b)
130. LTJG (b)
131. LTJG (b)
132. ENS (b)
133. BMC (b)
134. BM1 (b)
135. BM1 (b)
136. BM1 (b)

Office of Civilian Personnel and Coast Guard Security Center
137. Mr. (b)   (SECCEN)
138. Ms. (b)
139. Ms. (b)
140. Ms. (b)

Gold/silver Badges
141. CMC (b)
142. CMC (b)
143. CMC (b)
144. OSCM (b)
145. ASTCM (b)
146. MECM (b)
147. YNCM (b)
148. BMCM (b)
149. CMC (b)
150. YNCM (b)
151. CMC (b)
152. CMC (b)
153. MKCM (b)
154. CMC (b)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued
155. SKCS (b)
156. OSMC (b)
157. MECM (b)
158. FSCM (b)
159. DCSC (b)
160. ISCM (b)
161. ITCM (b)
162. YNCS (b)
163. MKC (b)
164. MO (b)
165. ISCS (b)
Academy Cadets
166. (b)
167. (b)
168. (b)
169. (b)
170. (b)
171. (b)
172. (b)
173. (b)
174. (b)
175. (b)
176. (b)
177. (b)
178. (b)
179. (b)
180. (b)
181. (b)
182. (b)
183. (b)
184. (b)
185. (b)
186. (b)
187. (b)
188. (b)
189. (b)
190. (b)
191. (b)
192. (b)
193. (b)
194. (b)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued

Academy Cadets Continued

195. (b) ███████
196. (b) ███████
197. (b) ████
198. (b) ██████
199. (b) █████████
200. (b) ████████
201. (b) ███████
202. (b) █████

203. LT (b) ████████ (b) (6) ████████ Winner)
204. Mr. (b) ████

Cape May Recruits (week 8):

205. (b) ████
206. (b) ██████
207. (b) █████
208. (b) ███
209. (b) ███
210. (b) ███
211. (b) ███
212. (b) █████
213. (b) ███████
214. (b) ██████
215. (b) ██
216. (b) █████
217. (b) ████
218. (b) █████
219. (b) █████
220. (b) ██████
221. (b) ███
222. (b) ███
223. (b) ██████
224. (b) ██████
225. (b) █████
226. (b) ████
227. (b) █████
228. (b) ███
229. (b) █████
230. (b) ███
231. (b) █████

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued

Cape May Recruits:

232. (b)
233. (b)
234. (b)
235. (b)
236. (b)
237. (b)
238. (b)
239. (b)
240. (b)
241. (b)
242. (b)
243. (b)
244. (b)
245. (b)
246. (b)
247. (b)
248. (b)
249. (b)
250. (b)
251. (b)
252. (b)
253. (b)
254. (b)
255. (b)
256. (b)
257. (b)
258. (b)
259. (b)
260. (b)
261. (b)
262. (b)
263. (b)
264. (b)
265. (b)
266. (b)
267. (b)
268. (b)
269. (b)
270. (b)
271. (b)

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Interviewees/SME's/Accomplished Performers Continued

Interviewees/SME's/Accomplished Performers Continued

LEAD Council:

272. CDR (b)
273. Ms. (b)
274. CDR (b)
275. CDR (b)
276. CMC (b)
277. RCMC (b)
278. COMO (b)
279. CDR (b)
280. MK1 (b)
281. AMT2 (b)
282. IS2 (b)
283. LT (b)
284. BMCS (b)
285. Mr. (b)
286. OSCM (b)

MWR:

287. Mr. (b)
288. Mr. (b)
289. Mr. (b)

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Interview Questions

Interview Questions

Current State: Respect issues in the Coast Guard may include: bullying, harassment, hazing, intimidation, discrimination, retaliation, and sexual assault.

1. What is/are the problem/s related to the above issues of respect?
2. What are the causes of the problem/s?
3. What are ideas/solutions to mitigate the problem/s?
4. What are we doing well already?
5. Is there anything for which you don't feel prepared?
6. What makes you lose sleep at night?
7. How do we measure success?
8. How do we ensure accountability?

Optimal State:

1. Define the core values. What do they mean to you?
   Honor
   Respect
   Devotion to duty?
1. What does it mean to treat people fairly?
2. What does it mean to treat people with dignity?
3. What does it mean to treat people with respect?
4. What are examples of compassion?
5. What does it mean to be professional?
6. What does it mean to be moral, ethical or have integrity?
7. How do we build "moral muscle" in our Coast Guard Personnel?
8. What can members do to prevent good members from having ethical lapses or making choices that violate policies?
9. (Added for Gold & Silver Badges) What is the Chief's mess role in improving the culture of Respect?

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Interview Questions Continued

Interview Questions Continued

Sub-groups:

Current Efforts: Training Centers, Programs, Large Unit initiatives (HQ, Base, Sector, AirSta, Major Cutters, TRACENs, etc.), Small Unit initiatives (Stations, Small Cutters, COM-STAs, etc.)

1. What current efforts are in place within the CG to address COR issues?
2. How effective is the effort to address COR issues? How do we know it's effective?
3. What is being measured to determine the effectiveness of the effort?
4. What efforts should be undertaken to improve the COR within the Coast Guard?

Accessions: Recruit Training (Cape May), Direct Entry Petty Officer Training (DEPOT) (Cape May), USCG Academy (New London), Officer Candidate School (New London)

1. What is being trained on COR issues/how are expectations being addressed (outside of curriculum)?
2. Recruiter/MEPS-what is recruiter doing to identify people?
3. How much time is being spent training COR issues at accession points?
4. Is COR training consistent (same content) at each accession point?
5. Is COR training aligned with current policies (CG-111, CG-12, CG-00H)?
6. What COR content is missing that should be included at accession points?

External Extant Data: Outside the CG

1. What topics/themes are being presented in recent articles on COR issues?
2. What is Congressional leadership concerned about for COR issues?
3. How are bystander issues being addressed?
4. What organizational change models are being used to influence and sustain culture?
5. What feedback tools are recommended for COR issues?

Internal Extant Data: Within CG: TRACENs, Apprentice Leadership School, Leadership & Management School, Chief Petty Officer Academy, CWO Professional Development Course, Mid-Grade Officer Course, Company Commander Course, Recruiter/Recruiter-In-Charge Course, Sector Commander Course, Boat Forces Command Cadre Course, Prospective CO/OIC Course, Command Assignment Preparatory Course, SAPR training, MT "A" training, MT "B" training

1. What is being trained for COR issues?
2. Does training for COR issues have consistent content?
3. Is training for COR issues in alignment with policy from CG-111, CG-12, CG00H?
4. How much time is spent on training for COR issues?
5. What's missing from training for COR issues?

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Interview Questions Continued

Interview Questions Continued

CG Policy, Doctrine, & TTP: SAPR Office, Office of Diversity, Office of Civil Rights, HSWL (victim care), CGIS (investigations)

1. What policy, doctrine, and TTP are well-written and clear?
2. What policy, doctrine, and TTP are vague and unclear?
3. Where do policy, doctrine, and TTP conflict?
4. What policy, doctrine, and TTP are missing?
5. What do CG statistics tell (summary)?

Colleges/Universities:

1. What problems are you facing with regards to COR issues?
2. What policies are in place to address COR issues?
3. What current efforts are in place to address COR issues?
4. What best practices are being used to influence and sustain a positive and respectful culture?

DoD Efforts: DoD, Army, Navy, Air Force, Marines

1. How do you evaluate your members on COR issues?
2. What policies are in place for COR issues?
3. What current efforts are in place to improve COR issues?
4. What best practices are being used to influence and sustain culture?

Private Sector: Benchmarked for best practices related to "good" culture

1. What problems are you facing with regards to COR issues?
2. What policies are in place to address COR issues?
3. What current efforts are in place to address COR issues?
4. What best practices are being used to influence and sustain a positive and respectful culture?

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Appendix K
360 Evaluation Comparison
Armed Services

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360 Comparison Continued

360 evaluation by SAMP Workgroup

Name of Tool	Joint Staff	Army			Marine Corps		Navy		Air Force			Coast Guard	
	Joint 360	Leader Behavior Scale 2.0	Commander Behavior Scale	General Officer 360 Assessment (GO-360)	CAL MSAF 360 (Pilot Program)	GO/FO JS 360 (Pilot Program)	Hogan Insights	Navy FO 360-Degree Assessment Program	AF Leadership Mirror (360)	Air Force GO 360 assessment	CCL's Executive Dimensions	Leadership Practices Inventory	Strategic Leadership Feedback Program
Who Gets Rated?	Joint Staff and COCOM GO/FOs	All Army leaders, available to all Services and DoD agencies	Required for all Centralized Selection List (CSL) LTC- and COL-level commanders	Officers selected for promotion to MG, LTG or GEN in a fiscal year	14 Col/ LtCol Commanders	General Officers	Prospective CO's (2007-present) per the Command Qualification OPNAV-INST since 2012, Prospective Major Command (2007-2014) but now replaced by Hogan Insights (CMC/ COB Course students	All FO selects and one stars (active and reserve) in conjunction with NFLEX; Three star selects who attend "Leadership at the Peak" will conduct a 360 assessment	Many AF populations	All General Officers	Lt Gen and Tier 3 SES	E7, E8, E9, O4/ O5, GS12/13/14 students of specific courses offered by the Coast Guard Leadership Development Center; assessment is available to others upon their request	Flags, SESs, small number of senior O-6s/ GS15sNew FOs, FO selects

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360 Comparison Continued

360 evaluation by SAMP Workgroup Continued

	Joint Staff	Army			Marine Corps		Navy		Air Force			Coast Guard	
Who Provides Ratings?	Superiors, peers and subordinates	Personnel who currently work or recently worked with the leader, CAC-card holders	Personnel who currently work or recently worked with the leader, CAC-card holders. Commander is able to nominate two assessors for inclusion, though the final list of assessors is selected by the current rater	Peers, Subordinates, Superiors who currently, or recently, worked for or with the assessed GO	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Seniors (min 1), Direct Reports (min 3), Peers (min 3), Others (as desired) - all chosen by individual	Superiors, peers and subordinates in their command wardrooms	Participant self selects for most uses, CCM 360 program directs subject to invite specific raters	All General Officers must provide a self-assessment, an assessment on all General Officers in their chain of command, and at least five additional officers outside their organization. This year, we increased the aperture of participants and included all SES, Colonels, GS-	Participant self selects	No specific stipulations; general guidance is for manager(s), co-workers, peers, and direct reports	Superiors, peers, and subordinates
Is this part of a program?	No	Yes, Multi-Source Assessment and Feedback (MSAF)	Yes, Commander 360 program (CDR360)	Peer and Advisory Assessment Program	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	PCO Course (2 weeks), Major Command Course (1 week)	Part of NFLEX and "Leadership at the Peak"	Multiple	No, this is a stand-alone assessment not in conjunction with a program or development opportunity.	Yes, Leadership at the Peak	Part of leadership courses (Chief Petty Officer Academy (E7), Sr Enlisted Leadership Crse (E8/E9), Sr Leadership Principles & Skills (O4/O5/GS13/14), and Midgrade Officer Career Transition Crse(O4/GS12/13))	CG Executive Development Program

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360 Comparison Continued

360 evaluation by SAMP Workgroup Continued

	Joint Staff	Army			Marine Corps		Navy		Air Force			Coast Guard	
Who Administers It?	Directorate for Joint Force Development (J7), Center for Army Leadership	Center for Army Leadership (CAL)	Center for Army Leadership	General Officer Management Office and Army War College	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	NLEC (formerly CLS)		CLR, for A1D	Air Force General Officer Management Office	Center for Creative Leadership	Wiley Publishing / Pfeiffer Assessments	Army War College
How Administered?	Leader initiates his/her event. Access is by website, requires CAC-card	Web-based, CAC-card access, Program administered per Army Reg 350-1. Modes: Self-initiated, prior to PME attendance, unit event.	Access is via electronic, CAC-card access. Program directed per MilPer message. Events are initiated and managed by the commander's current rater.	Electronic (website based)	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Online @ PDI, reports forwarded electronically to NLEC	Electronic	electronic	The assessment is administered electronically through Senior Leader Career Management System (SLCMS).	electronic		Online

360 Comparison Continued

360 evaluation by SAMP Workgroup Continued

	Joint Staff	Army			Marine Corps		Navy		Air Force			Coast Guard	
Fre-quency?	Initiated 6-9 months after taking post, repeated every two years	At least once every 3 years, prior to PME courses, unit commander discretion. Over 325,000 leaders assessed so far, and over 4,250 other than Army (USAF, USMC, USN, USCG, DOD).	Two events are required during command tenure; Event 1 from 3-6 months and Event 2 from 15-18 months after assumption of command.	Annually starting in October 2014	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	One-time	Upon selection to grade	as needed	Once a year	Upon selection to grade.	Only upon enrollment in one of the above leadership courses, or upon specific request.	Offered every other year. Participants only complete the survey once.
Manda-tory?	Yes	Yes. Tracked on OER.	Yes. Tracked on OER.	Yes	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Yes – Course requirement and course is required; PCO is additionally required by OP-NAVINST to complete a 360.	Required for NLEX and "Leadership at the Peak" attendees	No, unless it's a course/program requirement	Yes	No, but almost all go.	No	No

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360 evaluation by SAMP Workgroup Continued													
What Dimensions are Assessed?	Ethical Leader Domains: communicates ethical standards, decision-making processes/fairness, enforces ethical standards, people orientation, word-deed alignment;	10 leadership competencies: Leads others, Builds trust, Extends influence, Leads by example, Communicates, Creates a positive environment, Prepares self, Develops others, Stewardship, Gets results;	• 10 leadership competencies: Leads others, Builds trust, Extends influence, Leads by example, Communicates, Creates a positive environment, Prepares self,	37 questions that are linked to the 10 leadership competencies (Leads others, Builds trust, Extends influence, Leads by example, Communicates, Creates a positive environment, Prepares self, Develops others, Stewardship, Gets results) and identify behavioral/values issues including (character, empathy, service ethos, discipline, professional bearing, fitness, confidence, resilience, mental agility, sound judgment, innovation, interpersonal tact, and expertise).	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	PCO: 16 factors PMC: 18 factors Four skill areas: Thought leadership (Acting strategically, Thinking creatively), Results Leadership (Realistic planning, Managing execution), People Leadership (Motivating others, Promoting teamwork, Open communication), Personal leadership (Establishing trust, adaptability) Creativity and adaptability are consistently rated lowest by both participants and observers.	Ethical leadership and professional character	Each survey is custom designed based on the needs of the program/course used in. Can use DDI library of competencies, AF Institutional Competencies, or create new ones.	The questions are directly related with the Air Force's Institutional Core Competencies and ideal character traits (core values) to better assist in building leaders who possess the right balance of character and professional competence. Leadership Competencies: Embodies Airman Culture, Communicating, Leading People,	• Leading the Business • Sound judgment • Strategic planning • Leading change • Results orientation • Global awareness • Business perspective • Leading Others • Inspiring commitment • Forging synergy • Developing and empowering • Leveraging differences • Communicating effectively	The Leadership Practices Inventory measures observed frequency of leadership behaviors. The behaviors measured are the behaviors of the Leadership Challenge model by Kouzes and Posner.	Conceptual Capacity (Professional competence, conceptual competence, strategic perspective and cultural awareness); Leadership attributes (Interpersonal competence, supportive leadership, assertive leadership, transformational leadership, inspirational leadership, intellectual stimulation, individualized consideration); Negative Leadership Attributes (interpersonal ineffectiveness, unassertive, technical ineffectiveness, self-serving/unethical, micromanager, inaccessible),

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	Joint Staff	Army			Marine Corps		Navy		Air Force			Coast Guard	
What Dimensions are Assessed? Continued	Ethical Climate Domains: positive command climate, open environment, stewardship, and teamwork	Behavioral items incorporate attributes: Character, empathy, service ethos, discipline, professional bearing, fitness, confidence, resilience, mental agility, sound judgment, innovation, interpersonal tact, expertise.	Develops others, Stewardship, Gets results • 3 leader attributes: character, presence and intellect • Frequency of negative leader behaviors	Also, assessors may specifically address any concerns with the GOs involvement in drug/alcohol use, private organizations and support for Army/DoD programs (e.g., EO, EEO, SHARP, Safety).	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Both versions of this 360 were developed specifically for this use, but without regard to any other USN requirement or program	Ethical leadership and professional character	Two examples provided as used in/for: AF Civilian Leadership Course CCM 360 Feedback Program	Fostering Collaborative Relationships, Employing Military Capabilities, Enterprise Perspective, Managing Organizations and Resources, and Strategic Thinking. Core Values: Integrity First, Service Before Self, Excellence in all we do.	• Interpersonal savvy • Leading by Personal Example • Courage • Executive image • Learning from experience • Credibility	They are not specifically tied to any Coast Guard-specific competencies.	Personality Resources (openness, interpersonal skills, problem-solving skills, mediating/negotiating skills, innovative leadership, leadership motivation, leadership temperament, agile leader index).
# of Items?	45	50	36	37	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	75 plus free text		Multiple	24 questions w/ addtn'l comments section	92	30	98
Average Time to Complete?	10-15 minutes	12 minutes	12 minutes	5-10 minutes	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	20-30 minutes			15 minutes		15 minutes	60 minutes

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	Joint Staff	Army		Marine Corps		Navy		Air Force			Coast Guard	
How are the results presented?	Joint 360 Feedback Report; after receiving feedback participants can choose to engage in self-paced self reflection, executive coaching, senior mentoring, or a developmental discussion with a supervisor.	Individual Feedback Report, trained/certified coach available virtually, faculty coach. Unit Roll-up Report for unit events	Commander's Feedback Report, required Developmental Discussion with current rater, current rater is required to meet with trained/certified coach prior to first discussion with his/her commander. External coaching also available virtually for commander if desired	Individual Summary Report that provides comprehensive, GO-focused developmental feedback with personalized results. Each GO's report is unique; placing his/her self and other ratings (subordinates, peers, and superiors) within the context of other GO's in their peer-group. The results are also provided relative to the averaged ratings from subordinates, peers, and superiors of the entire GO cohort (i.e., 10th 25th 50th 75th and 90th percentiles for each rated group: Self, Subordinates, Peers, and Superiors). Army War College coach available virtually. SME in the Office of the CSA available for virtual and in-person coaching.	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	90-minute individual coaching session with CLS instructor (typically a post-command CDR)	The results will only be known to the individual officer and their assigned coach. Access will be tightly controlled to protect the confidentiality of the results and to ensure it's a fair, honest assessment.	trained coach	General Officers are provided their results and are encouraged to seek out additional feedback from their immediate supervisor.	trained coach	A written report is provided. All leadership courses are built around the use of the reported feedback for self improvement. Students partner with one another to track progress after course completion. Non-students who complete the LPI outside of a course receive the report and coaching/facilitation from a qualified instructor.	Written report, coaching from Army War College psychologist

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	Joint	Army			Marine Corps		Navy		Air Force			Coast Guard	
How is the Data Used?	This is a self-development tool. Results are designed primarily for the assessed leader, however, the leader can choose to share the report with an executive coach, senior mentor, or supervisor. Additionally, a select group of individuals up the chain of command will be able to view feedback reports. These individuals are, for the Joint Staff, the Chairman of the Joint Chiefs of Staff (CJCS), Vice Chairman of the Joint Chiefs of Staff (VCJCS), and Director of the Joint Staff (DJS). Each Combatant Commander will determine which senior leaders will have access to reports within his or her command.	Self-awareness, individual controls access to their feedback report, pool of coaches available, training materials for faculty and unit coaches, Purpose is developmental.	Self-awareness and commander development; results kept confidential between commander and current rater, not shared with senior rater nor used as input on OER.	Individual self-awareness and development. Officer elects to share information with mentor, coach, supervisors or others as desired.	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Purely developmental. Flag requests for individual reports have been universally denied. There is significant future potential for analysis of the accumulated data set (10k completions), but resources do not currently exist for that.	Development purposes and self awareness	Development only	The assessment's intent is to provide General Officers an opportunity to see how others perceive their leadership, potential, and performance with the goal of personal leadership and character development. Information is strictly used to provide the General Officer with feedback – not tied to assignment, promotion, development, and/or training opportunities.	Development only	Is used solely for student self development. Data is only shared with a student's coach or facilitator if the student wishes to share it	Development use only. Feedback only to the rated leader and the AWC psychologist.

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	Joint Staff	Army			Marine Corps		Navy	Air Force			Coast Guard
What is Unique about this Tool?	Specifically designed for senior military leaders (GO/FO), Items applicable across service branches, Measures character through established military values (i.e., Profession of Arms values), Unit climate items incorporated into the assessment	Based on performance validated model of leadership, universal application to all levels of leadership and cohorts, Integrated program of assessment, feedback, coaching, portfolio access, developmental resources, Leader Development Improvement Guide, Virtual Improvement Center, Available to all military services	• Based on performance validated model of leadership • Validated to reflect challenges associated with command role • Program events create opportunity for raters to be more involved in commander development and provides mechanism to engage in more informed discussions about capabilities, performance and development • Integrated program of assessment, feedback, coaching, portfolio access, developmental resources.	This tool was designed specifically for GOs with questions tailored to relevant and contemporary strategic leaders/issues. Officers self-rate and then "nominate" raters which GOMO then approves. This addresses frequent criticism of 360s by ensuring a cross-section of raters, in particular subordinates, since it ensures the GO never is certain who among their subordinates was approved by GOMO to rate them. This ensures a completely anonymous rating from subordinate, significantly increasing the likelihood of more honest and therefore, more valid ratings. Raters also are provided three categories for responding to character-related items: "Yes" (the GO adheres to high ethical standards), "No" (they don't), "Nothing definite, but I have concerns." With either a "No" or "Nothing definite…" response, the rater must provide a comment to explain. Raters also are asked to provide comments to identify the GO's strengths and areas for developmental growth. This assessment complements the existing Peer and Advisory Survey given annually to all GOs.	TBD (Pending results of Pilot initiative)	TBD (Pending results of Pilot initiative)	Character and ethics traits are woven into the elements. Free text option can yield major insights. Has become an expected part of these two courses. Use of this 360 opened the door to the substitution of an executive development personality assessment (Hogan Insights) for it in the Major Command Course (such an instrument might not otherwise have been considered).	Completely customizable system that AF licenses from DDI. Most surveys created to assess AF Institutional Competency proficiencies	By ensuring the assessment is not tied to evaluation or promotion AND with the respondents made anonymous, this program gives opportunity for honest/candid feedback from all levels (superior, peer, subordinate). Furthermore, respondents are not picked by the individual GO, but rather, the aperture is wide for any General Officer to rate another. Overall, this is a rare opportunity (candid feedback) for General Officers.	Designed for senior executives	The LPI is a commercial off the shelf solution, based on a widely available/accepted leadership model (The Leadership Challenge) that is taught in all CG leadership courses. The COTS solution enables the Coast Guard to use a very well developed assessment tool; the service lacks the resources to develop its own tool. The LPI is also unique in that it asks observers to rate not how well the assessed leader performs certain behaviors, but how frequently the observers see the leader perform the behavior.

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Debriefer Training?					Certification for debriefers is two days and $1,800					
Website Link?		http://msaf.army.mil/LeadOn.aspx								
Costs?					Annual costs are about $155k					

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Appendix L
Ideas/Solutions & How To Measure Success from Interviews

Ideas/Solutions/How to Measure Success

Ideas/Solutions

- We need to be consistent with holding people accountable. We dance around the issues. Need to police ourselves or someone else will police us.
- Accountability must be administered in a "just" manner – UCMJ focuses more on holding member accountable instead of establishing guilt or innocence of the individual.
- Standing orders, UCMJ, etc. has to be across the board-no wiggle room.
- Bullying, etc. is red flag behavior that leads to increased types of behaviors.
- Need to rely on junior members and bystanders for intervention – Commands can't (and shouldn't) be everywhere at all times.
- Predator behavior should be its own training-like what NCIS and the FBI do.
- People are very good taking away personal interactions and not good at confronting people personally.
- Need to make it easy to document. Need a template for page 7's. Like a check list..inappropriate comments, criteria, handbook and guidelines for separation.
- There should be a standard expectation of consequences for given infractions.
- There is an SPD code manual-go to the SPO to get a copy. You have to be specific. The SPD code manual has criteria and if you meet 2 or 3 of those you should not be hired as a civilian.
- Policy needs change that anyone other than a roommate must leave the door ajar when visiting berthing areas.
- We bring people into the CG and they bring their own biases-we are at the forming stage and can affect their indoctrination of how they were raised.
- We need to rehabilitate the predator-look where they are-moldable, values.
- Letting females know there are people they can talk to-maybe assigning a mentor who will check on them-look out for them.
- Teach them to not ignore their instincts.
- Revise the numbers of females. Make sure there are more than just two females. Increase ratios of male/female.
- Need to get out and know your people. Show you care. Make an E2 comfortable talking to an officer without fear of retaliation for bringing and issue forward.
- Fear as a supervisor. We have regulations (weight program as an example) that we need exceptions to for extreme situations. Example-a woman who lost her baby then her husband shot himself-do we really need to put her on a weight program?
- Recruiting Command has a caretaking Command Plan; they have a recruit qual sheet. They fill in the pre-screen qual sheet. They would like this to be standardized throughout the CG-don't know how many are using this. Recruiter training does not take you through the process in a logical manner. They have a checklist best practice.
- Academy has a big push-if you come forward as a witness or victim there will be no retaliation. Just provide evidence against the person for prosecution reasons.
- Need to continue to be intrusive – walk through berthing areas on a random schedule once a day (ours were more on a scheduled basis so activities could be planned around them).

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Ideas/Solutions/How to Measure Success

Ideas/Solutions

- Need to meet periodically with pay-grades (once a patrol); throw in culture and expectations into night orders periodically.
- Require sign-off before allowing military member to come back as civilian hire or do not allow members with serious baggage to apply.
- Check list for poor behavior and writing page 7's or documenting poor behavior.
- EPSS with all COR issues and link on every CG page (including units).
- Combine mandated training and make COR issues discussions rather than e-learning.
- Remove 28 leadership competencies model and use 4 major competencies and educate people on those 4 and how they apply throughout the career-not a ladder for different ranks.
- Need to scare them so bad they will stop not holding people accountable!
- Need to pick one spot to house information so people know where to go to get information and help.
- Change "intrusive leadership" to "involved leadership".
- Need to promote diversity. Need to have vertical conversations to promote diversity.
- Change policy. Standardize punishment and UCMJ changes.
- Classroom or practical.
- Better leadership training-more effective.
- Personalize respect issues.
- Information about real cases.
- Make it easier to report.
- Easier transfers out of units.
- Make speaking out "cool"-celebrate it.
- Make reporting a duty.
- Identifying risk factors.
- Cross pollination-bring different affinity groups together – extend invitation.
- Marketing! (mean not end).
- Model the way!
- Semi-annual meeting with CMCs.
- Ensure members believe in the message-buy it and live it!
- Enforce what's already in place.
- Create standard punishment.
- Need independent third party outside of the chain of command to report-someone to go to not just CO's:
    - Expand SARC's to other issues for support.
    - Non-chain reporting (Ombudsman?)
- Centralize where information is shared and disseminated.
- Create culture where norm is where everyone is doing what they are supposed to do. Having to hold people accountable is the exception rather than the rule.
- LANT has relief valves-know where to go for solution.
- Increase transparency/lessons learned/socialization

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Ideas/Solutions

- "It's Not Just Eight Weeks" Campaign (TCCM Public Affairs) focuses on pre and post boot camp expectations, PT requirements.
- There should be a standard expectation of consequences for given infractions. Currently, there is a wide range of consequences available.
- Once the heat dies down on SAPR, it will be thrown away-don't let that happen.
- We need to do an anonymous survey. DEOMI isn't really anonymous and patrol boats can't use it.
- Sitting OICs don't read the message board.
- We need more effective screen tools as to who we let in to the CG.
- Academy-In their honor & respect departments-COR items are touched on-several training arms but the core values are discussed between 7 and 8 am-not the optimal time for these students. Focus is primarily on honor.
- Look at making job less stressful-tools and authority to do their job.
- Need to be professional always-if you can't say it when a reporter is onboard then why would you say it at all?
- Need to use check-in sheets to get to know your people, rather than just an admin tool.
- Standardize check-in process throughout the CG (Petaluma just revised theirs and it is good).
- LANTAREA has a people plan.
- Give people an outlet (sports) to vent or they'll take it into hiding or berthing spaces.
- Squash little things before they grow bigger.
- Give crews outlets (chiefs mess, req & complaint, JOs, etc.).
- CO direct paygrade meetings.
- Even at large units, quarterly paygrade meetings, everyone has to talk to the CO.
- Take complaints seriously (transparency).
- Have plain clothes meetings to get people to talk without fear of retaliation (rank).
- Start with the CO first, not last for check-ins. Be aware of what people are saying to new members before reporting.
- Assign senior people to be the sponsor for new personnel.
- Walk around and be seen at the deck plate level.
- Ask hard questions.
- Hold people accountable with COR and their performance.
- Consistent message at all touch points.
- CO and XO need to address specific topics down the chain (expectations).
- We need communication and transparency in leadership.
- Women have a responsibility also. Fathers need to teach their sons responsible behavior. Women need to show strength and speak out.
- Perpetrators are looking for a soft target. Need to try not to be that target.
- Leadership component needs to be part of our promotion criteria (expand criteria).

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Ideas/Solutions/How to Measure Success

Ideas/Solutions

- CAPTs and flags-carnage of people on their way up is not considered, their prejudices are not considered. We have a responsibility to look at their values before they are put into those positions.
- Systemically-broken processes-like rules of engagement-clear policy in life or death situations. Need the same clear policy.
- We need senior leadership to collaborate at the HQ level (example-we have weapons in one office, LE in another, PPE in another, and must depend on collaboration).
- Identify certain profile that shows risky behaviors or history.
- We need to have conversations, explain we are going to do this.
- We need to enlist good people to help with this effort.
- DEOMI-SAPR questions across the CG-this was done all over CG not just specific units. The interviewee currently keeps everything by hand-getting database soon-joining DoD's database.
- Need to hold leaders and workforce accountable.
- Positive culture-proud to be part of that climate-people stating it is the greatest unit at which I ever worked.
- CMD and supervisors tap into what motivates people. Best-most competitive people tell others how wonderful it was there.
- We have policies in place-ATTC-we have called CGI, legal when we need help and ask questions as to what is enforceable.
- Best training he ever had was sitting around a table, being given a scenario and asked to come up with a resolution-very impactful. Mandatory training, although necessary and easy to access is not impactful.
- Lack of communications with issues – there is improvement through the blog capability.
- We need to create the sense in the CG that you don't tolerate or put up with it.
- Navy does personality type testing on certain rates.
- So appreciate this team-you are not doing things knee jerk but gathering factual data and moving out wisely.
- Getting out & walking around is very effective –having real interactions (how was your weekend) interaction is good for them – building trust – tell me a story, "parental "chief relationships. I've always been curious about people – just been instilled in me as a kid through family. Remember a past old CWO in NJ –he would hand out the roster at quarters to quiz everyone on how well they know their shipmates – where did they come from or graduate from high school. I did that again at Depoe Bay .
- Toxic people out – teach the foundation – ground up – middle leadership – ppt GMT ineffective – doing things together to learn to appreciate each other as people – socializing events, morale events, women's conferences, sector women's symposium. These things help people feel they are a part of something bigger than themselves & their unit.
- I'd also like to see more units doing more things together –getting to know each other

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Ideas/Solutions

- I know that I have to go through an EPO screening process every time I take a job to determine my ability to handle responsibility not just for tech side but personnel issues. When OIC review screened do every time for new job. Effective, because we need to ascertain that someone who is in a position to determine what's right for a unit is the right fit.
- Passion & desire to find & remove the bad apples is stronger now than ever.
- The CPO Academy, for example – what it has become is very effective (haven't gone yet but discussed with those who have). I also hear the cross-service training is good – NCO academies, etc. It's good that we get exposed to the fact that these issues are a big problem across the board & good to see how other services are doing these things. I know the CWO (SEA FOX CO) went to Sr. NCO academy & has talked about being able to apply that to our service.
- Every week we do some kind of training – could roll leadership training into that – have a pretty good schedule. Shows that we care about leadership as a command. Would be great. It's all in how you sell it – we have to do these trainings every month turns into "we have to do this stupid training." We have to market it well.
- Need to take people out of the comfort zone – show them what it really is – train with realistic scenarios –just like we shoot with sim rounds in a fire fight. The video showed that when you trust someone fully & they can take advantage of that.
- Clear message core values laying very clear expectations – have to discuss it & not let people guess.
- Holding people accountable is required & we need to help everyone understand why we do it – so we don't scare them into being quiet & not saying anything.
- Performance oriented –through the training & reinforcement of dangers of the mission set – no one is going to care what background you are in the dark & stormy night – we are all members of this team –roles are different – my command expectation that you are all members of this team – equally important. Constant interaction with the crew– involvement at every level – empowerment of petty officers & holding them account-able & hold those below them to standards – assign something for ownership of the unit to every single person. Celebrating qualification of members. More about qualifica-tion & competency than rank based. Very competitive drive to be the best reinforce with each other – trying to push each other to rise to the next level.
- Instill in petty officers try to find that spark – why did you join – motivate hold account-able & recognition – hold them to standards – not every person is cut out to be a surf unit sailor but demand they are the best they can be, at whatever they do. Advantage of unit with constant mission objective – does much to motivate personnel. Boats do not function without every member of the team being on board & doing their role. They have to respect each other otherwise it won't work – have to have the implicit trust in your shipmate. Like brothers & sisters.

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Ideas/Solutions/How to Measure Success

Ideas/Solutions

- Full spectrum – addressing violations as they are reported, then informal investigation then more formal PIO or military justice – we address by taking reports seriously & holding people accountable. CG as an org we try a series of surveys periodically to get a snapshot (measurement) DEOMI surveys, first 6 mos. of taking command, remind of opportunity, EO review brought in two folks from Alameda focus group – unit was selected randomly. Similar to command in-brief meet in small groups rank/civilian – learn the culture of that unit & hear feedback. Did command in-brief & then a year later the EO review with out-brief with areas to work on.
- Civil rights command checklist every year – self assessment – helps remind what to look for or things you should be doing.
- Aviation safety stand-down is broader now than just operational – computerized – people can provide feedback & comments – look for trends.
- Aviation safety survey – everyone asked to participate (normally get 80% participation) – deadline before holidays – then address after holidays at first all hands.
- LDAC –– pretty perceptive look at those survey/review & feedback things to work on . CG seems to have given us a structured program to have an LDAC but not too much detail on what they should be doing, so can use them fairly broadly – subgroup of Sector Puget Sound's LDAC.
- Prevention – day to day things – command cadre management by walking around. We find out different things walking around than waiting for them to talk to you. Command check in & check outs – SAPR stuff we are mandated to talk about. At check outs I pry a little – "anything I need to know?" One case in last 6 mos. we learned about that way – gives a 1:1 opportunity if someone's willing/comfortable talking about –not necessarily timely though. Learn about a situation when they are leaving, after the fact.
- We place material in the POW regularly (SAPR & SAAM). We also can use materiel inspections to assign people to inspect the unit, looking for inappropriate material. We also have anonymous boxes around the unit – can report unsafe practices – having gotten comments – reviewed by the safety office – really vague although anonymous good for awareness but hard to take action on. Safety officer champions that effort & people see as more than safety box.
- Victims advocates – using them to get the word out – took on a lot during SAAM – ownership.
- Speeding up the military justice side could help (small part of the whole culture issue).
- DoD Sex Signals training – really good – we should look at it as another way to address the same topic in an engaging educational manner.
- Need to address transition needs; Maslow.
- Need to do DEOMI survey not just first year with command; do later in command tour as well.
- Make the training tangible, ongoing issues (recency adds value).

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Ideas/Solutions

- Leadership and tact from the top ("just another" ALCOAST is not valued – designated months do not inspire additional action).
- LAMS and CPOA; limited junior leadership resident training courses; slow advancement opportunities trusting deckplate leadership; adds organizational value (entry to LAMS lacks leadership training in between) – dependence on OJT and roll of dice for encouragement of supervisors.
- CPOA was directed by CRSP – graduate and then certify, what are they doing at their unit; good for networking, but curriculum lacked.
- Vague consequences for participation but no testing for tangible gains.
- ALP is advancement driven and timing is off since retention/transfer is limited.
- Airmen leadership program?
- Screening for OIC competency; add XPO/EPO screening process – likely source of command climate issues (given authority, but endorsement is not sufficient.
- Increase frequency of DEOMI surveys for the comments.
- Leaders and supervisors are focused on reactionary needs for their bosses without reflection on the wake – time critical impact, wake does more damage than good – long term effects to recover.
- SAAM event – our E-6's& E-7's wore green lapel ribbons for a week & green ribbons were posted along the runway, which sparked conversation – being aware & talked about it.
- Seen a focus on prevention in the last two years – huge surge on that kind of stuff in the last two years, from problems we've had CG-wide – noticeably aware. More mandated training, all hands training, guest speaker.
- Interviewing would be a good way to look at SA issues.
- Hold people accountable for meeting the standard. We're going to zero tolerance with drugs, alcohol, should be disrespect too.
- If Jr. personnel are treated like they are responsible, they can step up to the plate. If you treat them with respect & give them responsible they will be respectful & responsible.
- Have to integrate the concept of COR into everything we do – boot camp, academy, etc. not doing GMT beating over head. COR must be in everything we do, for example, how we treat new people when they show up.
- Have a sponsor & people are ready to welcome them. Pick up at airport. At my last unit, we made sure if a new person was arriving, we'd already gotten all their survival gear & a binder with all the needed qualifications before they even got there –sends the message that we're expecting you & expect you to be a productive member of the team- make them feel wanted & valued.
- Need to recognize people when they show great Culture of Respect – we tend to hold them accountable when they violate only, but we need to appreciate when they do well.

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Ideas/Solutions

- In the Marine Corps, you have to be a recruiter to succeed in the Marines- seen as a service priority & they place a high value on it so everyone wants to do it. We need to do the same with things like being a VA. We should recognize those serving as a VA, hold them up & show as a big accomplishment & similar programs like that.
- Go after smaller things, & we should make the change we need.
- Example at Station Bellingham - the most senior woman there was E4 or E5 – still think that's a challenge – helpful when you have mentors & watching out for things male & female. Particularly small operational units, where often the only women are young very jr unmarried, can be a challenge – strong female chief tend to get a better balance.
- One of those things that we have to approach all across the spectrum - can't just be a fad that we talk COR. We can't just put out a couple ALCOASTs & call it good –has got to be part of the whole training curriculum , evaluations, promotions, etc - not just talking about it. Making sure we incorporate it. Focus on E4-E6. Feedback is that our folks are utterly fatigued with SAPR training – talked to Bellingham & they said the training was good, but *another* one? Still have a problem – that target is fatigued & people feel they are being punished for the sins of others. I recognize they're the ones that are going to change the culture, but we have a SAPR training fatigue issue.
- If we don't take complaints about COR violations seriously, people won't believe we are serious about creating a COR. Accusations of inappropriate behaviors (any kind – use of slang, unkind characterizations) need to take seriously. For example, we had someone we took to mast for using racial slurs. It would have been easy, after talking to the people involved, to dismiss. But the greater good is served but holding them accountable. Peer groups talk amongst themselves & would gets around – he got booked for doing this & what happened to that person. People need to hear something happened to that person – he got a suspended bust, EMI, fine for using a racial slur (generally in the office not directed at someone). If you marshal that line constantly, when challenged you have to call it out mete out a punishment that's appropriate for the level of discretion.
- The "Shipmates" thing was huge – everyone in the CG getting an email from the commandant. It also demonstrated a concept I believe is essential to messaging – you have to put a catch phrase on something so that a complex concept can be easily identified. By using the simple "shipmates" he liked to use a lot & numbered them, we could refer to them easily – concept conjured up by very simple phrase. Went a long way in making the most jr person feel very special & part of something bigger. To be respectful is about going both ways – by commandant sending an email to FN Martin, that says a lot – commandant thinks this is important. That might not be the only thing he's done but has had broad visibility.
- Commitment of leadership towards the SAPR program goes a long way in broadcasting message of respect. Not only policy & words, but we have joined with others to have more teeth in the program & put money behind it: hired SARCs, SVCs, VAs. We took some actions to go with the words "if you are disrespected in that egregious way we take this seriously were not going to ignore it or sweep under rug. We put money behind it –the moment you put dollars behind it you give it legitimacy. We legitimized the emphasis on the healing/recovery of SA victims – this is important to protect the COR.

Ideas/Solutions/How to Measure Success

Ideas/Solutions

- Computer Based Training – not a big fan. I'm a bigger fan when done well in face to face smaller venues. SAAM event was good – very compelling info and getting people to talk & interact is the effective way to change the culture. The last SAAM thing we had was fabulous – one of best stirs your emotions & makes you think & creates self reflections, well done training event. Sitting at desk CBT animated pictures – not sure it gets you anywhere besides distracting for a brief period of time but doesn't get to challenging emotional thoughts – question your own biases for a minute. Needs to stir people.

- DEOMI & DEOCS & OAS surveys – not very effective at really measuring what you want to look at. Giving some info, but people are led to an answer – can fill in words & we risk framing the question to lead them to an answer. We need to develop metrics that mine in the background – pull the data from database instead of asking. What kind of data? How many masts? How many negative pg 7's this year vs. last year with word "sexual" in it? How many p 7's with the word "disrespect?" Would require creating a template ahead of time on page 7's – instruction on how to a p7 & examples. Suggest we create a template for that issue. When they don't end in courts-martial or conviction in captains mast minimum should be a pg 7 – not enough evidence to convict, but we believe this situation had the component "absence of mutual respect" – needs to go on record as disrespectful to shipmates.

- If we empower our people we elevate their self respect. Important to make jr people make them feel important by allowing them to make decisions about work assignment & anything you can let them make the decisions about. Also, reinforce when they make good decisions & assist when they make bad decisions – goes a long way to bolster weak self esteem. You've got to respect yourself before others will respect you & you respect them. If we give them ownership in their daily lives. Common sense- we need to do this but we need to probably expose leaders to that thinking – another big investment – not going to get that kind of talent to teach leadership w/o money. To provoke change in leadership, will need more than if you get someone with a lesson plan from LDC to go to all the units. That would give you an ok product but really that stuff has to be masterfully done to get you to feel something. I've never felt something in LDC training module & I believe you have to be emotionally engaged/challenged - in order for change to take place you've got to get to an emotional state – something when you are being taught something. Russell Strand had a way to do that via a plethora of examples & visual tools – I believe it spoke to a lot of people. Makes you want to feel differently.

- We have too high of a tolerance for disrespectful behavior. At Base, I hold quarterly meetings & manager by getting out of the office - MBWA concept. If we say hello in their workplace it is a demonstration of respect & I want people to know they are valued. Sends a different message when you show up for things & participate in things – you need to get out walk around talk to people. When classes come onboard, I make time to chat with those people tell them about atmosphere of respect we demand/Expect on base. Use the POW to celebrate when people do a good job. Give feedback –not just filing out a report saying thanks. A lot of people don't make the time to do that – takes just a little bit of time (100 times, but little).

- Intentional about it – have to actively participate to create COR. If you ignore it, it will not be neutral – you have to actively participate to make good COR.

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Ideas/Solutions

- All hands exercise at monthly gatherings – you are required to sit next/talk to five people you DON'T know (about 350– base personnel) & the CO will call on you to tell the five people you met today at all hands. Getting to know each other – gets people together & create a sense of unity & break down barriers – we are all like family – harder to disrespect. More you can feel like family less, inclined to allow someone else to disrespect your family. Sitting next to others for an hour during the all hands- can be painful & say hello to someone you don't know. Making small talk – someone is leaving there knowing someone new. Seems nice – maybe to talk. Plants the seed.
- Separate LDAC into two programs & reinvigorate (Army model). As an org we have to make time for GMT with senior E-6 & above interactive, scenario based training.
- Anything you'd like to say about how things have changed over time – focusing on the human piece & people can heal from stress & mental injury not permanently broken – promoting the counseling/support services has been huge. It's ok to be broken cause can go & get help – more people are aware its' normal to get help – normal to be human. At all levels you can go get help even in the military – no one has all perfect days – making more prevalent – make a point about talking about personal experience show people that human & not weak or vulnerable & got help. People saying "I was there" & made it through.
- Will new reenlistment policy impact that? Yes – think current policy is good as it stands. Change should into shall – weren't taking into consideration severity of violations into account. Less wiggle room – slippery slope though –we will have a zero tolerance mentality (what does that mean in 20 years – perfect people prefer perfect people) what will that mean? We wouldn't all be here, if that were in place when we were coming up. Could create a less tolerant leadership for the human factor.
- One thing to convey? Any initiative requires face-to-face communication/conversation between people. Has to be a discussion (not just an ALCOAST) has to be real, regardless of rank everyone is a person. Lecture & ppt won't do it –tune out – joke - make an app for it, they might pay attention!
- Did a unit visit with the command Station Bellingham – pulled a leadership article Turn To Leadership talks about COR – will send the article. Talks about the conflict of truth vs. loyalty – both important in leadership. Types of loyalty, have to choose. Only one truth. What are you being true to? Part of the COR – ideally one truth.
- Encourage informal feedback that is built from perspective of peers in similar environments; unofficial… - minor encouragement doesn't happen enough, but would be helpful.
- Icampaign: Chaps/Diversity officer, 8 emphasis areas, volunteer organization, volunteer to serve to adopting new standards: Iserve, conditions of employment; Respect category: don't be a bystander; Iprotec; iBelieve and briefing the concept up the chain; each module will have a stand along requirement for measures.
- SAPR Quad chart (hazard chart) – getting the right terminology (victim/survivor vs at-risk) – predator/perpetrator –person who intervenes.
- Characteristics of these quadrants – expected behavior, expected outcome.

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Ideas/Solutions

- Continue small group work; lunch for groups.
- Organic efforts – most of current efforts are program high side; need to show what we are doing; activities; more stuff; commands don't grasp the problem statement.
- Open door/fall out and gather round/mast QA sessions/focused on small units – what happens there stays there, established climate that is difficult to enter/change; assumptions and when acts do happen it is rationalized "they came here broke".
- Blending of community boundaries, galley.
- Avoid kneejerk reactions; military is focusing on kneejerk initiatives; emphasis is that the increase in reports; victim status helps those with some ownership.
- Eagle-eye award at district--if you notice something's broken and say something, you get a positive pg 7, a mug, and recognition of what you did (ex: FN noticed a sensor was broken--got public recognition for doing a good job).
- Revamp how enlisted members make rank (not just time in service, a SWE, and no 3s on your marks); emphasize someone's not ready to advance, and here's the work plan to get you ready.
- System to track smaller, informal interventions/resolutions.
- Make OAS and other climate surveys mandatory.
- Make training personal (instructor/facilitator should use personal examples and encourage open, honest dialogue).

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How to Measure Success

- Fewer harassment complaints-cases reported.
- Satisfied with the outcomes.
- Increase in operational effectiveness.
- Increase in retention of victims of any COR issues.
- No longer required to have this conversation as much because it has become the norm.
- More no(s) than yes(s) on issues in surveys.
- Full recognition that there are problems/issues in the service (up/down chain at all levels).
- Internalize statistics on issues-relates to unit size.
- Less civil rights complaints.
- Qualitative data-social science perspective.
- Observational methods-watch how people interact-go and observe and interview people.
- Can we embrace intangibles? Measure climate-hours increased, boardings increased.
- Philosophy in how we articulate-discussions happening at the unit level.
- Excitement about unknown-vast majority tend to see it as something for my career.
- We need to be dealing with the farmer, not the meal at the legal, administrator level.
- Members are dealt with.
- If they are not tolerated at that level then it won't manifest itself later on.
- Surveys-will see some improvement.
- People don't trust the system-when we see that change we will know we were successful.
- Can't eliminate completely-when people are safer, when they feel they can get the help they need and when they feel they are not retaliated against.
- Numbers of sexual assault reporting will actually go up because people feel safer reporting.
- Academy does an anonymous survey (Response to a question regarding does CG do an anonymous survey as DOD has done).
- CG does not do an anonymous survey.
- 26,000 is the estimated number of sexual assault cases throughout the military.
- Always going to have people who fall through the cracks and we have to weed them out.
- When culture changes and sexual harassment doesn't feel so systemic-we will see the number of cases reduced or increased (people feel can report).
- Alcohol is involved in 90% of cases. This is part of the CG culture-hear about MC drinking, it is cool to drink.
- We have 120 cases we have before the O6 convening authority.
- Need COMDT instruction in place for all of those things-bullying, harassment, assault, hazing, intimidation, retaliation.
- Question: You talked about immaturity-do you feel some of the problem is lack of life experience?
- Yes, need to change things like foreign port calls where we put these young people in a situation where they have been cooped up and everybody is now on liberty and getting drunk-CO's have the ability to put mechanisms such as curfews. These folks are 22 years old and ready to let loose..need some control mechanisms.

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How to Measure Success

- Rise in reporting.
- Once reports taper off-how are we handling reports.
- If it is still happening, maybe we are not doing a good job of taking care of the situations.
- Everyone feels like they are a part of the team – their job matters, co-workers treat them with dignity and respect, the organization has their back whether they are the accused or the accuser (commands would not be forced to take sides until the evidence is clear).
- Look at the obvious-relief for cause reports.
- Look at command climate overall/confidence.
- Cross reference from surveys and incidents data on how performance is improving-how it increases and is more productive in a positive environment. Look at who is going for further training, etc.
- Look at OES surveys and DEOMI survey and try and correlate.
- Lower sense of Colbert's moral development-people feel connected in an inner circle-more loyal and strongly connected.
- There are common element to DoD.
- The common message is it is a crime!
- Shake the mindset-same mentality-not so different from the military (colleges)-they are 18-years old, on their on for the first time, etc.
- Prevention-work can be done-how we respond easier to measure-where people are held accountable on cases.
- As we move to electronic data collection will be easier.
- Really hard to measure-80% should be on prevention.
- NOT do: increase in reports is a good thing as people are feeling safer coming forward.
- People will go underground if we don't let them know this is a good thing.
- Items that are useful in the study for our purposes: gender related stress, mental health treatment stigma in getting health-damage career, effects of deployment, sexual abuse, alcohol abuse, leadership deterrence, 2011 CG population broken down by afloat-ashore-air/male/female.
- Prevention realm has been trying to do this for years. Can only measure activities or lack thereof.
- If people are happy to come to work each day, if they don't view it as work but look at it as these are my people, my family.
- Increased bystander involvement.
- Increased cases/less egregious.
- Ensure accountability.
- Bystanders should have accountability-hold them accountable.
- SA should be punished and they should be discharged.

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How to Measure Success

- Harassment is so broad-Commands at each unit have different punishments-make it clear people will be held accountable and follow through.
- With SA cases-how many report-don't know what is not being reported.
- Junior folks need to hear the same message and feel comfortable going to their leaders.
- The environment in the CG has really changed-never disrespectful-people aren't willing to do that anymore.
- We don't measure success through successful prosecutions.
- Not genuine-don't believe reporting being up is an indicator.
- Less legitimate assaults in the CG.
- Get away from me first culture-do what is best for CG.
- Not anymore-you walk out as a person just did 20 years of service. Don't walk out with family.
- Need to get back to helping others.
- Exit interviews.
- Less events, but can't just say job is done.
- DO AWAY WITH OERs.
- Remove the trophy generation attitude.
- Need to track, not measure.
- Good that we have more cases reported.
- Need to focus on bystanders.
- Non-judicial punishment.
- We don't do a good job in holding people accountable.
- Adult conversations are hard to come by.
- Any respect issue needs to be dealt with immediately.
- Harassment needs to be instruction not policy.
- Don't need to have mast to hold people accountable.
- When we call people out on things.
- Unsung hero award-worked hard to help other people.
- Putting 360 feedback in place-find out what subordinates think about them. The dilemma with this are the unfunded mandates. PT for example. If I have 500 people working on an aircraft and it is mandated PT 2 hours a day, I have just lost 1500 hours of performance. Operational commitments don't change and this might reflect negatively on the 360 feedback.
- Be shining example-we are a service organization.
- CMD climate survey-straw poll survey-do you feel better about the organization now than you did in the past?
- Talk to people.
- Increase in reports and then overtime going down.
- Increase in trust.
- So appreciate this team-you are not doing things knee jerk but gathering factual data and moving out wisely.
- DEOMI-SAPR questions across the CG-this was done all over CG not just specific units.

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How to Measure Success

- Unrestricted/restricted usually higher-have to turn data in October, so statistics are not accurate-it is higher than what is in report.
- When people are the happiest. Obstacle is CRSP-people are having to leave even when they want to stay in.
- Not accept terrible treatment.
- Men most often accept it from the offender-they buckle quicker-more susceptible to bullying-peer pressure.
- Leaders ask why and if no response it is swept under the rug.
- We need to have those face to face conversations and cover the uncomfortable topics-we've put it out there-make sure no one is untouched as to what is acceptable/unacceptable.
- Then give specific repercussions.
- Retention.
- Number of women in higher positions in male dominated fields like aviation.
- Exit interviews across the CG-use the data!
- People do career intention worksheets.
- Should have steady trend to fewer incidents or in SA more reporting.
- Benchmark where we are and do so every few years..
- When people feel more comfortable reporting.
- Feel satisfied with outcome and fewer incidents.
- When people don't mind saying I am offended and are not retaliated against.
- When, if found guilty there is justice and punishment.
- Number of unrestricted/restricted ratio between-overall reduction but higher unrestricted.
- Don't look at conviction rate-military is more aggressive than civil service for # of discharges
- People feeling more comfortable coming forward.
- SAPR Workshop-when we put these sessions on, people feel inspired to come forward.
- Instill in culture that we want to know about the issues!
- Tie it to competencies.
- Need to have data to identify root cause then determine behaviors that don't support what we want.
- Create solutions to give people.
- Determine how many people obtain those competencies compared to those who don't.
- Determine performance criteria-we don't do this now. You are an E-6 so go and be a leader-you have competencies in your rate but not prepared to be leader.
- Use Nielsen TV show ratings as a model for measurement. Takes a cross-section of the representatives throughout the country, provides them with feedback tools (TV set meters, census-style data, survey, viewer "diaries"), and provides information back to media companies and brands to make planning/programming decisions.

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How to Measure Success

- Suicide prevention. 10-11 victims last year looks like a failure. We need to know how many we saved-it could have been 20.
- Shift paradigm-not just looking at outcomes-too narrow.
- Unrestricted reporting of SA is going up-that is good because more people are coming in for help.
- Improve system to respond-need broader view of success.
- Need to know what people are saying about services.
- How many people are using services-have to show outcomes to certain audiences (COMDT) but need to include other items, not just data.
- Promotion, advancement, retention of first tour personnel including officers. At the first opportunity to separate-uptick of people who stay in.
- He had a patrol boat CO & OIC. They based promotion advancement on items in the OERs related to developing others, looking out for others. His commander would say if you want a 7 show me how you are doing these items. It wasn't frivolous, but genuine-had them focus on things that were tied to the OER's related to caring for their people. I asked if he could tell us who this was and he has retired (thinking a possible AP).
- When people feel more comfortable reporting.
- Feel satisfied with outcome and fewer incidents.
- When people don't mind saying I am offended and are not retaliated against.
- When, if found guilty there is justice and punishment.
- We wouldn't t have any more violations (distinct from reports of things) number of reliefs for cause go down. People feel comfortable having open discussions. We wouldn't have people scared to come to work.

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Appendix M
Core Values from Gold/ Silver Badges & Optimal State
Focus Groups

Core Values

Focus Groups & Gold & Silver Badge Feedback

Definition of Honor:

Holding a person, organization, or unit to a higher standard and accountable for actions and conduct.

Treating people with dignity, respect, and compassion.

Giving ultimate sense of appreciation for people. What they've accomplish or are attempting to accomplish. Giving back to country.
Doing the right thing when no one else is watching.
Honor someone by paying respect-giving them what they need-valuing them as professional.
It is how you conduct yourself when you are alone or with peers and everyday actions. It is character and what I do when no one is looking. My job is to build others into good Coasties.
Yes sir, no sir, respectful, polite, do your job.
Parents instilled foundation.
Live by morals/respectful/responding properly/giving everyone the respect they deserve.
Represent the service-positive reflection on service both on and off duty.
Honoring the service-respect yourself and service-respect everyone!
When no one is watching-you still do the right thing.
Honor-guidelines to live by.
Promise to be the best.

What people think of you-reputation.
Doing the right thing despite the consequences.
Integrity-not lying, not taking shortcuts.
Pride in your work and personal appearance-reflects beyond self.
Character-doing the right thing when no one is looking.

Honor-hold yourself and others accountable for actions.

All three of the core values relate-character, treating people fairly treating people equally no matter. Fairly-same goals and opportunities. In his rating they don't have females rescue swimmer, only 4 out of 376 because of the physical requirements. If they are employee of the CG-no difference-treat everyone you come into contact with respect.

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Core Values

Focus Groups & Gold & Silver Badge Feedback

Definition of Honor Continued:

Live life/personal and CG-apply to both sides won't have issues. Being committed to the job, here to serve public, golden rule, understand that people look at things differently-respect people. Wear the uniform with pride-people are watching.

Held to the highest standard and is reflective of my actions ex. Facebook-putting things on there that would not be acceptable in the CG-hold yourself to higher standards.

This is based on integrity and conduct. Conducting oneself in an appropriate manner.

Honor is commitment to myself, to others and to our organization.

Doing the right thing even when no one else is looking. Bringing credit to the service.

To serve the CG in the best moral and ethical way that you can.

CG, yourself, shipmates, personal values-how you conform to them. Personal values. Honoring, respect population, targets of interest- illegals, even drug runners because they may forced to do this, family could suffer. Honor and respect everything we do and everyone we interact with.

It is how you conduct yourself when you are alone or with peers and everyday actions. It is character and what I do when no one is looking.

Value honesty, integrity. I place honor on what others have done before me and what they've accomplished. It is how I represent that to those I lead and follow.

Honor-serving your country-respect-treat people fairly and equally-those before us and after. Devotion to duty-doing the right thing when no one is around.

This is what we do day-to-day. We all swore an oath to the Constitution and we must honor that commitment. To do so brings honor to those who came before us. It is the morals that you stand for.

Internal desire to do the right thing-recognition of what is wrong thing knowing difference-personal.

ethical moral behavior-personal/all encompassing "all of our core values are personal to our self" this is what they were told in the senior leadership program. But we should be aligned with CG values.

Integrity.

Represent family name.

Accountable to each other, self, family, and public.

Selfless.

Demonstrating moral values/family-organization.

Live with decisions you make.

Trustworthy in everything.

How you are viewed by others-how you carry yourself.

Pride.

Doing the right thing.

Self-integrity/accountability.

Loyalty to code, shipmates, organization, friends.

Not being hypocritical.

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Core Values

Focus Groups & Gold & Silver Badge Feedback

Definition of Honor Continued:

Taking ownership whether right or wrong.
Loyalty to CG compared to loyalty to friends.
Transparency.
Uphold standard.
Truthful with everyone around you and with yourself.
Integrity to do what is right.
Right thing.
Honor yourself and others.
Ethical inside and outside work; how carry myself; stick to my internal values. A condition of employment.
Intrinsic/self-accountability.
Appreciated.
For yourself.
Valuing people and organizational as a whole-personal.
Trust and honesty.
Right vs. wrong.
Integrity.
Mirror test-have to earn it by doing the right thing.
Pride/proud-honored to be in the CG, standing tall, love telling others I work for the USCG.

Continued on next page

Culture of Respect Integrated Process Team
Strategic Needs Assessment
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Core Values

Focus Groups & Gold & Silver Badge Feedback

Definition of Respect:

Holding someone in special regard-for individual. Example Don't Ask Don't Tell repeal-in workplace we will respect, show dignity, and work in peace. Might not be your belief, but you still show respect.

Appreciating and honoring individual for who they are and what they bring to the fight. Either have it or don't (environment), people, organization.
Respect for ourselves guides our morals and respect for others guides our manners.
Respect is given-not just entitlement-rank. Start by respecting yourself-you are good enough then give others what you expect.
How you act, talk, interact, and carry yourself.
Golden rule and platinum rule.
Dignity.
Customs-saluting.
Do what you are told, but bring up issues of safety or moral violations.
Handle things at lowest level (know where you are).
Giving 100% to the service and unit.
Self-respect first to be able to respect others.
Give attention, consideration to needs or higher regard– Coastguardsman - attention they need as part of your team. Holding them accountable if they do the wrong thing
If they were hoodlums, not going to let them do that-choose to learn from their mistakes

Come into the workplace and not have to worry about biases

Respect for ourselves guides our morals and respect for other guides our manners.

Treating others how you would like to be treated. I see cases where respect is broken down-not knowing boundaries-how to interact with each other. It is getting to know your people that is crucial.
Accepting differences of opinions-culture, faith, language barriers-don't be condescending-be approachable. Disservice as CMC-make people feel valuable.
Yes sir No Sir, conducting yourself-not acting loosey-goosy, watch language, don't take yourself too seriously but still be serious on the job. Timeliness.

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Core Values

Focus Groups & Gold & Silver Badge Feedback

Definition of Respect Continued

Treat others way you want to be treated-respect for elders and for those who did the job before you and who come in after you.

To treat everyone the same – using fairness and dignity.

To honor one's rights, opinions, abilities, and preferences.

The core value of honor is related to oneself; but respect is how we treat others.

To understand and acknowledge the difference between others, and to treat people fairly. Treat others as you wish to be treated.

Treating people with care, concern, and fair treatment. Don't prejudge or create preconceived ideas. Don't stereotype.

Don't know how to get respect; just give it. How you act, talk, interact, carry yourself. Having moral belief we are all created equally-bedrock-look at what person brings to the table-we all bring something different. We all sacrifice to be where we are. We volunteered to serve. Listening and understanding. Common bond, goal.

Treat people-golden rule-recruit as if I were recruiting my son or daughter-teach ways of the CG-strict but train them as if they were your child. Be understanding, caring and sympathetic

There are many facets to respect – engaging individuals using the proper format (titles). When you walk past a paper cup laying on the ground, you have three choices – to ignore it, pick it up yourself, or task it to someone else – to show respect means taking ownership in everything around you.

Valuing difference in people-not same, will see things differently.

Treating everyone professionally and fairly.

Showing appreciation for those you work with.

Equality-respect individuality.

Respecting uniform, equipment, etc.

Everyone is a person-give and show dignity.

Respect is given, not earned (position or authority).

Listen.

Make the other person feel that they matter.

Take their opinions into consideration.

Providing same opportunities.

Be aware of the individual's background and experience.

Cognizant that there are different backgrounds and views.

Create opportunity to build trust.

Empathy.

Look at someone when talking to them.

Real handshake and salute.

Call them by rank and name.

Use dignity instead of fairness.

Set realistic expectations.

Manage assets.

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Focus Groups & Gold & Silver Badge Feedback

Definition of Respect Continued

Know how to compete with self.
Dignity.
Base level, then based on rank.
Tolerance-we're different.
Consideration for diversity.
Patience during learning.
A two-way street.
Golden rule or platinum rule.
Diversity-may offend someone unintentionally by using the golden rule.
Understanding world view.
Different levels of respect-show in different ways.
Example: Disrespectful MK3-stood up-didn't help-insecure. Set good example, set expectations.
Focus on how to be a good person.
Focus on people not just checking the box.
Foster positive relationships.
Must be up and down-extrinsic view of how you treat each other-defines our command climate.
Treating others the way they want to be treated-platinum rule.
Valuing diverse background.
They are measure above a certain base line.
Compassion.

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Core Values

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Definition of Devotion to Duty

Doing your best all the time to the best of your ability. Being loyal to your unit, be responsible for assigned tasks and functions of your work. Everyday strive to make CG a place where people want to come to work.

Everyone has devotion to something, the challenge is taking it and making sure the devotion is commitment to organization and people. Being 100% committed to organization. Service before self-all in Acting pride in everything you do! Reflection of you.

Show up every day and give 110% to this organization.

Don't make it about yourself but what is best for the organization.

Proceed from what is right and you can't go wrong.

Duty-head, devotion-heart.

The way you do your job shows your ability to honor and respect. For so long—(but it is getting better)—all that mattered was how you did your job. We didn't care if you drank, cheated on spouse, etc.

Service before self-as long as you are ok-help people who are not.

D to D-going to work with good attitude-Set's tone.

No task is "below" you to do.

Emphasize-don't take unnecessary risks! Explain consequences to actions.

Doing your best all the time to the best of your ability. Being loyal to your unit, be responsible for assigned tasks and functions of your work.

Everyday strive to make the CG a place where people want to come to work.

We are Coasties 24/7-service before self-extra hours, always doing what CG needs of you. Have seen people checking ID card at the door. They are the ones that look at the service as job not a way of life-CG is highest priority. Ex: Being willing to go where the CG sends you and being happy and making the most even if it is not your first choice.

Serve nation-devotion regardless of what you do-nation comes first. We as military should have devotion to our country [/] and nation.

Doing one's duty to the best of their abilities, and correctly with regards to policy and procedures, both in one's personal and work life

To serve the greater good. To sacrifice myself for others in everything I do.

Selfless service; this is a profession, not just a job.

Typically junior members do not have a devotion to duty – but this develops as they progress through the service.

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Definition of Devotion to Duty Continued:

This is related to Honor; this is not just a job or a means for income, but to serve the CG and contribute to its missions in an ethical and moral manner.

You are here for a reason-getting up and talking-doing things more important than you. Don't take the easy way out. Enforce moral standards and hold people accountable. There is a lack of trust that we need to get rid of. Honor, respect, and integrity. If public doesn't have faith in the CG, we cease to exist.

People not as attracted to old activities at ports or "prostitutes."

Being committed to doing best job possible-not everything is going to be great-day in and day out-honest day's work. Very careful with young people-they buy in and sometimes they forget their families in considering and it costs them their families. It needs to have a broader definition to include devotion to family-not just work-don't sacrifice other things.

See everyone as a CG member first, and then as their rating or specialty (we've lost this a bit with our various communities). It is being devoted to completing the mission and understanding how you as an individual fit into that mission and the larger organization.

Commitment to getting job done even when you don't feel like it-not just tactical-all the other things-pride in uniform, not being part of the problem, not just occupational, desire to do it, creating positive culture.

Commitment to organization from task to entire organization.

Example: "family comes first" but sometimes people are too quick to write off organization without looking at alternatives to help take care of the organization.

Strong work ethic and professionalism.

Showing you can do job proficiently, good attitude.

Giving 100%-do everything you can.

Pride inside and outside the job.

Selflessness-putting job before self-interest.

Do best job possible-proficiency in job and craft.

Look for improvements and be adaptable.

Take ownership.

Take initiative.

Do more than minimum.

Understand expectations.

Personal sacrifice to do mission-know when to say no or ask for help.

Put best foot forward, know limits.

Priorities (CG up top).

Realize what you are doing is important.

Devoted to team members and taking care of them.

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Core Values

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Definition of Devotion to Duty Continued:

Working hard for a cause.
Wanting to go above and beyond-immature-don't have the drive.
Being able to carry out whether you agree or not-it's your job.
Be leaders and set good examples. Speak out against COR issues.
Take risks and make mistakes to make it better for those under us.
Give back to the organization; getting qualified; maintain standards to keep it running; organization-
Doing work on daily basis to tasks you're assigned 100%.
Commitment.
Doing your job the best you can even when you don't want to, leaving your people, equipment, etc.
Better than you found it.
Setting the bar high, but achievable.
Doing the right thing.

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Appendix N
Battle Buddy Proposal

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Battle Buddy

Battle Buddy Proposal

Proposal: It has been proposed that Training Center Cape May (TCCM) establish a program during recruit training that is similar to the Army's Battle Buddy policy. The following is a quote from the proposal:

This [Battle Buddy program] is a succeed or fail together concept. Pros lead to success not only in completing recruit training, but in transitioning to and functioning in [the] fleet by teaching the buddy system (don't go out alone, etc.) which may help avert alcohol incidents, sexual assaults, suicides, etc… Failures are shared. If one allows the other to fail, they both fail, i.e. reversion results for both, IT results for both, etc.

TCCM determined – through a review of Army regulations and interviews of personnel from Fort Benning and Fort Jackson – the Army's actual Battle Buddy Program to be materially different from the one proposed. This document outlines the elements of the Army's Battle Buddy program and crosswalks TCCM tactics, techniques, and procedures to align current policy and identify existing gaps.

Regulations: The Army's Battle Buddy program is outlined in the *Enlisted Initial Entry Training Policies and Administration* (TRADOC Regulation 350-6) which equates to our *Recruit Training Standard Operating Procedures* (TRACENCMINST 1500.1 (series)).

Army Purpose: The Battle Buddy system establishes policy for the pairing of Initial Entry Training (IET) Soldiers into teams to teach teamwork, develop a sense of responsibility and accountability for fellow Soldiers, improve safety during IET, and reduce the likelihood and opportunity for sexual harassment, misconduct, and suicidal gestures or attempts.

Army Training Background: Immediately following Basic Combat Training (BCT), Army personnel attend Advanced Individual Training (AIT). BCT (boot camp) is 10 weeks and AIT is 11+ weeks. Together, these two training periods are called One Station Unit Training (OSUT) for a combined period of 21+ weeks.

Phase	I	II	III	IV	V	V+
	Basic Combat Training			Advanced Individual Training		
	One Station Unit Training					
Weeks	1-3	4-6	7-10	11-13	14-20	21+
Color	Red	White	Blue	Black	Gold	Gold

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Battle Buddy Proposal

Battle Buddy Program Description: Soldiers are introduced to the Battle Buddy team system at the Reception Battalion (RECBN). IET Soldiers are formed into two-person teams upon arrival at the training unit, though a Battle Buddy team may consist of three personnel to ensure all Soldiers are part of a Battle Buddy team. Battle Buddies are randomly assigned as pairs at start of BCT.

Army TRADOC Input: Recruits are randomly assigned, by gender, a Battle Buddy for the duration of OSUT. Battle Buddies are expected to establish a relationship and assist each other in overcoming challenges throughout training. The idea is to ensure, to the greatest extent possible, that a recruit is never alone. Battle Buddy teams will participate in training and other activities, when feasible. Ad hoc buddy teams, of the same gender, are authorized when required.

Army Reassignment: Battle Buddy teams are reassigned whenever one person is reverted, re-phased, or discharged. Moreover, personal and professional conflicts are also cause for reassignment at the discretion of the cadre.

Battle Buddy Study Findings: The Army Research Institute conducted a study in FY 2000 to determine the effectiveness of the Buddy Team Assignment pilot program that assigned OSUT Buddy Teams to operational units together. While the pilot program was determined to be ineffective, positive results were reported about the OSUT Battle Buddy program:

85% of respondents said they were at least somewhat responsible for their Battle Buddy's success

94% of respondents said they helped their Battle Buddy somewhat or a great deal.

Over half of the respondents indicated that their Battle Buddy had a positive effect on them in terms of each of 14 factors included in the survey (e.g. confidence, morale, commitment)

Crosswalk and Feasibility: The first table below crosswalks elements of the Army's Battle Buddy program that are already being accounted for at TCCM, and indicates the feasibility of instituting elements not currently in place. The second lists *potential* 'Pros' and 'Cons' of implementing a formal Battle Buddy-type program at TCCM to close the gaps in the crosswalk. These items were identified by a group of TRACEN Subject Matter Experts, are hypothetical, and would need to be validated.

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Battle Buddy

Battle Buddy Proposal Crosswalk

PROGRAM ELEMENT	ARMY	TCCM	CROSS-WALK	FEASIBIL-ITY
Pairing/Introduction	Reception Battalion	Forming	x	✔
Program Administration	Unit Cadre	Company Commanders	x	✔
Purpose/Rules Explained	Reception Battalion	Indoc Weekend	x	✔
Participate in Training	OSUT	Recruit Training	x	✔
Security Watches	Battle Buddy	Ad hoc	x	x
Sick Call	Ad hoc	Ad hoc	x	✔
Medical Appointments	Ad hoc	Ad hoc	x	x
Dental Appointments	Ad hoc	Ad hoc	x	x
Worship Services-on base	Ad hoc	Ad hoc	x	✔
Worship Services-off base	Ad hoc	Ad hoc	x	x
Remedial Training	Ad hoc	Ad hoc	x	✔
On-base Liberty	Battle Buddy/Ad hoc	Ad hoc	✔	N/A
Off-base Liberty	Battle Buddy/Ad hoc	Ad hoc	✔	N/A
Admin Appointments	Ad hoc	Ad hoc	x	✔
Counseling	Additional Cadre	Additional CC	x	x
Mixed-Gender	2:1 Ratio	2:1 Ratio	x	✔
Reversion	Reassigned	Running Mate*	✔	N/A
Re-phasal	Reassigned	Running Mate*	✔	N/A
Discharge	Reassigned	Reassigned	✔	N/A

* "Running Mates" are fellow recruits that are currently assigned to help recruits assimilate into their new companies when reverted or rephased. They temporarily perform a similar role to that of a formal Battle Buddy for their new shipmate.

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Battle Buddy

Battle Buddy Proposal

Potential Pros
Improve communication skills
Cooperative problem solving skills
Reduce attrition
Reduce suicide rates
Reduce sexual harassment/assault
Improve safety
Promote leadership skills development
Decrease stress
Decrease number of alcohol incidents
Help establish a mentality of 'we' vs. 'me'
Reinforces shipmate care (no bystanders)
Encouragement and motivation for increased confidence
Aid in transition to military lifestyle/enculturation
Buddies keep each other informed about key instructions and information
Conflict resolution

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Battle Buddy

Battle Buddy Proposal

Potential Cons
Potential for abuse of policy (i.e. tendency to punish Battle Buddy along with offender or revert battle buddies together)
Push through unsuitable/weaker recruits who might pose problems later on in the fleet
Put undue burden on stronger recruits to carry weight of weaker recruits, which might negatively affect their own performance
Personality conflicts between Battle Buddies
Creates extra responsibilities for recruits
Difficulty in keeping Battle Buddies together for medical and admin appointments; excessive appointments could mean excessive, unnecessary absence from class time for Battle Buddy
Added administrative duties without additional FTE
Disrupts storming stage of group dynamics

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Appendix O
TJAG Military Justice
Workgroup Proposal

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U.S. Department of Homeland Security	Commandant	2703 Martin Luther King Ave SE
United States Coast Guard	United States Coast Guard	Washington, DC 20593 Staff Symbol: CG-094 Phone: (b) (6) Email: (b) (6)

5800

MEMORANDUM   FEB 25 2015

(b) (6)

From: S. D. Poulin, RADM
Judge Advocate General

To: DISTRIBUTION

Subj: IMPROVEMENTS TO COAST GUARD MILITARY JUSTICE PRACTICE

1. On 6 August 2014, the Deputy Judge Advocate General chartered a Military Justice Work Group (MJWG), led by (b) (6) and (b) (6) to identify improvements and enhancements to the practice of military justice to meet the growing demand for legal services and provide high quality military justice practice. Factors motivating this effort include an unprecedented increase in military justice caseload, largely driven by increased reports of sexual assault, increasing complexity and specialization of these and other military justice matters, and an increasingly experienced Navy defense bar that will challenge Coast Guard trial counsel.

2. The MJWG collected historical data and conducted informal field surveys that were the foundation for a conceptual framework for examining military justice practice. This framework identified three focus areas and fundamental principles within them with which I concur:

    a. Competence – Coast Guard trial counsel must possess sufficient job-related knowledge, experience, skills, and abilities to successfully fulfill military justice responsibilities. This area focused specifically on how to ensure trial counsel are proficient.

    b. Process and organization – The military justice organization and processes must allow for an efficient and effective practice that can be adapted to meet changing demand. This element was further divided into three sub-elements of: the judiciary, area jurisdiction concept, and core prosecution centers.

    c. Support – Military justice support must be consistent, competent, and not detract from litigation practice. The work group examined ideas to improve non-lawyer support to military justice in order to allow trial counsel to focus on litigation.

The MJWG presented preliminary findings and courses of action to me on 11 September 2014 that were further informed by a discussion with Staff Judge Advocates and Office Chiefs at the Advanced Missions Law Course on 17 September 2014. The MJWG concluded its report on 19 December 2014.

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3. Informed by the MJWG's report, I direct the following actions, keyed to the focus areas:

a. **Competence**: Certification under Article 27(b) is a threshold determination that a judge advocate is reasonably competent to perform trial and defense duties, but mastery of craft depends on a continual process of improvement. While our small size makes us agile and adaptable to meet our many missions, it also generates a relatively small number of courts-martial that results in a constant challenge to develop and maintain military justice expertise. The increasing number of cases and increasing complexity of cases, especially sexual assault cases, demands increased proficiency. I encourage each of the action offices below to review and consider the extent to which the Blackboard education system in use by Naval Justice School might be a helpful tool to improve judge advocate competency and qualification.

ACTION: Develop a CGJAG Military Justice Training Plan.

(1) The Office of Legal Policy and Program Development (LPD), in conjunction with the Office of Military Justice (LMJ), the Office of Member Advocacy and Legal Assistance (LMA), Legal Service Command (LSC), and the Staff Judge Advocates for LANTAREA and PACAREA, will identify current and anticipated training needs, compare them with available training opportunities, set priorities among the available training opportunities and identify gaps, and develop a CGJAG Military Justice Training Plan by 1 June 2015. Because this effort will require balancing resources among military justice and desirable training affecting other areas of practice, developing a master CGJAG training plan that includes the Military Justice Training Plan is desirable and LPD will add that to its projects.

(2) A component of the CGJAG Military Justice Training Plan is in-house training. In conjunction with the Enhanced Operating Capability (EOC) for LSC-6 discussed below, LSC will develop by 30 September 2015 an in-house military justice training program to enhance LSC-6 proficiency, which will be made available, to the extent practicable, for remote participation by other judge advocates. At Final Operating Capability (FOC), delivery of training to judge advocates outside LSC, remotely or in-person, will be part of LSC-6's mission.

(3) Consistent with the Navy's assignment of a full-time professional development officer at each Regional Legal Services Office, LPD will include one O-4 at LSC in the FY 2017 Resource Proposal (RP) to manage the CGJAG Military Justice Training Plan and the PQS discussed below. The goal is to establish this billet in conjunction with FOC for LSC-6.

(4) LPD will include one O-3 billet that will be assigned to Naval Justice School (NJS) to focus on developing a comprehensive military justice curriculum. This individual will work with the LSC to create training that will be delivered at the school house level. In addition to educating and mentoring the new judge advocates, this individual will enhance the professional development of judge advocates,

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paralegals and civilian attorneys throughout CGJAG by leveraging distance learning capabilities and advancements.

ACTION: Develop a Judge Advocate Personnel Qualification Standard (PQS).
LPD in conjunction with LSC, LANTAREA, and PACAREA will develop a PQS that prescribes a common core of knowledge that all first tour judge advocates must have. This common core will be built around those areas of the law in which a Staff Judge Advocate needs to be basically proficient. The proposed standard is due by 31 January 2016.

ACTION: Make Criminal Law Practice a Priority Element in Selecting and Training New Judge Advocates. LPD will make criminal law experience a priority in selection of direct commission lawyers (DCL) and guide advanced education law students in including in their curriculum criminal law, procedure, and trial advocacy courses. Making criminal law experience a priority in DCL selections does not equate to a requirement that would prevent selection of other extraordinarily well qualified applicants.

b. **Process and Organization:** Concentrating the prosecution function is likely to improve the quality of prosecution and increase proficiency among assigned full time trial counsel. Proficiency in judging is also likely to improve when judges are full time.

ACTION: Create a core prosecution capability at LSC. LPD and LSC, in conjunction with LANTAREA and PACAREA, will enlarge, enhance, and realign the function of the LSC Military Justice Division (LSC-6).

(1) At EOC, LSC-6 will prosecute all DCMS and Area cases, and, dependent on available resources, assist other trial counsel. The IOC structure will include: O-5 Chief of Military Justice (reprogrammed from an existing CGJAG billet); two O-4 Senior Trial Counsel (re-designated from LSC-6 Military Justice Division Chiefs); and ten O-3 Trial Counsel. PACAREA and LANTAREA will return, respectively, two and one matrixed judge advocates to LSC. An O-3 billet in LSC-9 will be reprogrammed as an LSC-6 billet. IOC will be achieved by 30 September 2015.

(2) At FOC, LSC-6 will prosecute all DCMS and Area cases, and will provide trial counsel or assistant trial counsel in serious cases including Article 120 cases arising in other commands except when a staff judge advocate declines the assistance. To attain FOC in FY 2018, LPD will submit an FY 2017 RP to re-establish the O-5 billet reprogrammed in EOC, and add four O-4 and four O-3 billets to LSC-6. Planning for FOC will include re-leveling existing assets across CGJAG.

(3) To focus trial counsel on trial practice, LPD, in conjunction with LSC, will reprogram the two currently vacant LSC GS-9 claims examiner positions to LSC-6 paralegals in EOC. LPD will include two E-5 and two E-6 YN Legal Technician billets for LSC-6 in the FY 2017 RP.

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ACTION: Create a Full-time Trial Judiciary. The Coast Guard Trial Judiciary has been staffed by one full-time O-6 Chief Trial Judge who handles all of general courts-martial (GCM) and a cadre (typically eight to ten) of collateral duty O-5 and O-4 special courts-martial (SPCM) judges. In FY 2013, there were 23 GCM and SPCM. In FY 2014, there were 45, and the number of contested cases roughly tripled. The increased caseload and geographic dispersion has contributed to delays. To ameliorate this increase in workload, a former Chief Trial Judge was recalled from retirement to fill a two-year support allowance billet as a second full-time trial judge. His orders expire on 30 November 2016. In the interim we will develop a full-time trial judiciary, supported by a collateral duty military magistrate structure.

(1) By comparing Coast Guard and Navy caseloads and judiciary, three full-time judges will likely be able to try all courts-martial. LPD in conjunction with LMJ will develop a FY 2017 resource request for two O-5 trial judges, augmenting the existing 0-6 billet, and a YN1 for support.

(2) To develop judge advocates as future military judges and augment the full-time military judges for some functions, I will designate four to six O-4 part-time military magistrates who, after attending the Army's Military Judge Course, will handle search authorizations, preside over preliminary hearings and IRO hearings. Other judge advocates will augment military magistrates when required to conduct preliminary hearings.

ACTION: Increase Coast Guard Defense Counsel. Although not addressed by the MJWG, the increased caseload poses challenges to Navy Defense Services Offices. Consistent with the Coast Guard-Navy MOU, LPD will include in the FY 2017 RP five (O-3) defense billets. These additional billets will also develop judge advocates who can later serve as trial counsel, Special Victims' Counsel, staff judge advocates, and military judges.

ACTION: Explore a Legalman (LN) Rate. LPD will consult with CG-1 to explore and evaluate the feasibility of establishing a LN rating in the Coast Guard. The evaluation and recommendation is due by 30 September 2015.

4. I realize that it will take significant resources to implement my directed actions, that achieving FOC in FY 2018 requires coordination from multiple stakeholders, and that Coast Guard leadership must balance my resourcing requests against competing and disparate demands. Realizing that securing the full complement of resources requested is not guaranteed in this austere budgetary environment, it is critically important that CGJAG leaders continue to make the administration of military justice a high priority amongst competing duties. While the focus of these directed actions is the prosecution function, every CGJAG member involved in the administration of military justice will ensure that the rights of victims and accused are protected zealously. Accused are entitled to a fair trial and victims are entitled to justice. Improvements in the prosecution function and actions to create and enhance Special Victims' Counsel and enhance defense services are intended to provide a balanced, expert system of military justice to

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serve the thousands of men and women who proudly wear the Coast Guard uniform and daily go into harm's way to ensure the Nation's maritime safety and security, protection of the marine environment, and to promote economic prosperity through the facilitation of maritime commerce. Every case is a life-changing moment for both the accused and the victim. Regardless of how many cases we try, our system must be on par with that of any criminal justice system in the armed services and the country.

#

Distribution: VCG, DCMS, LANT, PAC, CG-8, CG-1, Staff Judge Advocates, Commanding Officer, LSC, CG-094 Office Chiefs

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Appendix P
VRRCC Decision Memo
Flagging

VRRCC Decision Memo-Flagging

Decision Memo Request For Action

U.S. Department of Homeland Security

United States Coast Guard

Commandant
United States Coast Guard

2703 Martin Luther King, Jr. Ave SE
Washington, DC 20593-7202
Phone: (b) (6)

1070
15 Apr 2014

MEMORANDUM

From: VRRCC, IAS(b) (6)

Reply to
Attn of: (b) (6)

To: DCMS
Thru: CG-1
        CG-6

Subj: DECISION MEMO -- REQUEST FOR ACTION REGARDING "FLAGGING"

Ref: (a) Suspension of Favorable Personnel Actions (Flags), AR 600-8-2
        (b) E-mail between (b) (6) (OSC Martinsburg) and (b) (6) (PSC) of 30 Sept 2013
        (c) E-mail between (b) (6) (OSC Martinsburg) and (b) (6) (PSC) of 04 Apr 2014
        (d) Flag Voice 414 – Direct Access/Global Pay Primer

1. Summary. The Victim Response and Recovery Care Committee (VRRCC) and Investigations and Accountability Subcommittee (IASC) request you take action to: (1) direct CG-1/CG-6 to determine if a coded, "flagging" capability is feasible within Direct Access/Human Capital Management System; and (2) assuming this capability is feasible, to direct CG-1/CG-6 to make implementation of this flagging capability the highest priority for implementation following the completion of Direct Access/Human Capital Management System 9.1.

2. Background. Both the IASC and the VRRCC of the Sexual Assault Prevention Counsel (SAPC) have positively endorsed the concept of "flagging" personnel records and have briefed this policy proposal to the SAPC. Put simply, flagging a record would mean adding a coded, easily identifiable notation to a Coast Guard member's Direct Access records. The Army maintains a flagging program which is described in reference (a). An overview of what flagging is and how it would benefit the goals of the IASC is attached as Enclosure (1). An example of the coded flagging system the Army uses is enclosed as Enclosure (2). The VRRCC has determined that an optional "opt-in" flagging program would potentially benefit victims of sexual assault and would especially be helpful in ensuring continued, long term recovery care for victims who have made unrestricted reports of sexual assault.

3. As noted in reference (b), a business case and associated scoring sheet (SCR 37901) for flagging was completed and submitted to CG-1B1 on 20 June 2013. However, as noted in reference (c), this business case has yet to be considered by the LCCB. Per reference (d), we understand the tremendous efforts that have been dedicated to the implementation of Direct Access/Human Capital Management System 9.1. The VRRCC and IASC request you direct the two actions listed below to ensure the flagging program will receive the committed support of the requisite program managers. This support is critical to successful implementation of a

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VRRCC Decision Memo-Flagging

Decision Memo Request For Action Continued

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flagging program.

3. Proposed Courses of Action (COAs):

    a. Direct CG -1/CG-6 to determine (no later than 30 Sept 2014) if a coded "Flagging" capability is feasible for implementation within Direct Access/Human Capital Management System.

    _____   _____
    Concur   Disapprove

    b. Direct CG-1/CG-6 to make a coded "Flagging" capability the highest priority for implementation following the completion of Direct Access/Human Capital Management System 9.1.

    _____   _____
    Concur   Disapprove

\#

Enclosure (1) Coast Guard Military Personnel Records Proposal – "Flagging"
           (2) Excerpt from AR 600-8-2

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Appendix Q
Theme Categorization and Definitions

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Themes Categorization & Definitions

Accountability
- Employment implications
- Enforcement of policy
- Holding people accountable
- Positive reinforcement
- Transferring the problem
- Brushing problem under rug

Leadership
- Character/integrity
- Identifying and removing toxic leaders
- Competency and vetting of personnel going into leadership positions
- Organizational implications/ restructuring

Data / Information
- Collect data/information
- Document information
- Analyze data
- Use/Report
- Electronic Tools (data in one place -Electronic Performance System; database)
- Data including all COR issues
- Stove piped information

Policy
- Specificity
- Consistent
- Clear
- Strengthening existing
- Victim support of all COR offenses
- Mentorship
- Employment implications (background checks)

Communications / Messaging
- Vetting information
- Setting expectations

Training
- Leadership development
- Audience appropriate
- Affective (SAPW)
- Inclusive of all COR issues
- E-learning focused on process and legal attendance
- Accession Points
- Discussions guided and information vetted
- Expectations