

Annual Report on Sexual Harassment and Violence at the Military Service Academies, Academic Program Year 2020-2021

As of 16 Feb 22



**DoD Sexual Assault Prevention and Response Office
(SAPRO)**

PERSONNEL AND READINESS



Overview

- History and Assessment Process
- Sexual Assault Reporting
- Compliance
- Prevention
 - Academy Climate and Networking Study
 - Progress Assessment
- Victim Assistance
- Actions to Address Findings
- Way Forward





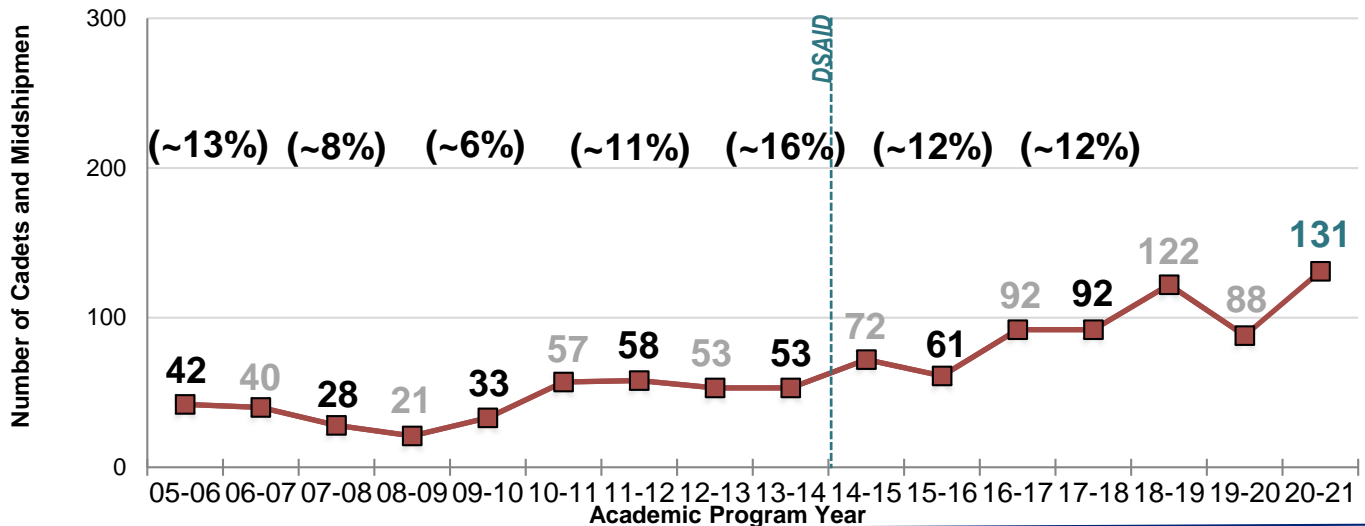
History and Assessment Process

- The Department **made progress** in reducing sexual assault between 2012 and 2014 at the academies, however sexual assault **prevalence increased** between 2014 and 2018
 - **Current prevalence remains unassessed** due to pandemic response closing Academies in Spring 2020 and cancelling the planned survey
 - National and collegiate sexual assault trends during the same period indicate a shared challenge
- **Coronavirus pandemic measures** continued to impact academy operations in 2020-21:
 - The Military Service Academies (MSA) used quarantine periods for new and returning students
 - Cadets and midshipmen remained on campus, practiced social distancing, and attended virtual and live classes
 - Voluntary* vaccination policies and indoor mask-wearing used to further reduce spread of the virus
- In February 2021, **Secretary of Defense directed immediate actions and a commission** to independently review and recommend improvements to Department sexual assault policy and programs
- MSA Assessment – **yearly variations** required by law:
 - Academic Program Years (APYs) beginning in even years: “Assessment Year” – including on-site assessment of policy and program compliance, reporting data, and MSA focus group data (**this year’s report**)
 - APYs beginning in odd years: “Survey Year” – to assess prevalence and compliance via MSA self-reports (**next year’s report** will include findings from the *Service Academy Gender Relations Survey*)



Sexual Assault Reporting

Reports from cadet/midshipmen victims for incidents that occurred during military service increased at all three Academies in APY 20-21 compared to the previous APY



% Estimated percentage of cadets and midshipmen indicating past-year unwanted sexual contact accounted for in Unrestricted and Restricted Reports

■ Cadets and midshipmen in Unrestricted and Restricted Reports of sexual assault for events occurring during military service

131 Cadets/Midshipmen who reported a sexual assault that occurred during military service

14 Cadets/Midshipmen who reported a sexual assault that occurred prior to military service

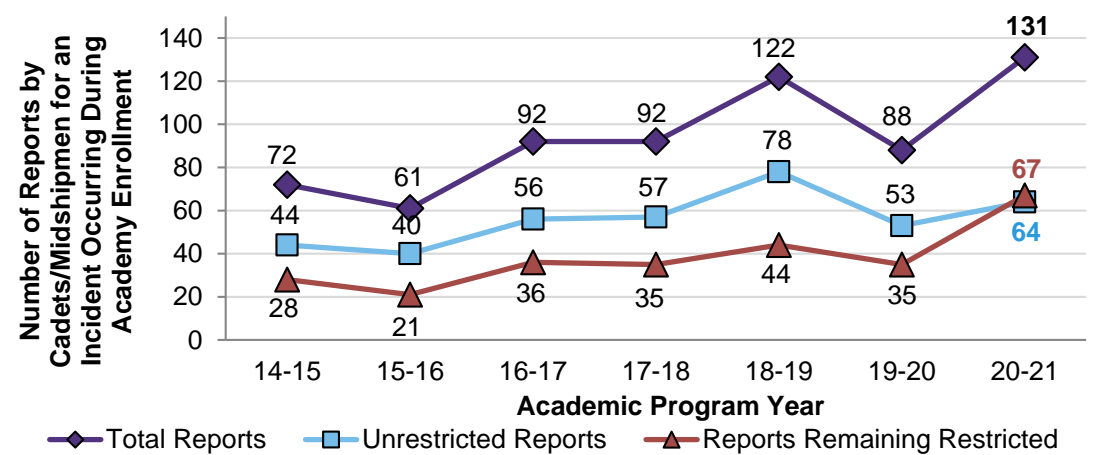
+ 16 Prep school students, active duty Service members, and civilians who alleged sexual assault perpetrated by a Cadet/Midshipman

+ 161 Total Reports of sexual assault received by DoD in APY 20-21

Reports by Cadets/Midshipmen for Incidents that Occurred During Military Service, by Academy

Academy	APY 19-20 Reports*	APY 20-21 Reports*
USMA	23	46 (+23)
USNA	27	33 (+6)
USAFA	38	52 (+14)
Total	88	131 (+43)

*Denotes reports by cadets and midshipmen for incidents occurring during military Service. Academies received a total of 149 reports in APY 19-20 and 161 reports in APY 20-21. Accounting details can be found in Appendix B, Statistical Data, of the APY 20-21 Report available on sapr.mil.





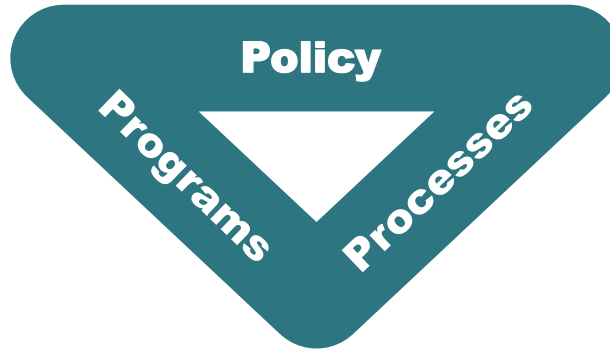
SAPR Program Compliance Assessment

DoD Special Interest Items:

- Victim Reporting Preference Form Accountability
- Case Management Group Process
- "Expedited" Transfer Process
- CATCH A Serial Offender Participation
- "Safe To Report" Program
- Survivor Summit Feedback

USMA:

Self Report: 100% Compliant
 Service Compliance Rate: 87%
 (SecDef Directed Inspection)
 Discrepancies Reported: 0
 DoD Special Interest Item
 Discrepancies: 0



USNA:

Self Report: 100% Compliant
 Service Compliance Rate: 99%
 (SecDef Directed Inspection)
 Discrepancies Reported: 0
 DoD Special Interest Item
 Discrepancies: 0

USAFA:

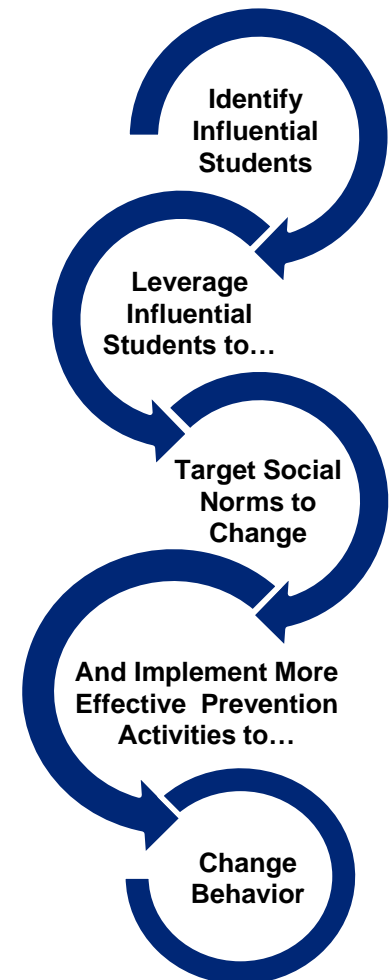
Self Report: 100% Compliant
 Service Compliance Rate: 97%
 (SecDef Directed Inspection)
 Discrepancies Reported: 0
 DoD Special Interest Item
 Discrepancies: 0

Compliance with existing sexual assault and sexual harassment policy is an indicator of an organization's readiness to implement new, more complex policy



2021 Academy Climate and Networking Study

- The *2021 Academy Climate and Networking Study (ACNS)* goals:
 - Identify **characteristics of influential students** to consider how they might accelerate change in problematic norms
 - Examine **how academy social norms influence behavior** of cadets and midshipmen
 - Obtain feedback on **programs and messaging that resonate** with cadets and midshipmen
- Study employed combination of **brief survey and virtual focus groups**
- Cadet and midshipman peer influencers:
 - **17% of students are influencers** as nominated by their peers
 - Network maps indicate that **influencers are highly integrated** with one another and well connected to the Academy
 - Influencers tend to **be male, first-class or upperclassmen**
 - However, students **nominated female students at a higher rate (37%)** than the overall population of female students (27%)
 - Qualities of influential cadets and midshipmen: **perceived work ethic, interpersonal skills, competence at academy life, and empathic**





2021 Academy Climate and Networking Study

- Social Norms – Define **expectations for behavior** in a given setting
- Research finds that **correcting misperceptions can produce change** within a peer group
- Results below indicate:
 - **Some helpful norms accepted** by cadets and midshipmen and receive moderate support
 - **Other norms acknowledged** but poorly supported

**Norms Accepted;
Moderate
Support**

**Norm
Acknowledged;
Poor Support**

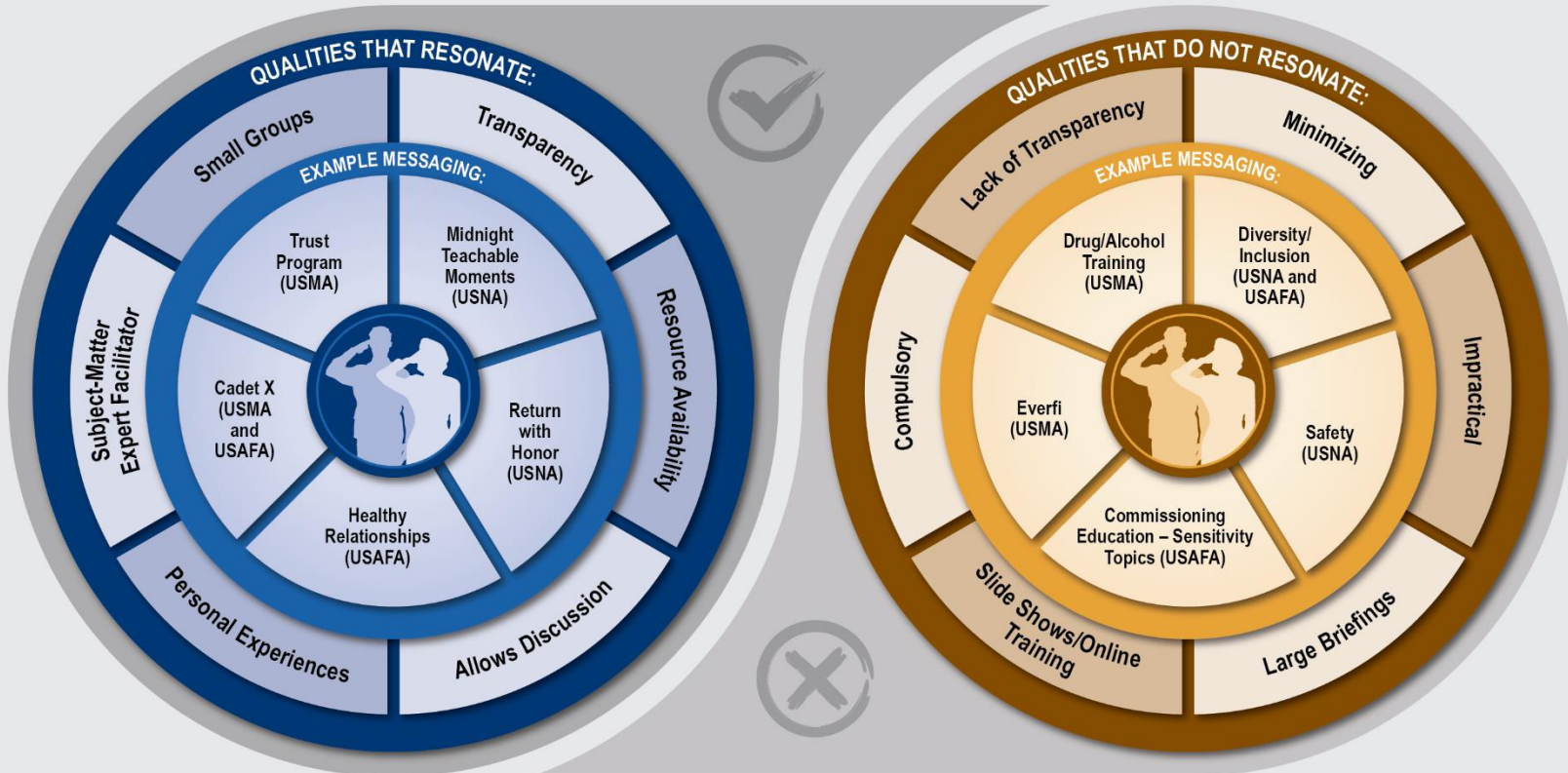
Norm	Expectations for Others	Self Behavior	Academy Peers
Confronting sexist behavior	90%	65%	58%
Discourage abusive language on social media	88%	64%	65%
Discourage humiliating others – insults, sarcasm	82%	62%	58%
Encourage healthy drinking behavior	62%	50%	43%
Hold others accountable to academy rules	60%	38%	45%
Discourage gossip	51%	32%	33%

Interventions should **focus on skill-building** to improve behavior aligned with lesser “acknowledged” norms, as peer behavior and self behavior are mostly in alignment



2021 Academy Climate and Networking Study

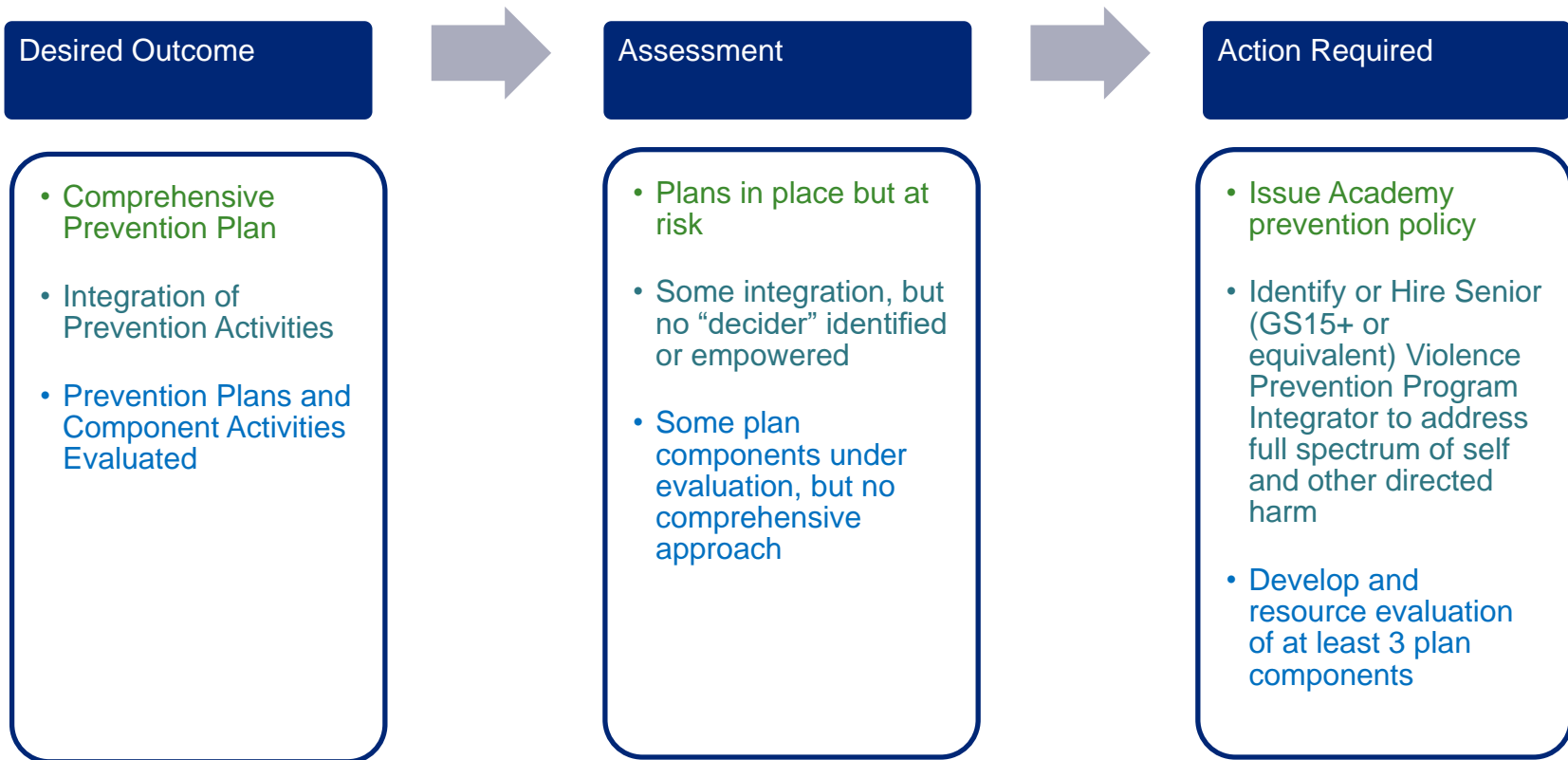
Cadet and Midshipman Perceptions of Messaging and Programs



Programs and training identified as high priorities for an Academy should be resourced to include qualities that resonate with cadets and midshipmen



Prevention Assessment



The Academies’ significant investment and progress in expanding prevention capabilities is at risk without greater institutionalization, integration, and evaluation



Victim Assistance Special Interest Items

- **Victim Reporting Preference Form Accountability:** No discrepancies noted
- **Case Management Group (CMG):** No significant discrepancies noted. MSAs to develop Operating Instructions to standardize the local CMG process
- **“Expedited” Transfers:** MSAs **successfully transferred 3** cadets and midshipmen who reported a sexual assault to a different Academy
- **Catch a Serial Offender Program (CATCH)**
 - The MSAs continued publicizing the CATCH Program: **43 CATCH entries** originated from the Academies – accounting for about **10%** of all DoD entries in APY 20-21
 - USNA Best Practice: Computer and private space in SARC Office for midshipman entries
- **“Safe To Report”** – policy allows command to decline taking disciplinary action on issues of minor collateral misconduct; DoD directed all Military Departments to issue NDAA-required policy
 - USAFA tracked 22 cadets citing Safe To Report as influencing their decision to report
 - USMA and USNA have collateral misconduct polices; no policy requirement yet to track related data
- **Survivor Summit Feedback:**
 - Request for continued class schedule deconfliction, even after protective order expiration and case closure
 - SARCs and SAPR VAs to answer general questions about investigations, justice process, and accountability measures

The Academies’ victim assistance initiatives in APY 20-21 met requirements in DoD and Military Service policy



Impact of the IRC on Academy Activities

- On February 26, 2021, the Secretary of Defense directed the IRC to conduct an **impartial assessment** of the Department's efforts to address sexual assault
 - IRC provided 82 recommendations to improve DoD's approach to accountability, prevention, climate and culture, and victim care and support
 - On September 22, 2021, the Secretary approved a roadmap to implement all recommendations
- A few of the key changes to policy, programs, and personnel that will likely impact the Academies are identified by the IRC Lines of Effort (LOE) below:
 - **LOE 1 – Accountability: Significant change in military justice process.** Prosecution decisions for sexual assault and other named offenses will shift from Academy Superintendents to the Special Trial Counsel
 - **LOE 2 – Prevention: Academies ahead of most installations.** Ongoing Academy prevention investments in personnel, leadership development, planning, prevention interventions, and resourcing give them a “jump start” on IRC recommendations
 - **LOE 3 – Climate and Culture: Academies need some catch up.** Unit reporting for cadet and midshipman units needs to align with new climate survey structure to better identify risk and protective factors; cadet and midshipman unit leaders and peer leaders need greater training and experience to address risk factors early
 - **LOE 4 – Victim Care and Support: Academies ahead of most installations.** Academy full-time SARC and SAPR VAs operate in a structure that allows them to provide the unfettered support to victims and advice to command



Way Forward

- The Department identifies the following items for MSA action:
 - **Efforts to reduce and stop sexual assault**
 - Identify and empower senior-level prevention decision-makers
 - Codify prevention plans into academy policy
 - Evaluate and identify impacts of prevention plan and component activities
 - Review prevention activities to:
 - Identify opportunities to build skills to address problematic social norms,
 - Include influential cadets and midshipmen as potential messengers, and
 - Resource and structure priority programs to include messaging approaches that resonate
 - **Sexual assault and sexual harassment reporting**
 - Provide resources for victims to make entries into the CATCH Program
 - Track sexual assault reports associated with Safe to Report policy
 - **Victim assistance initiatives**
 - Develop Localized CMG Operating Instructions
 - Assist DoD in completing the academy Expedited Transfer Policy
 - Identify areas that SARCs and SAPR VAs can educate victims about the military justice process
 - Deconflict class schedules for requesting victims beyond case closure and protective order expiration

Questions and Discussion



PERSONNEL AND READINESS

Back Up



PERSONNEL AND READINESS



Back Up Contents

Section	Slide Number
Additional Report Information	16
APY 20-21 Sexual Assault Prevalence & Reporting Data	20
<i>2021 ACNS</i> Additional Slides	29



Additional Report Information



Military Department Sexual Assault and Sexual Harassment Compliance Self Inspections

- On February 26 2021, Secretary of Defense Austin directed that the Secretaries of the Military Departments **assess compliance with sexual assault and sexual harassment policies and integrated violence prevention efforts**
- The MSAs reported compliance to their respective Military Departments and identified the improvement areas below:
 - **USMA:** develop specialized training for supervisors to equip them with the skillset required to handle retaliation, ostracism, and maltreatment allegations – current annual trainings on these topics for supervisors are not sufficient
 - **USNA:** identify investigating options for soliciting feedback on the effectiveness of response services while maintaining required confidentiality requirements, and continue to work on increasing reporting of SH complaints
 - **USAFA:** utilize training opportunities related to sexual harassment to address climate survey responses which suggest that sexually harassing behaviors or inappropriate jokes and comments are a concern within the cadet community
 - Evaluate education and prevention initiatives – currently working with the Centers for Disease Control and Prevention's Violence Prevention Technical Assistance Center to build assessments for measuring risk and protective factors into existing violence prevention framework

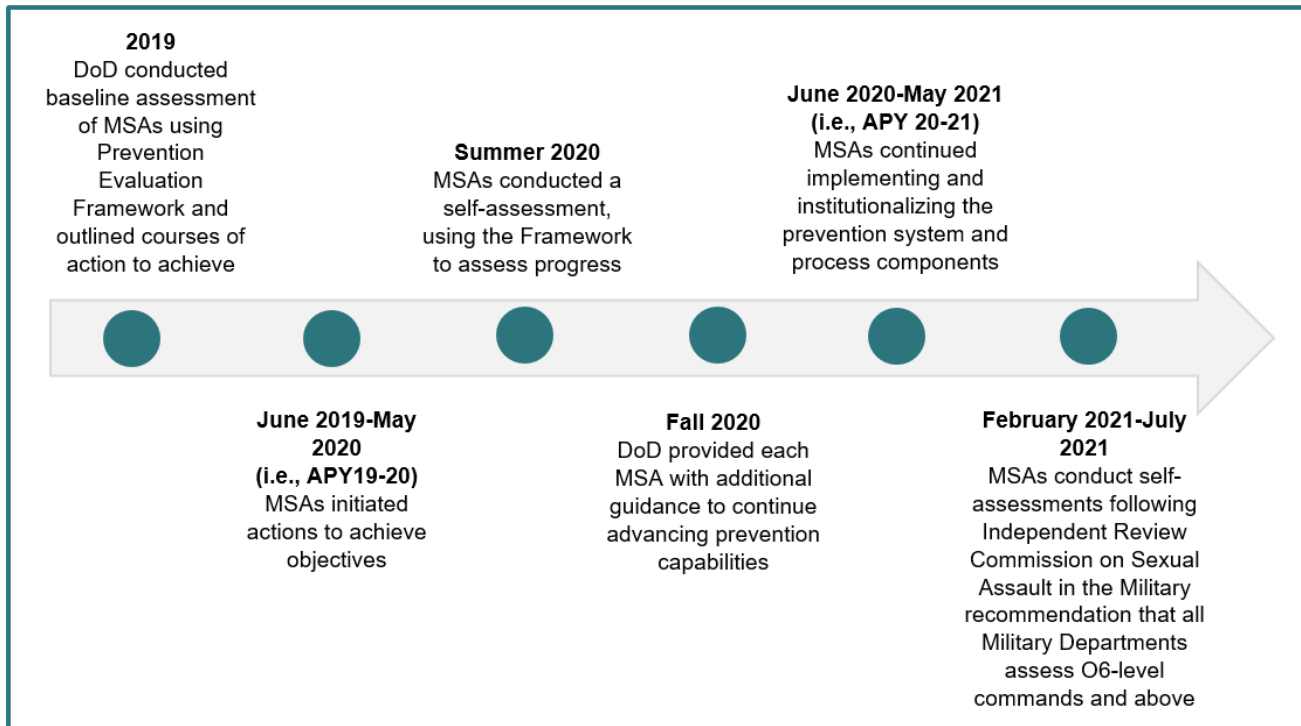


Sexual Harassment Compliance and Reporting

- The Department reviewed the MSAs' sexual harassment programs and found that all were in compliance with DoD and Service-level sexual harassment policy
 - DoD assessed compliance by interviewing Academy personnel on sexual harassment reporting and response, training, and prevention, and reviewing policy documents, informational posters, and organization charts
- In APY 20-21, **sexual harassment complaints increased** to 30 total complaints, up 18 complaints in APY 19-20. The breakdown of complaints by Academy are below:
 - **USMA:** 15 complaints
 - **USNA:** 3 complaints
 - **USAFA:** 12 complaints



Academy Prevention Progress Timeline



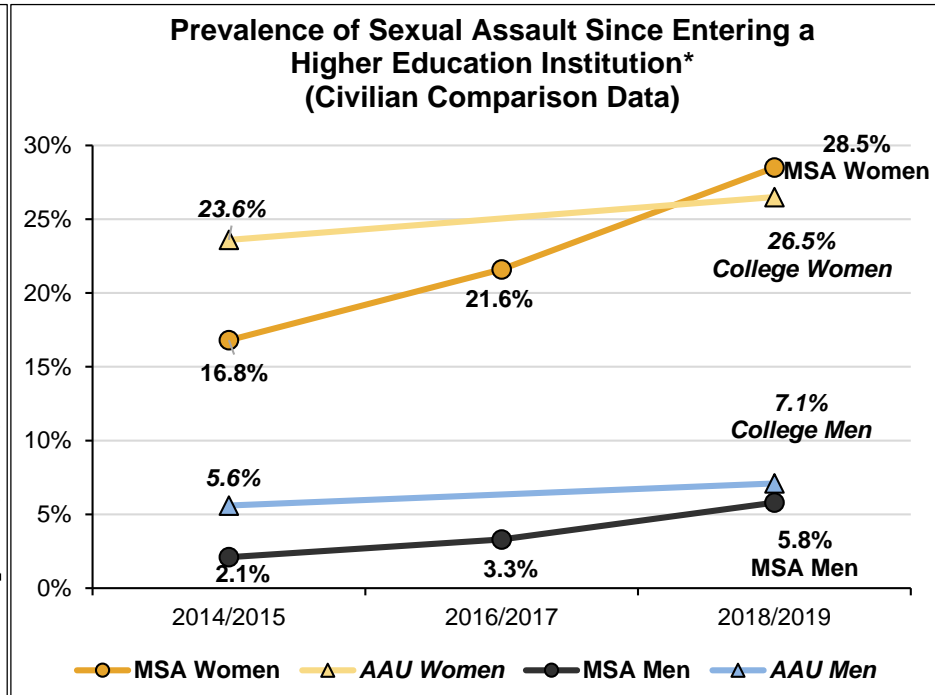
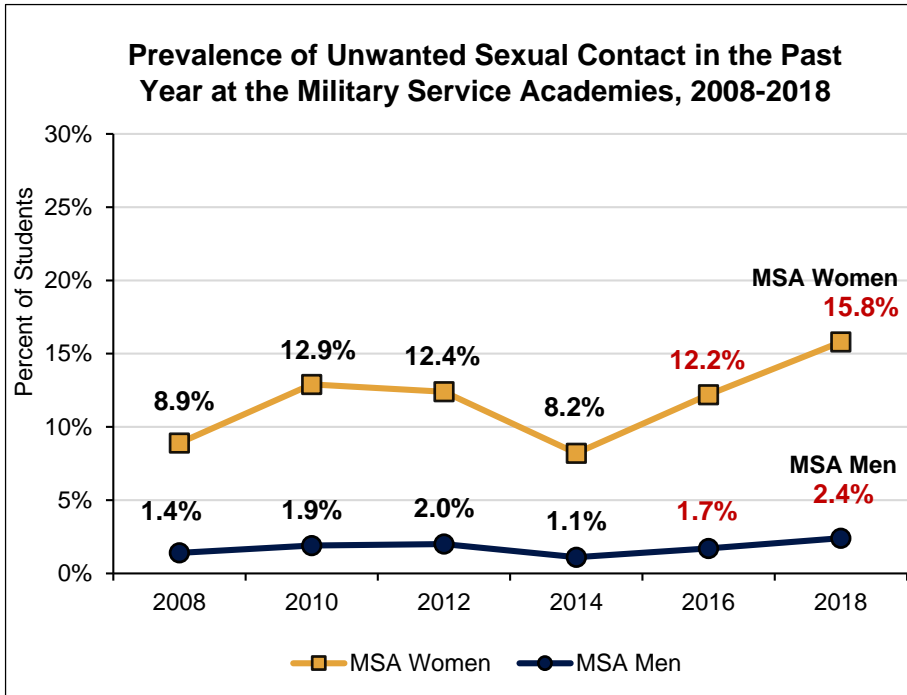
- In APY 20-21, the MSAs provided self-assessment prevention findings using the Prevention Evaluation Framework
- The Department **observed growth** in the MSAs' efforts to implement comprehensive approaches to sexual assault prevention, provide onboarding training to staff and peer leaders, and use integrating functions to better coordinate institutional prevention efforts



APY 20-21 Sexual Assault Prevalence and Reporting Data



Sexual Assault Prevalence



*Note: The 2018 Service Academy Gender Relations Survey and the American Association of Universities 2019 Campus Climate Survey used different methodologies. However, both surveys used a proxy metric for sexual assault that measured penetration and/or sexual contact that were physically forced or when the respondent did not or could not consent. Both surveys also measured the experience of sexual assault over the course of one's four-year academic career, which is shown here. **Comparisons are not scientific.**

Sexual assault prevalence at the Academies is comparable to rates observed in civilian colleges. However, DoD holds itself, and the Academies, to a higher standard of behavior.



Categorizing Total Reports Into Reports Involving Actively-Enrolled Students and All Other Reports

- At the request of the MSAs, the Department has broken down the total number of reports received by the Academies into two overarching categories to reflect the MSAs' current conditions
- The Department presents **reports involving actively-enrolled students**: reports from current students for incidents that occurred during military Service, active duty Service member victims reporting an incident that occurred within the last four years, and civilian victims
- The Department also tracks and provides appropriate services to **all other reports**: reports of prior to Service incidents, reports from active duty Service members for incidents that occurred greater than four years ago, and prep school students

	Unrestricted Reports	Restricted Reports	Total Reports
All Academy-Related Reports	81	80	161
• Reports involving actively-enrolled cadets/midshipmen at the time of incident and/or report	71	68	139
– Cadets/midshipmen victims reporting an incident that occurred during military Service	64	67	131
– Active duty Service Member victims reporting an incident that occurred within the last four years	3	1	4
– Civilian victims	4	0	4
• All other reports	10	12	22
– Cadets/midshipmen reporting an incident that occurred prior to military service	6	8	14
– Active duty Service members reporting an incident that occurred more than four years ago	1	3	4
– Prep school students	3	1	4



MSAs: Disciplinary Action Summary Case Outcomes Reported in APY 20-21

160 Cases receiving or awaiting disposition in APY 20-21

- 81 Case dispositions yet to be determined (reported out in future APYs)

77 Case dispositions reported in APY 20-21

- 18 Cases with a civilian, foreign national, unknown, deceased or deserted subjects or civilian/foreign authority exercised jurisdiction over Service member subjects

59 Cases that could be considered for possible action by DoD commanders

44 Evidence supported commander action (75% of 59)

31 Cases with action on sexual assault offenses

- **11 Court-martial charge preferred (35% of 31)**

- 1 Nonjudicial punishment (3% of 31)

- 19 Adverse administrative actions or discharges (61% of 31)

13 Cases where evidence supported action on non-sexual assault offense

14 Command action precluded/respected victims' desired non-participation (24% of 59)

1 Case unfounded by command/legal review (2% of 59)



MSAs: Court-Martial Charges Preferred Summary

31 Cases with action on sexual assault offenses

11 Court-martial charges preferred

1 *Nonjudicial punishment*

19 Adverse administrative actions or discharges

11 Court-martial charges preferred

3 Case disposition not completed in APY 20-21 (will be reported out future years)

8 Case dispositions completed in APY 20-21

3 Resignation in lieu of court-martial

3 Court-martial charges dismissed

2 Proceeded to trial

2 Convicted of any charge at trial

0 Acquitted of all charges



MSAs: Nonjudicial Punishments and Adverse Administrative Actions Summary

31 Cases with action on sexual assault offenses

11 Court-martial charges preferred

1 Nonjudicial punishment

19 Adverse administrative actions or discharges

1 Nonjudicial punishment

0 Pending nonjudicial punishments

1 Completed nonjudicial punishment

19 Adverse administrative actions or discharges

15 Other adverse administrative actions

2 Pending administrative actions

13 Completed administrative actions

4 Administrative discharges

1 Pending adverse administrative discharge

3 Completed adverse administrative discharges



USMA: Court-Martial Preferral Outcomes

Number	Most Serious Sexual Assault Offense Charged	Court Outcome	Most Serious Offense Convicted	Disciplinary Outcome
1	Sexual Assault (Art. 120)	Discharge of resignation in lieu of courts-martial	N/A	N/A
2	Abusive Sexual Contact (Art. 120)	Charges dismissed subsequent to recommendation by Art. 32 hearing officer	N/A	N/A
3	Sexual Assault (Art. 120)	Discharge of resignation in lieu of courts-martial	N/A	N/A
4	Sexual Assault (Art. 120)	Discharge of resignation in lieu of courts-martial	N/A	N/A



USNA: Court-Martial Preferral Outcomes

Number	Most Serious Sexual Assault Offense Charged	Court Outcome	Most Serious Offense Convicted	Disciplinary Outcome
1	Attempts to Commit Offenses (Art. 80)	Convicted	Obstructing justice (Art. 134-35)	Sentenced to 25 years confinement and a dismissal
2	Sexual Assault (Art. 120)	Convicted	Sexual Assault (Art. 120)	Sentenced to 25 years confinement and a dismissal
3	Sexual Assault (Art. 120)	Charges dismissed for any other reason prior to courts-martial		



USAFA: Court-Martial Preferral Outcomes

Number	Most Serious Sexual Assault Offense Charged	Court Outcome	Most Serious Offense Convicted	Disciplinary Outcome
1	Sexual Assault (Art. 120)	Charges dismissed subsequent to recommendation by Art. 32 hearing officer		Not recommended to continue as a cadet and subsequently discharged from AF

2021 ACNS Additional Slides



PERSONNEL AND READINESS



Methodology: Mixed-Methods

Online Survey

- Administration
 - Census of all cadets/midshipmen at USMA, USNA, and USAFA
 - Online survey administration
 - Voluntary and confidential
 - Fielded: February 22 – March 15, 2021[^]
 - Response Rate: 23%
- Content
 - Prevention-oriented social norms at the Academies
 - Nominate 5 influential Academy peers who...
 - They look up to
 - They respect
 - They think is a good leader in sports, clubs, extracurricular
 - They would want to command the military unit they commission into
 - Has a presence on social media that they like, follow, or enjoy
 - Nominate 5 Academy peers they have felt particularly close to/spent significant time with over past six months
 - Relationship(s) between the respondent and the individuals they identified

Virtual Focus Groups

- Administration
 - Recruited cadets/midshipmen identified as influential or part of a social network on the survey (top 25 percent of nominated individuals were prioritized [those nominated the most])^{*}
 - Conducted 6 groups per MSA virtually using MS Teams, Google Meet, or Zoom
 - Fielded: March 25 – April 16, 2021
 - 128 participants (83 men & 45 women)
- Content
 - Characteristics of influential students
 - Flow of information through informal channels
 - Prevention-oriented social norms at the Academies

[^] USNA fielded from March 1 – March 22

^{*} Individuals will not be identified by name



Key Terms

- **Influencers:** Cadets and midshipmen that received a high number of nominations by other cadets and midshipmen
- **Central influencers:** Cadets and midshipmen who are centrally connected in the MSA based on peer and influencer connections, as well as their position relative to other cadets and midshipmen in the Academies
- **Influencer categories:** Admired, respected, a general leader, a military leader, or on social media
- **Social norms:** The actual, expected, and incongruent behaviors of cadets and midshipmen
- **Peer networks:** The peer group of a cadet or midshipman that details the connections these peers share
- **Social network structures:** The features of the number and type of connections that cadets and midshipmen have in the Academies
- **Prevention-oriented behaviors:** Behaviors identified as risk and protective factors for sexual assault
- **Reference groups:** Characteristics of cadets and midshipmen that are used for comparisons (e.g., class year, gender, prior service)