

U.S. Department of  
Homeland Security

United States  
Coast Guard



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NOV 05 2014

MG Jeffrey J. Snow, USA  
Director  
DoD Sexual Assault Prevention and Response Office  
4800 Mark Center, Suite 07G21  
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Dear General Snow:

The U.S. Coast Guard continues to seek opportunities to align with the Department of Defense in our ongoing collective efforts to battle sexual assaults in the military. We also believe that it is vitally important to highlight this alignment with the White House, the Congress and the public, whenever possible.

Attached, you will find the U.S. Coast Guard Annex of the DoD SAPR Progress Report to the President of the United States. I appreciate the opportunity for the U.S. Coast Guard to be included.

Thank you for your continued attention to these important efforts.

Sincerely,

A handwritten signature in blue ink that reads "Paul F. Zukunft".

Paul F. Zukunft  
Admiral, U.S. Coast Guard  
Commandant



# United States Coast Guard

## Annex

President's Report

*October 2014*



**Homeland  
Security**

## Executive Summary

Over the last several years, the Coast Guard has dedicated significant resources to eliminate sexual assault from the Service. The Coast Guard has long recognized the importance of a strong Sexual Assault Prevention and Response Program, and has taken direct actions—such as hiring a dedicated Program Manager and chartering a Task Force to examine sexual assault training, policy, investigations, communications, and culture—to address the problem. In January 2013, these efforts culminated with the Coast Guard's establishment of the Sexual Assault Prevention Council as a cross-directorate body comprised of shareholders in the Sexual Assault Prevention and Response Program and processes.

In its first year, the Council made significant progress to increase the Coast Guard leadership's collective understanding of the current climate, drive positive cultural change, increase the availability and quality of response support for sexual assault victims, improve investigative and prosecution processes, and empower leadership to take action to prevent and respond to incidents of sexual assault. As its first order of business, the Council developed and published the *U.S. Coast Guard Sexual Assault Prevention and Response Strategic Plan for Fiscal Years 2013-2017*. The Plan outlines the following four strategic goals around which the Coast Guard has and will continue to focus its efforts during fiscal years 2013-2017:

- **Goal 1 (Climate):** Create a culture intolerant of sexual assault or behaviors that enable it.
- **Goal 2 (Prevention):** Eliminate sexual assault in the Coast Guard through the foundation of a strong preventative culture.
- **Goal 3 (Response):** Improve the availability and quality of response support for sexual assault victims. Increase victim confidence and lessen the stigma associated with reporting.
- **Goal 4 (Accountability):** Ensure those who commit sexual assault in the Coast Guard are held accountable. Improve capability and capacity for the reporting, investigation, and prosecution of sexual assault; and elevate leadership engagement in response to sexual assault.

In alignment with these goals, the Sexual Assault Prevention Council identified and took action on a focused set of activities and milestones to drive the Coast Guard's near-term efforts to eliminate sexual assault from the Service. The Council's accomplishments to date are described below:

- **Goal 1 (Climate):** Assessed the current sexual assault prevention and response climate and culture, improved training programs, and issued and planned targeted communications. Specific efforts included sponsoring a Junior Council to garner feedback from junior members and a Sexual Assault Prevention and Response Summit; improving unit indoctrination, standardized training, and recruit training; planning events

for the annual Sexual Assault Awareness Month; and issuing public affairs guidance and a blog series.

- **Goal 2 (Prevention):** Raised Service-wide awareness of sexual assault issues and improved bystander intervention training through developing leadership training tools and incorporating bystander intervention training in several forums attended by a broad cross-section of Coast Guard personnel.
- **Goal 3 (Response):** Increased sexual assault response resources, developed and instituted Sexual Assault Response Coordinator and Victim Advocate certification requirements, enhanced the Victim Advocate screening process, established a special Victims' Counsel Program to represent the interest of victims throughout the investigatory and military justice process, and stood up a Victim Recovery and Response Committee to enhance Coast Guard efforts toward victims.
- **Goal 4 (Accountability):** Evaluated and improved the investigative and prosecution processes and equipped Coast Guard leaders with the necessary tools to enable them to fully engage in response activities. Specific activities included a review of disposition determinations, development of a Sexual Assault Incident Report and an accompanying Commanding Officers/Officers-in-Charge Quick Reference Guide, and establishment of a Case Review Board Pilot, Sexual Assault Response Teams, and Crisis Intervention Teams.

The Council's efforts have set the foundation for improvements in training, policy, investigation and prosecution, communications, and workplace climate and culture. While these accomplishments are significant, the Council's work is not over; the number of reported incidents has increased significantly in the last few years. Beyond 2014, the Council plans to continue efforts to implement the Strategic Plan, develop sustainable processes and systems for legacy and new sexual assault prevention and response efforts, and, in collaboration with the White House and Department of Defense, define and institute metrics to measure the effectiveness of activities over time.

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# 1 Introduction

Within the Coast Guard, sexual assault is a crime that destroys discipline, erodes command cohesiveness, and degrades readiness. Although sexual assault in the military is an issue that has recently received significant attention from external oversight bodies and the media, the issue has been at the forefront of the Commandant's priorities for many years. Since 2008, the Coast Guard has dedicated significant resources and taken direct actions—such as hiring a dedicated Program Manager and chartering a Task Force to examine sexual assault training, policy, investigations, communications, and culture—to address sexual assault (see Figure 1). In October 2013, these actions culminated in the issuance of the Sexual Assault Prevention and Response Task Force's Report. In its Report, the Task Force recommended that the Coast Guard create a Sexual Assault Prevention Council to manage implementation of the Task Force recommendations and coordinate Service-wide efforts to eliminate sexual assault by and upon Coast Guard personnel.

In direct response to the Task Force Report, the Deputy Commandant for Mission Support signed the Sexual Assault Prevention Council Charter on 31 January 2013. The newly formed Council held its kick-off meeting on 27 February 2013. Since then, the Council continues to meet one to two times a month and drive measured progress in all areas addressed in the Task Force Report: training, policy, investigation and prosecution, communications, and workplace climate and culture. This document provides an overview of events leading to the creation of the Sexual Assault Prevention Council as well as service-wide accomplishments since its inception to highlight the Coast Guard's approach to eradicating sexual assault within our service.

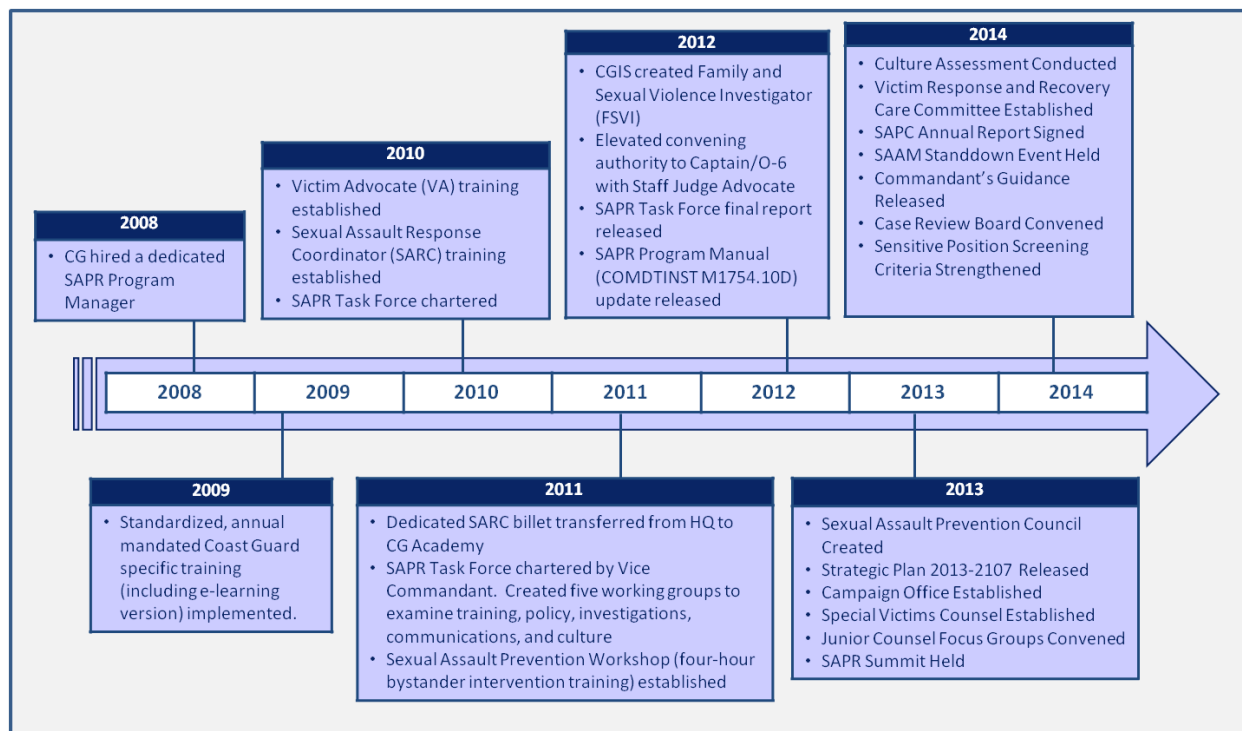


Figure 1: Sexual Assault Prevention and Response Background Timeline

## 2 Sexual Assault Prevention Council Overview

Eliminating sexual assault from the Coast Guard requires fundamental changes to many facets of the organization, including culture and workplace climate; human resources policies and processes; training programs; accountability mechanisms; and renewed leadership engagement and commitment. For that reason, the Deputy Commandant for Mission Support chartered the Sexual Assault Prevention Council as a cross-directorate council comprised of senior leadership from the Coast Guard Areas, Force Readiness Command, Academy, and Headquarters entities that are shareholders in the Sexual Assault Prevention and Response Program and processes, including:

- Deputy Commandant for Mission Support (Chair)
- Master Chief Petty Officer of the Coast Guard
- Pacific Area Deputy Commander
- Atlantic Area Deputy Commander
- Director of the Office of Civil Rights
- Director of Governmental and Public Affairs
- Judge Advocate General
- Assistant Commandant for Human Resources
- Director of Health, Safety, and Work-Life
- Director of Coast Guard Investigative Services
- Superintendent of the Coast Guard Academy
- Commander of Force Readiness Command

Collectively, this diverse and senior group of leaders provides the Coast Guard with a governance body that has the necessary authority and leadership to effectively drive Service-wide organizational and cultural change associated with how the Coast Guard prevents and responds to incidents of sexual assault.

To achieve its mission, the Sexual Assault Prevention Council is chaired by the Deputy Commandant for Mission Support and works in close collaboration with the Program Office, which is responsible for day-to-day management of sexual assault prevention and response activities, and the Sexual Assault Prevention and Response Military Campaign Office. In May 2013, the Council established the Military Campaign Office to coordinate the Service's efforts to rapidly operationalize and implement near-term strategies that will create the processes, training regiments, measurements, and support system integrity that will best position the Coast Guard to eradicate sexual assault. The Military Campaign Office also serves as the temporary Executive Secretariat for the Sexual Assault Prevention Council and is responsible for managing the day-to-day operations of the Council. Figure 2, below, illustrates the Council's relationship with the Deputy Commandant for Mission Support, the Program Office, and the Military Campaign Office.



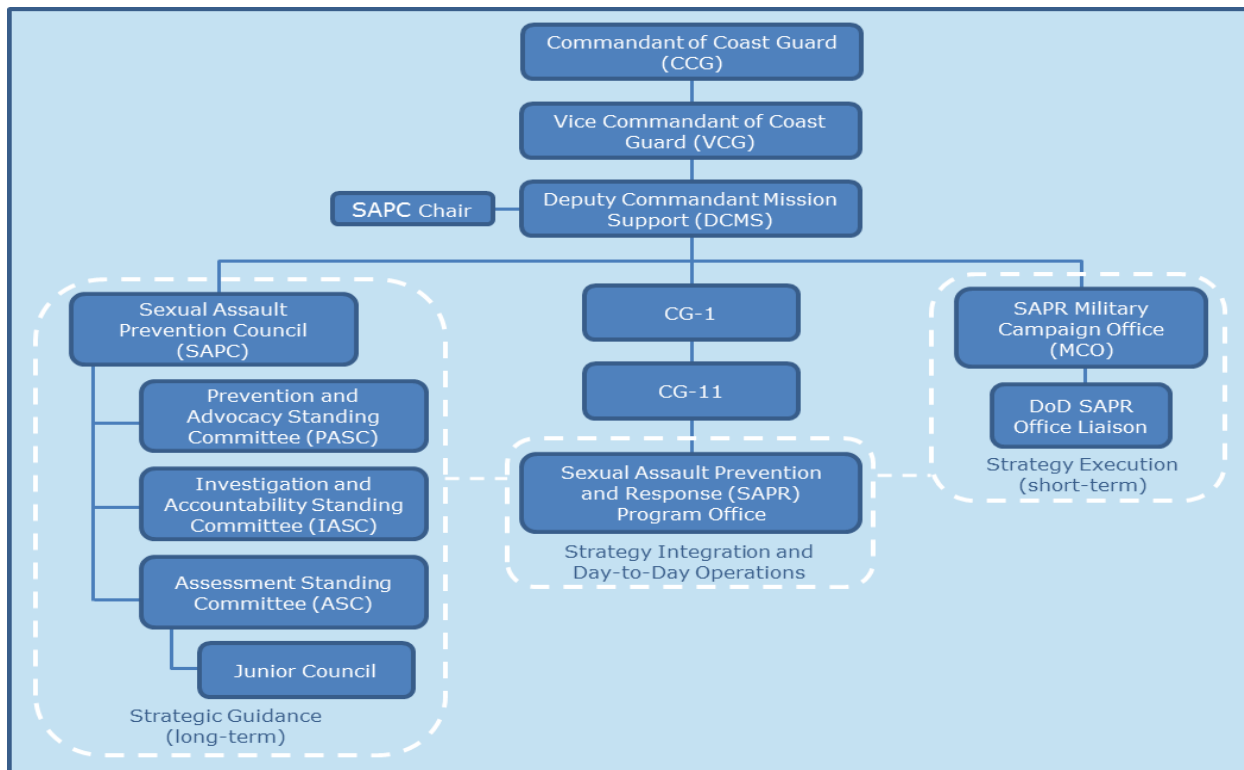


Figure 2 - Sexual Assault Prevention and Response Structure

### 3 Accomplishments

As its first order of business, the Council reviewed the recommendations of the Task Force and, based on those recommendations, developed the *U.S. Coast Guard Sexual Assault Prevention and Response Strategic Plan for Fiscal Years 2013-2017*.<sup>1</sup> The Strategic Plan, which was signed by the Commandant in April 2013, describes the Coast Guard’s approach to eliminate sexual assault—by building both a culture intolerant of assault and harassment and the infrastructure and systems required to support victims, foster an environment of intimidation-free reporting, ensure fair and impartial investigations when incidents do occur, and ensure accountability. Specifically, the Plan outlines the following four strategic goals around which the Coast Guard has and will continue to focus its efforts during fiscal years 2013-2017:

- **Goal 1 (Climate):** Create a culture intolerant of sexual assault or behaviors that enable it.
- **Goal 2 (Prevention):** Eliminate sexual assault in the Coast Guard through the foundation of a strong preventative culture.
- **Goal 3 (Response):** Improve the availability and quality of response support for sexual assault victims. Increase victim confidence and lessen the stigma associated with reporting.

<sup>1</sup> The *U.S. Coast Guard SAPR Strategic Plan for Fiscal Years 2013-2017* is available at [http://www.uscg.mil/worklife/docs/pdf/SAPR\\_strat\\_plan.pdf](http://www.uscg.mil/worklife/docs/pdf/SAPR_strat_plan.pdf).

- **Goal 4 (Accountability):** Ensure those who commit sexual assault in the Coast Guard are held accountable. Improve capability and capacity for the reporting, investigation, and prosecution of sexual assault; and elevate leadership engagement in response to sexual assault.

To address these goals, the Council chartered three standing committees (Prevention and Advocacy Standing Committee, Investigation and Accountability Standing Committee, and Assessment Standing Committee) and created a Plan of Actions and Milestones detailing each task the Council will complete to operationalize the Strategic Plan (Appendix A). Recognizing the interconnectedness between each of these goals, the standing committees worked in close collaboration to eliminate redundancies and ensure consistency across efforts. Following this approach, in its first year, the Council increased the Coast Guard collective understanding of the current climate, provided tools to drive positive cultural change, formulated and implemented tactics to increase the availability and quality of response support for sexual assault victims, devised strategies to evaluate and improve investigative and prosecution processes, and empowered personnel to take action to prevent and respond to sexual assault.

The following sections detail specific Sexual Assault Prevention Council accomplishments aligned with each goal of the *U.S. Coast Guard Sexual Assault Prevention and Response Strategic Plan for 2013-2017*. Figure 3 provides a high-level summary of the Council’s key events and milestones in 2013.

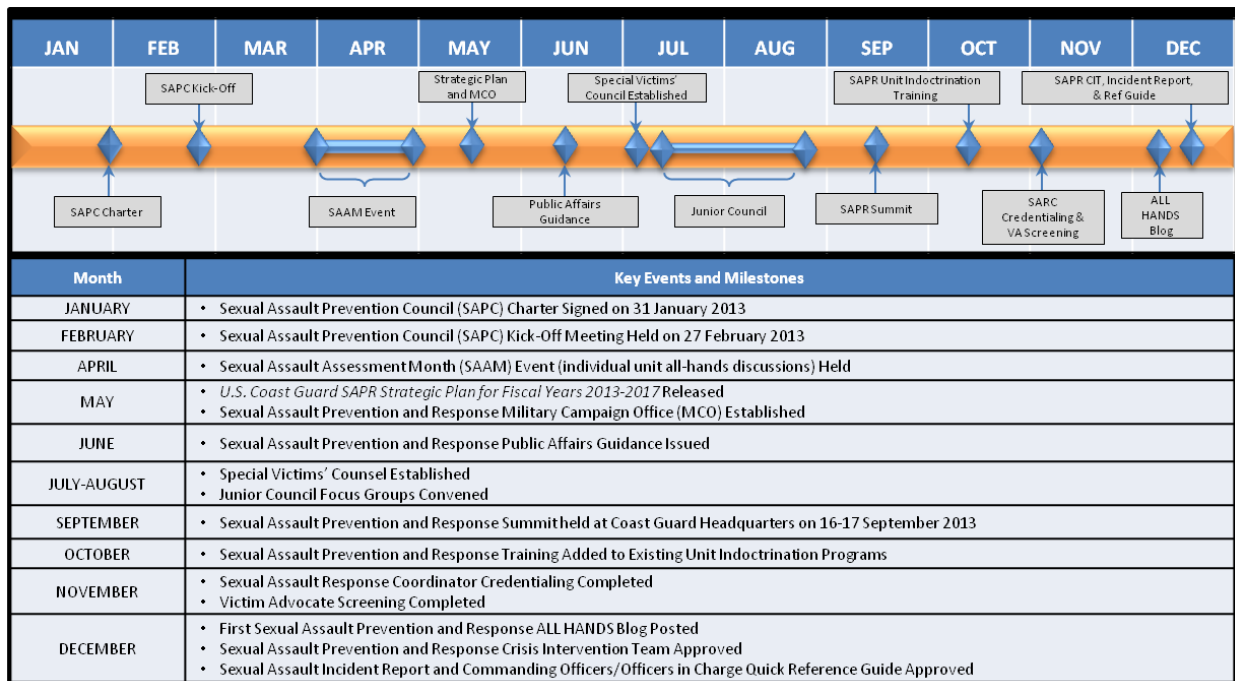


Figure 3 - Sexual Assault Prevention Council 2013 Key Events and Milestones

At the end of the first year, an audit was performed on the Plan of Action and Milestones. Adjustments were made as the Assessment Standing Committee completed the identification of metrics and the Prevention and Advocacy Standing Committee responsibilities shifted back to the program. At that point, the Victim Response and Recovery Care Committee was established.

Figure 4 below provides a high-level summary of the Council’s key events and milestones in 2014.

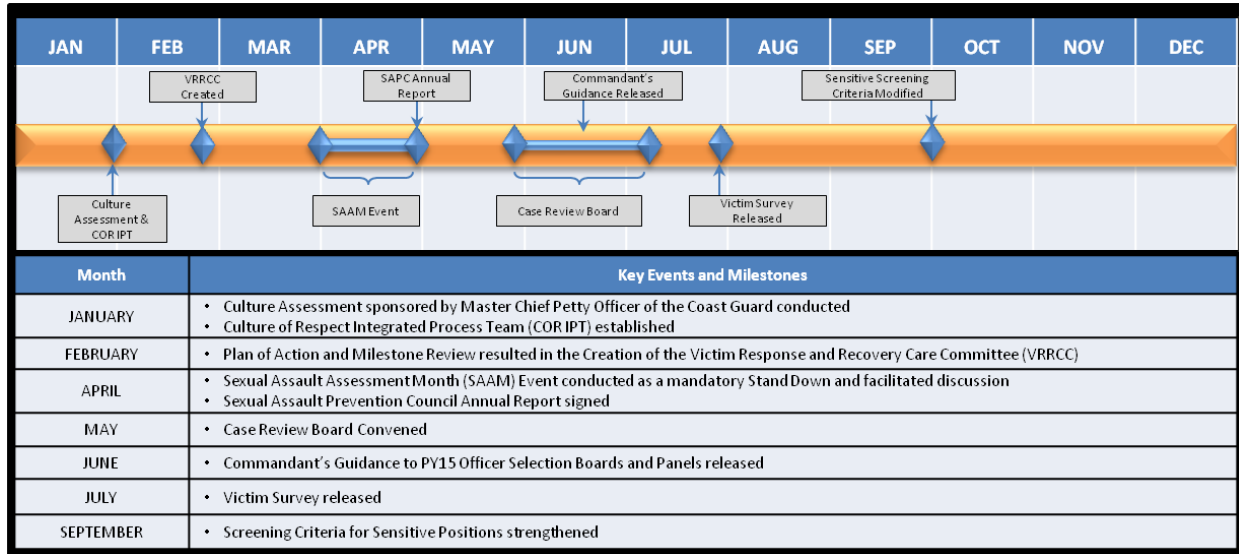


Figure 4 - Sexual Assault Prevention Council 2014 Key Events and Milestones

### 3.1 Goal 1: Climate

*Create a culture intolerant of sexual assault or behaviors that enable it.*

As input to its report, the Sexual Assault Prevention and Response Task Force conducted an initial analysis of the Coast Guard culture in 2012 and found, among other things, that:

- Biases and myths concerning sexual assault exist within the Coast Guard;
- Overindulgence in alcohol continues to occur within the Coast Guard although it is widely recognized that there is a strong correlation between sexual assault and the overindulgence in alcohol;
- Coast Guard personnel do not feel empowered or understand how to take action against sexual assault;
- Coast Guard personnel are confused concerning the difference between sexual assault and sexual harassment; and
- The Coast Guard members in command have a perception that reporting a sexual assault could reflect negatively on their ability to be in command.

To address these issues, the Council took immediate action to further understand and assess the current climate and culture, improve training programs, and issue and plan targeted communications. The Council’s initial efforts have provided Coast Guard leadership with an improved understanding of the current climate and some initial tools to affect change. Related efforts are described in the following sections.

### 3.1.1 *Assessed Current Climate and Culture*

To further understand the current climate, the Council directly engaged with all levels of Coast Guard Service members. Specific activities include:

- **Junior Council Focus Groups.** Throughout July and August of 2013, the Council convened focus groups—at ten locations—of junior Coast Guard members (E1-E4, O1-O3) to solicit input on the current culture. Through this effort, the Council validated some of the findings of the Task Force and discovered several additional observations about the current climate. Specifically, the council noted that junior members were confused about the difference between sexual assault and harassment; believed that the Coast Guard does not always appropriately address sexual assault at the outset and responses are inconsistent across the Coast Guard; did not trust the chain of command to appropriately handle a report; and unless someone has personal knowledge of a sexual assault, junior members generally did not realize that sexual assault is a problem in the Coast Guard. These findings informed discussions at the 2013 Sexual Assault Prevention and Response Summit (see below), provided leadership with deeper insight into the climate challenges at the deckplate level, and better enabled the Coast Guard to develop relevant and effective training and communications strategies.
- **Sexual Assault Prevention and Response Summit.** On 16-17 September 2013, the Council convened a summit including approximately 150 randomly selected Coast Guard members representing a large variety of units and holding a range of ranks from the most junior to the most senior. The Summit's theme was "One Team, One Fight – Empowering People, Building Trust, Changing Culture." The purpose of the Summit was to provide training, frame the issues, receive feedback, and demonstrate leadership commitment for sexual assault prevention and response efforts.



Figure 5 – More than 150 Coast Guard men and women attend the Coast Guard's inaugural Sexual Assault Prevention and Response Summit on September 16, 2013.

During the Summit, participants noted, among other things, that (1) sexual assault issues are not openly discussed at the deckplate level; (2) many leaders do not take an active role in demonstrating their intolerance of inappropriate behavior; (3) there are few mentors that members can trust to maintain confidentiality; (4) leadership responses to reports of sexual harassment and assault are not consistent; (5) the 'boys will be boys' culture is pervasive and needs to change; and (6) not all Coast Guard members are aware that there is a problem with sexual assault. These findings validated earlier findings and provided leadership with additional insight into the climate challenges throughout the

Coast Guard ranks. To collect additional feedback, the Council has initiated planning to make mini-summits available across the Coast Guard.

- **Cultural Assessment.** The Council supported efforts led by the Master Chief Petty Officer of the Coast Guard to plan for and conduct a series of cultural assessments with leaders in six locations across the Coast Guard in January-February 2014. The assessment team engaged Commanding Officers, Officers in Charge, Command Master Chiefs, senior supervising civilians, and representatives from local leadership and diversity advisory councils in Seattle, Washington; Miami, Florida; Portsmouth, Virginia; New Orleans, Louisiana; Alameda, California; and Petaluma, California. The assessment results provided leadership with input to develop a current state baseline and desired organizational state.
- **Atlantic Area Surveys.** The Atlantic Area Command created and conducted a Leadership and Diversity Climate Survey in the spring of 2014 that included questions to better understand the climate for preventing and reporting sexual assault. This survey was open to all members of the Atlantic Area and addressed issues such as member trust in supervisors and the Coast Guard as a whole. The survey included specific questions on gender differences related to feelings of safety and fair treatment for reporting sexual assault. The Atlantic Area Command shared survey results with the Military Campaign Office and the Sexual Assault Response Coordinators.<sup>2</sup>

### 3.1.2 *Improved Training*

The Task Force found that to effectively address climate challenges the Coast Guard needs to expand its sexual assault education and training to include specific leadership training and improved accession point training. To address these needs, the Council led and provided input to efforts to develop training tools and lesson plans and establish an enhanced system to effectively implement new training programs. Collectively, these efforts have set the foundation for the Coast Guard to fully implement an improved training program in 2014. Specific activities include:

- **Unit Indoctrination Training and Toolkit.** The Council developed tailored training and a Unit Indoctrination Toolkit<sup>3</sup> for inclusion into unit indoctrination programs. The Toolkit includes (1) Commanding Officer/Officer-in-Charge talking points defining sexual assault and harassment and linking the individual's role in prevention and response to the Coast Guard's core values, and (2) a wallet card for the new member that provides key information on the unit's sexual assault prevention and response resources. Together, the training and toolkit provide command leaders with the necessary guidance to communicate the Coast Guard's position on and address commonly asked questions related to sexual assault with members starting on their first day at a unit. The training was incorporated into unit indoctrination programs in October 2013.

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<sup>2</sup> The Atlantic Area Leadership and Diversity Climate survey results are available at <http://d05ms-lpsp2:9020/sites/LANT/LDAC/Lists/LANT%20SAPR%20COP/AllItems.aspx>.

<sup>3</sup> The SAPR Unit Indoctrination Toolkit is available at [http://www.uscg.mil.sapr/sapr\\_command\\_toolkit.asp](http://www.uscg.mil.sapr/sapr_command_toolkit.asp).

- **Standardized Training.** The Council developed standardized two-hour lesson plans for integration into existing leadership, accessions, command cadre, and healthcare provider training courses and provided the lessons for implementation in the spring of 2014. This update provides Coast Guard leaders with a common understanding of sexual assault prevention and response policy and issues and the tools necessary to lead efforts within their commands to eliminate sexual assault.
- **Recruit Training.** Beginning in June 2013, the Training Center Cape May conducted a proactive self-assessment of measures to prevent sexual assault and respond effectively to potential incidents involving staff members and/or trainees as well as prepare accession program graduates to prevent and respond to sexual assault in the fleet. Changes focused on increasing recruits' awareness of their rights, increasing trainees' access to senior staff members throughout training, and increasing trainees' understanding of the importance of bystander intervention and confidence to intervene. These changes included the addition of printed materials and briefings about recruit rights, face-to-face debriefs, targeted survey questions to foster reporting, and the Navy bystander intervention video *Take the Helm*. Additionally, Cape May augmented training for Recruiters and Company Commanders with the standardized lesson plan. As a result of these efforts, new recruits have increased exposure to sexual assault prevention and response issues.
- **Culture of Respect Integrated Process Team.** The Council approved the charter in January 2014 for the Force Readiness Command to develop a Culture of Respect Integrated Process Team tasked with developing innovative multi-level organizational training and performance support solutions to improve the culture of respect, especially with regard to sexual assault. Once complete, the Integrated Process Team's efforts will provide the Coast Guard with an improved holistic training program targeting leadership, accessions, and command cadre training. The intent is to drive cultural change at all levels of the Coast Guard.
- **Atlantic Area Indoctrination Process.** The Atlantic Area Command directed all subordinate commands to incorporate a new check-in form that requires new members to acknowledge the command's zero tolerance for sexual assault, harassment, hazing, and bullying as well as the Service's policy on bystanders. As part of this requirement, new members are required to review the policy prior to their in-brief with the command cadre. During the in-brief, the command representative discusses the policy in detail with the new member to instill in the member the Command's absolute commitment to eliminating sexual harassment and assault. The session is also designed to reiterate that the Command takes even seemingly small infractions seriously. All current members are required to read and sign the form affirming their understanding of the policy.<sup>4</sup>
- **Pacific Area Outreach and Education.** The Pacific Area collaborated with universities and colleges in the Bay Area to share best practices and initiatives to improve outreach and education in 2013-2014. One initiative that resulted was the creation of SAPR Case

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<sup>4</sup> The Atlantic Area form is available at <http://d05mslpsp2:9020/sites/LANT/LDAC/Practical%20steps/Forms/AllItems.aspx>

Study Tool. This case study provides an excellent venue to discuss, educate and engage units in preventing sexual assault and becoming active bystanders to intervene in situations that may lead to sexual assault. Redacted historic Coast Guard cases provide real scenarios that can spur discussions amongst crew members. This two hour-long case study can be an effective tool for field units to continue the conversations until their next Sexual Assault Prevention Workshop. The case study: (1) presents an effective reinforcement tool for units who have received Sexual Assault Prevention Workshop; (2) offers a strong basis for discussion; (3) promotes bystander intervention; (4) allows for problem solving in multiple areas of sexual assault intervention and response; (5) furthers cultural change (analogous to the change in attitudes with regard to drunk driving), and (6) provides an opportunity for command cadres to get personally involved in the prevention aspect of sexual assault.

### 3.1.3 *Planned and Issued Targeted Communication*

The Task Force found that to effectively address climate challenges, the Coast Guard needs to adopt and implement a more forceful and proactive communication posture, including managed messaging and regular outreach to Coast Guard civilian and military personnel. To address these needs, the Council coordinated with the Office of Governmental and Public Affairs to develop sexual assault prevention and response communication guidance, plan awareness activities, launch a blog series, and initiate development of a holistic approach to Coast Guard-wide communication. Specific activities include:

- **Sexual Assault Awareness Month.** The Council supported the coordinated and integrated Coast Guard sexual assault awareness campaign during the Sexual Assault Awareness Month in 2013. In support of the campaign, all units were directed to conduct an “all-hands” workshop during the month of April and were provided with a command tool-kit,<sup>5</sup> including videos featuring personal messages from the Commandant and Master Chief Petty Officer of the Coast Guard, scripted discussion questions, and a training film. The event included open and frank discussion within commands about sexual assault prevention and response and was designed to raise awareness among all Coast Guard civilian and military personnel regarding the nature and magnitude of the problem of sexual assault in the Coast Guard, the importance of bystander intervention, and available resources and reporting options. Coast Guard Compass, the official blog of the U.S. Coast Guard, continued a three-year tradition of raising awareness on the Service’s efforts<sup>6</sup> with first person accounts of Coast Guard men and women taking a stand against sexual assault. The Chief’s Mess sponsored a Service Dress Blue day—the optional wearing of the Coast Guard’s more formal uniform—to demonstrate solidarity. In 2014, a Stand Down was required for every unit in the Coast Guard, which included a 3-hour video recording introduced by the Commandant and a facilitated discussion about culture.
- **Public Affairs Guidance.** The Council provided input to Public Affairs for the development of Coast Guard-wide Public Affairs Guidance designed to ensure

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<sup>5</sup> The toolkit is available at [http://www.uscg.mil/sapr/sapr\\_command\\_toolkit](http://www.uscg.mil/sapr/sapr_command_toolkit).

<sup>6</sup> Coast Guard Compass stories in support of Coast Guard SAPR efforts since 2010 can be viewed at <http://coastguard.dodlive.mil/?s=%22sexual+assault%22>

coordinated messaging related to sexual assault prevention and response issues. Issued in June 2013, the guidance mandates that any locally developed materials (posters, communications plans, training materials, handouts, blog posts, social media content, news releases, etc.) be coordinated through the Military Campaign Office Public Affairs Officer prior to release and includes key messages, talking points, and answers to frequently asked questions. This guidance will better enable the Coast Guard to provide clear and consistent messaging related to sexual assault prevention and response.<sup>7</sup>

- **Court Martial Review.** As part of the campaign to eliminate sexual assault in the Coast Guard and maintain the confidence of our workforce, elected officials and the public, the Coast Guard implemented a communication strategy aimed directly at the need for greater transparency in the Coast Guard's handling of sexual assault. Uniform Code of Military Justice (UCMJ) cases require deft handling, and the release of information regarding ongoing cases must balance the rights of the accused, victims and the ethical obligations of the persons involved in ensuring that justice is done. The Coast Guard has adopted a posture that favors the release of information about Uniform Code of Military Justice cases involving charges of sexual assault. When possible, the Coast Guard will issue news releases after consultation with the servicing staff judge advocate, the victim, and approval of the convening authority.

The proactive release of information at specific points in the Uniform Code of Military Justice process helps to improve transparency and demonstrates the fair and objective administration of justice and application of due process in the military justice system. In addition, we believe an open discussion of how the Coast Guard handles military justice cases involving sexual assault acknowledges the trust and confidence the public places in the Coast Guard and helps empower victims to report assaults and bystanders to intervene.

- **Blog Series.** The Council provided guidance and input to Public Affairs for a series of Coast Guard ALL HANDS blogs<sup>8</sup> that include factual details taken directly from sexual assault trial proceedings. The blog posts are available to all members and provide a tool to facilitate open and frank discussions, among Service members, related to the realities of sexual assault in the Coast Guard.
- **Pacific Area Public Service Announcement.** The Pacific Area Commander and Gold Badge issued a public service announcement providing guidance and direction on eliminating sexual assault.
- **Atlantic Area Sexual Assault Prevention and Response Council Network.** The Atlantic Area directed subordinate commands to establish Sexual Assault Prevention and

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<sup>7</sup> The Sexual Assault Prevention and Response Public Affairs Guidance is available at <https://cglink.uscg.mil/4e60626f>

<sup>8</sup> ALL HANDS Sexual Assault Prevention and Response blog posts are available at <http://allhands.coastguard.dodlive.mil/tag/sexual-assault/>



Response Councils as subcommittees to the Area's Leadership and Diversity Advisory Council network. These Councils provide a mechanism to coordinate actions required by higher authority, address specific issues within the command, and coordinate and oversee local training, discussion groups, and annual observances.

- **Commandant's Guidance to Selection Boards and Panels.** The Guidance to Boards and Panels specifically talks about eliminating sexual assault and directs members who sit on Coast Guard boards and panels to value officers who have taken on a leadership role in this area. As boards and panels determine who is promoted within the Coast Guard and what members are eligible for privileged assignments, this direction serves to focus the efforts of every member towards the elimination of sexual assault.

#### 3.1.4 *Climate Metrics*

The climate metrics are included as Appendix B. They include the prevalence of unwanted sexual contact (past year); the percentage of Service member incidents captured in reports (restricted and unrestricted) of sexual assault; a Command Climate index; the service member perceptions of leadership support for Sexual Assault Prevention and Response; and the reports of Sexual Assaults over time.

### 3.2 **Goal 2: Prevention**

*Eliminate sexual assault in the Coast Guard through the foundation of a strong preventive culture.*

The Sexual Assault Prevention and Response Task Force found that, within the existing Coast Guard culture, some change is needed to better nurture a prevention program that will effectively eliminate sexual assault from the Coast Guard ranks. Specifically, the Coast Guard needs to establish a culture in which the leadership takes a strong stance against sexual assault, military and civilian personnel feel empowered and understand how to take action, and members understand the correlation between alcohol misuse and sexual assault. As a first step to address the prevention challenge, the Council took immediate action to raise leadership awareness of sexual assault issues and improve bystander intervention training. The Council's initial efforts resulted in tools to equip leaders with the information they need to drive positive cultural change and to enhance bystander intervention training efforts. Related efforts are described in the following sections.

#### 3.2.1 *Raised Service-wide Awareness*

Commanding Officers, Officers-in-Charge, and the Chiefs Mess are the center of gravity for addressing the crime of sexual assault in the Coast Guard. Their actions are critical as they directly impact the climate and culture of our organization. Recognizing that every leader has a responsibility to lead by example and mentor subordinate commanders, leaders, and personnel at all levels, the Council members headed efforts to raise awareness of sexual assault issues among their peers and leaders throughout the Coast Guard ranks. Specific activities include:

- **Senior Executive Leadership Conference.** To educate all Flag Officers and Senior Executive Service members on sexual assault issues, the Council facilitated incorporation of sexual assault prevention and response discussions into all Senior Executive Leadership meetings conducted in 2013. The discussions provided leaders with increased context associated with the issues and enabled them to more effectively communicate the issues with their subordinates.
- **Leadership Training.** As described in Section 3.1, the Council led numerous efforts to improve sexual assault prevention and response training for leaders, including the issuance of Commanding Officer/Officer in Charge talking points defining sexual assault and harassment and linking the individual's role in prevention to the Coast Guard's core values; development of standardized two-hour lesson plans—on policies and procedures—for integration into existing leadership training courses; and support for the establishment of a Culture of Respect Integrated Process Team to develop an improved leadership training program to drive cultural change. These efforts have set the foundation for improved sexual assault prevention and response leadership training.
- **Coast Guard Investigative Service Notifications.** All Vice Admirals within the Coast Guard receive notification when a sexual assault has occurred, which provides instant, detailed awareness of what has occurred as the information becomes known. This notification keeps knowledge of sexual assault front-and-center for Coast Guard leaders and allows them an on-going gauge of the frequency of this crime.
- **Coast Guard Academy Cadets Against Sexual Assault (CASA).** The Coast Guard Academy has dozens of cadets who volunteer and are trained as Cadets Against Sexual Assault. CASA members are a peer-level resource for cadets who can take restricted reports.
- **Coast Guard Academy Training.** Beginning in 2014, incoming classes receive training on sexual assault. Two days after reporting, initial training consisted of an introduction to the Sexual Assault Prevention Response (SAPR) program, sexual assault reporting options and contact information for the Sexual Assault Response Coordinator (SARC). Two weeks later, a full training covered all key aspects of the Coast Guard's Sexual Assault Prevention and Response Program. Specifically, the SARC taught the incoming class the history of sexual assault in the military, the definition of sexual assault and consent, appropriate reporting procedures for reports of sexual assault, reporting requirements and options (restricted/unrestricted), barriers to reporting, consequences of committing sexual assault including dismissal and dishonorable discharge for offenders, and prevention strategies.

### 3.2.2 *Improved Bystander Intervention Training*

The Task Force found that active bystander intervention is critical to eliminate sexual assault as this type of training can empower Coast Guard members to safely take action. The Coast Guard already teaches bystander intervention strategies in Sexual Assault Response Coordinator, Victim Advocate, mandated, and Coast Guard Academy trainings. However, there is a need for continued improvement in Service-wide training. To improve existing training and expand the base of individuals trained on bystander intervention, the Council completed the following activities:

- **Sexual Assault Prevention and Response Summit.** As described in Section 3.1, on 16-17 September 2013, the Council convened a summit including approximately 150 randomly selected Coast Guard members representing a large variety of units and holding a range of ranks from the most junior to the most senior. During this session, the participants received bystander intervention training that was discussion-based and focused on the prevention of sexual assault. This event expanded the base of individuals with knowledge of bystander intervention strategies.
- **Sexual Assault Prevention Workshops.** Throughout 2013 and 2014, the Council supported Sexual Assault Prevention Workshops focused on bystander intervention. Led by the Sexual Assault Response Coordinators, with assistance from Coast Guard Investigative Services and the staff judge advocate's office, these four-hour workshops are held at the unit-level, are discussion based, and include gender-separated breakouts. These workshops provide a forum for candid dialogue among Service members on the extent of the sexual assault problem and what actions they can take to prevent future assaults. Through workshops, the Pacific Area Command reached approximately 4,500 shipmates and provided information to dispel myths, influence decision making behaviors, and ensure participants are aware of available resources.
- **Review of Bystander Intervention Training.** The Council initiated efforts to assess the effectiveness of bystander intervention training, and developed a process for participants in Sexual Assault Prevention Workshops to provide feedback electronically. The Office of Health, Safety and Work-Life is compiling the data and will analyze the results. The first findings were completed in the spring of 2014 and provided leadership with insight on areas for improvement like standardizing the personnel delivering the workshop to provide consistency.
- **Atlantic Area Unit and Individual Safety Improvements.** The Atlantic Area Command directed all units to institute a number of sexual assault prevention initiatives based on type and location of the unit. These measures range from visual inspection of lighting in parking areas to engagement with local medical providers to ensure they are aware of the special needs of Coast Guard members in their community. All members of Atlantic Area have been directed to review the Command's policies on actions they can take to reduce their vulnerability to sexual assault, how they can determine if a person is capable of consent, and how to intervene in situations that may be the precursor to an assault.

### 3.2.3 ***Strengthened Screening Criteria for Sensitive Positions***

To appropriately screen personnel assigned to sensitive positions, a sensitive position was defined as “*Any position or billet whose primary purpose is supporting, assisting or advocating on behalf of someone reporting a sexual assault, or a position that allows direct, often exclusive, interaction, support or instruction to our newest Service members.*” A common screening criteria was developed for all of these positions and approved in October 2014.

### 3.2.4 ***Prevention Metrics***

The prevention metrics are included as Appendix C. They include bystander intervention experience (past 12 months) as well as a breakdown of report data (location of incidents, alcohol involvement, same unit, underway vs. inport, rank disparities, etc).

## 3.3 **Goal 3: Response**

*Improve the availability and quality of response support for sexual assault victims. Increase victim confidence and lessen the stigma associated with reporting.*

While the Coast Guard has robust response programs in place—including those provided by the Sexual Assault Response Coordinators, Victim Advocates, Health Services, Legal, and Coast Guard Investigative Services—the Task Force recommended that the Coast Guard review these programs and make improvements to ensure they meet victim needs today and in the future and that all victims have access to well trained and credentialed support personnel. Specifically, the Task Force recommended that the Coast Guard continue—and regularly evaluate—existing first responder training, ensure that all responders have completed required training and meet common screening standards, ensure accessibility to Victim Advocates for all Service members, and ensure victims understand the military justice process. Accordingly, the Council supported activities led by the Program and Legal to increase sexual assault prevention and response resources, improve the accessibility of Victim Advocates, develop and institute Sexual Assault Response Coordinator and Victim Advocate certification requirements, enhance the Victim Advocate screening process, and establish a Special Victims’ Counsel Program. Specific activities are described below.

### 3.3.1 ***Increased Sexual Assault Prevention and Response Resources***

The Task Force evaluated Sexual Assault Prevention and Response Program staffing, which includes a Sex Crime Program Manager at the Coast Guard Investigative Service (since 2006), the Program Manager (since September 2008), the Employee Assistance Program Coordinators in the Health, Safety and Work-Life Regional Practices who fulfill the role of Sexual Assault Response Coordinator as a secondary responsibility (since 2008), and one dedicated Sexual Assault Response Coordinator billet at the Coast Guard Academy (since May 2011). The Task Force found that the Coast Guard needs to fund 12 additional regional Coordinators, annual sexual assault training for all field personnel working as Coordinators, and annual training for newly designated Family Sexual Violence Investigators in the Coast Guard Investigative Service. Accordingly, the Council facilitated approval of over \$5 million in annual funding for the addition of 32 military and civilian positions to support sexual assault prevention and response

efforts. The Program has staffed the majority of the new positions in the summer of 2014. Once all of the positions are filled, the victims will benefit from the support of fully dedicated Coordinators and additional response personnel.

### 3.3.2 *Enhanced the Sexual Assault Response Coordinator Program*

To ensure that the Coast Guard's Sexual Assault Response Coordinator program is best positioned to care for victims of sexual assault, the Council led efforts to standardize the credentialing process and increase resources. Specifically, the Council completed the following activities:

- **Sexual Assault Response Coordinator Resources.** As described above, the Council facilitated approval to fund an additional 12 regional Sexual Assault Response Coordinators—one for each Health, Safety, and Work-Life Regional Practice. Once all these positions are filled, each region will have access to both a fully dedicated Sexual Assault Response Coordinator and an Employee Assistance Program Coordinator who will fill the role of secondary Sexual Assault Response Coordinator or Family Advocate Specialist.
- **Sexual Assault Response Coordinator Credentialing.** The Council supported the Program's activities to work with the National Office of Victim Assistance to complete provisional credentialing of Sexual Assault Response Coordinators during the October 2013 review, and all Coordinators received their credentialing certificate in November 2013. In addition, the Program created a new competency code to better track which Coordinators have completed training requirements. All Coordinators are now mandated to receive their credentials through the National Advocate Credentialing Program offered by the National Office of Victim Assistance in addition to the other requirements. The new credentialing process enables the Coast Guard to ensure that all Coordinators have met appropriate training requirements and have the tools to successfully fulfill their critical responsibilities.

### 3.3.3 *Enhanced the Victim Advocate Program*

Recognizing the essential role of the Coast Guard's Victim Advocates in providing first-hand support and care to victims, the Council led efforts to evaluate the Victim Advocate program and drive changes to ensure that not only are Victim Advocates effectively positioned in the field, but also that the most qualified and trained personnel serve in this demanding and critical role. Specifically, the Council completed the following activities:

- **Victim Advocate Screening Process.** The Council supported the Program's efforts to develop an improved screening process to prevent assigning offenders as Victim Advocates. The new process includes enhanced criteria that align with those used by the Department of Defense and provides a framework to assess the availability and quality of response support for sexual assault victims. The process includes a background check to determine if, in the last five years, the individual was involved in a substantiated alcohol related incident, minor assault, larceny or theft below \$100, or removal of good conduct status. The Office of Health, Safety and Work-Life implemented the new process and, in

November 2013, removed 76 active-duty personnel from their roles as Victim Advocates. It is worth noting that none of these personnel were removed from their positions because of a sexual assault in their history.

- **Victim Advocate Credentialing.** The Council supported the Program's efforts to coordinate with the National Office of Victim Assistance to initiate credentialing of Victim Advocates and created a competency code to reflect credentialing. In 2014, a Coast Guard message was released specifying requirements for military personnel currently serving, or planning to volunteer to become Victim Advocates and the requirements for successful completion of the Victim Advocate credentialing process, including annual training. The National Office of Victim Assistance is expected to complete Victim Advocate credentialing by the end of calendar year 2014. Once complete, the Coast Guard will have an established process to ensure all Victim Advocates have met training requirements and have the tools to successfully fulfill their critical responsibilities.
- **Victim Advocate Mandate.** The Council supported the Program's activities to develop a Mandate that will dictate Service-wide Victim Advocate distribution using a geographic location based model. Once implemented, the Mandate will provide guidance and direction to the field to ensure that Victim Advocates are accessible to victims throughout the workforce, regardless of location. The Mandate was released in early 2014 via a Coast Guard message.
- **Pacific Area People Plan.** The Pacific Area issued their annual people plan, which included mandate on the minimum number of Victim Advocates at all units. This proactive direction ensured units had the resources available during operational periods for reporting.

#### 3.3.4 *Established the Special Victims' Counsel Program*

Recognizing that a key element of victim support following a reported assault is the need to provision legal services to assist victims in understanding the military justice process and their rights related to participating in the military justice process as a witness, the Sexual Assault Prevention Council supported the Coast Guard Judge Advocate General's efforts to establish a Special Victims' Counsel Program. The new program, which the Coast Guard formally announced in a Service-wide message on 15 July 2013, provides victims with access to a designated Coast Guard Judge Advocate who is trained to provide legal assistance to victims and whose relationship is protected by the attorney-client privilege. The Special Victims' Counsel works closely with the victim to ensure the victim's rights are protected throughout the investigation, prosecution, and sentencing of the offender. In support of this program, the Sexual Assault Prevention Council completed the following activities:

- **Special Victims' Counsel Certification.** The Judge Advocate General established a process by which Coast Guard Judge Advocates successfully complete specialized training prior to being certified in writing as a Special Victims' Counsel. The Sexual Assault Prevention Council plans to also leverage best practices of the other Services to

provide additional victim-focused training, including specialized legal and investigative training, to individuals designated as Special Victims' Counsel. This certification process ensures that only qualified individuals fulfill the role of Special Victims' Counsel.

- **Special Victims' Counsel and the Attorney-Client Privilege.** 10 U.S.C. §1044e was enacted into law permitting individuals serving in the capacity of Special Victims' Counsel to establish an attorney-client relationship with victims of sex-related offenses and to assist them in negotiating the military justice process. 10 U.S.C. §1044e requires that the Special Victims' Counsel provide guidance regarding the potential criminal liability of the victim, consultation regarding the Victim Witness Assistance program, the potential for civil litigation against other parties, Sexual Assault Response Coordinator and Victim Advocate issues, the military justice process, medical and mental health issues, military protective orders, civilian protective orders, veteran's benefits, and transitional compensation. The protections afforded by this statute ensure that victims have access to all the information they need to make informed decisions.
- **Initial Special Victims' Counsel Resources.** Recognizing the need to implement this initiative immediately, the Sexual Assault Prevention Council obtained resources to develop and manage the program until the Coast Guard was able to secure permanent resources. The Council obtained funding for a full-time reserve O-6 judge advocate to administer the program supported by an O-3 Special Victims' Counsel Coordinator and seventeen collateral-duty judge advocates located at Coast Guard Headquarters and in Coast Guard units across the continental United States. These resources have enabled the Special Victims' Counsel Program to begin providing support to victims while the Coast Guard works to obtain permanent resources.
- **Long-term Special Victims' Counsel Permanent Resources.** Recognizing the long term needs of the program, the Sexual Assault Prevention Council submitted to the Vice Commandant a request to obtain two civilian billets and seven new active duty full-time Special Victims' Counsel billets consisting of a GS-15 attorney, an O-4 and five O-3 judge advocates, an enlisted yeoman, and a GS-8 administrative assistant. These billets align with the program's approved permanent organizational structure. The Special Victims' Counsel Program is located in the Member Advocacy Division of the Office of Member Advocacy and Legal Assistance in the Washington DC area. A satellite office staffed with three judge advocates is also co-located with Coast Guard activities in Alameda, California. The Special Victims' Counsel began operating under this structure in September of 2014, with full-time judge advocates assigned to these billets expected in the beginning of 2015, and recruitment for the civilian leadership position completed in the August 2014.

### 3.3.5 *Improved Investigations Capability*

The Coast Guard Investigative Service (CGIS) has undertaken numerous efforts to improve investigations. They have embedded investigators in model local police sexual assault units, reviewed model sexual assault training from Los Angeles Police Department and crafted new CGIS sexual assault training. In addition, investigators attended a US Army course along with

two specific nationally recognized training programs. All agents also undertake an on-line training program with an emphasis on victim centric investigation.

### 3.3.6 *Established the Victim Response and Recovery Care Committee*

The Coast Guard must do more than offer services to victims. Hence, the role of this committee is to assist the Sexual Assault Prevention Council to provide comprehensive victim-centered support, both initially and as needed, to facilitate the member's return to wellness.

### 3.3.7 *Response Metrics*

The response metrics are included as Appendix D. They include a list of all certified Sexual Assault Response Coordinator and Victim Advocate personnel currently able to perform victim support; victim experience; and victim retaliation.

## 3.4 **Goal 4: Accountability**

*Ensure those who commit sexual assault in the Coast Guard are held accountable. Improve capability and capacity for the reporting, investigation, and prosecution of sexual assault; and elevate leadership engagement in response to sexual assault.*

While the Task Force found that the Coast Guard's existing reporting mechanisms (Unrestricted and Restricted) for sexual assault victims are acceptable, the Council took action to evaluate and improve the investigative and prosecution processes and equip Coast Guard leaders with the necessary tools to enable them to fully engage in response activities. As a result, the Coast Guard will be better prepared to provide timely, well-coordinated, and thorough investigative and prosecution support following a report of assault. In addition, leadership will be better informed of potential incidents and know what action to take when an incident is reported. Specific activities are described below.

### 3.4.1 *Evaluated and Improved Investigative and Legal Processes*

Recognizing the importance of timely, thorough, and efficient investigative and legal processes, the Council identified near-term solutions to improve current procedures and established mechanisms to further evaluate the effectiveness of the Coast Guard's investigative and legal processes for sexual assault cases. Specifically, the Council completed the following activities:

- **Waterfall Analysis.** The Council coordinated with the Coast Guard Office of Military Justice to measure disposition determinations and final actions to ensure all cases have been disposed of at the appropriate level. The Office of Military Justice leveraged the Department of Defense's Annual Report on Sexual Assault in the Military as a framework to collect, organize, and analyze sexual assault allegation data from FY 09-FY 13. The Office of Military Justice then reviewed Coast Guard Investigative Service sexual assault data to identify victims and subjects, determined the ultimate disposition of each victim's allegation, and identified what action was taken against each subject. Where additional information was required to effectively determine the outcome of a case, they reviewed Coast Guard Investigative Service case files, Military Justice files, Records of Trial, and the Coast Guard's Law Manager Database, as necessary.



- Sexual Assault Crisis Intervention Teams.** The Council submitted a recommendation to the Vice Commandant to establish Sexual Assault Crisis Intervention Teams to improve collaboration and response immediately following an unrestricted report of sexual assault. Per the recommendation, for every unrestricted report, a crisis intervention team—comprised of the responding Sexual Assault Response Coordinator, assigned Coast Guard Investigative Service special agent, a judge advocate from the servicing legal office, a medical officer, representatives from the victim and subject’s commands, and other entities as necessary and appropriate—would convene within 24 hours to provide primary coordination for incident response. The Vice Commandant approved the recommendation on 24 December 2013, and the concept was implemented in 2014. The Sexual Assault Crisis Intervention Teams enable close coordination and appropriate communications between responding entities to ensure victim care and support, a thorough and detailed investigation, and decisive command actions that support both the victim and the integrity of the investigation.
- Case Review Board Pilot.** The Task Force recommended that the Coast Guard implement a one-year pilot program to assess the efficacy of policies related to unrestricted reports of sexual assault. Accordingly, the Council developed a draft Charter for the Case Review Board Pilot to evaluate closed sexual assault cases to improve climate, prevention, response, and accountability, and inform a future decision on whether to proceed with a permanent case review process. The pilot was a comprehensive and exhaustive process to fully evaluate every aspect the case. The pilot evaluated two cases from the time of initial report through final disposition. The charter was signed in early 2014 and the pilot was conducted from May to July of that year. The pilot provided Coast Guard leadership with initial insight into gaps in initial response and investigation of sexual misconduct and areas where revisions to sexual assault prevention and response policy, procedures, and/or training may be required.

### 3.4.2 *Empowered Leaders to Engage in Response Efforts*

To elevate leadership engagement in response to incidents of sexual assault, the Council developed response tools for command leadership and facilitated alternate means for leaders to identify incidents of assault within their command. Specific activities include:

- Sexual Assault Incident Reports and Commanding Officers/Officers in Charge Quick Reference Guide.** The Council submitted a recommendation to the Vice Commandant for a Sexual Assault Incident Report and an accompanying Commanding Officer/Officer in Charge Quick Reference Guide with easy-to-use instructions for the steps the command leadership in charge of both the subject and victim need to take within 72 hours of an unrestricted report. These items will provide clarity to command leadership regarding those actions they must take immediately following an unrestricted report of sexual assault within their command. These tools became available with the implementation of the SAPR Crisis Intervention Team concept.
- DEOCS Survey Data.** The Council conducted a survey of field legal offices to determine whether known sexual assault cases are being elevated to the Initial

Disposition Authority as outlined in All Coast Guard Message 308/12,<sup>9</sup> and if there is any appreciable distinction in disposition for those offenses that originated at a unit with Initial Disposition Authority versus those that did not. This informal survey revealed that all offenses reported to Coast Guard Investigative Service or Judge Advocate General Office are being processed per existing policy and the disposition decisions are being made at the appropriate level. However, the survey did not help identify sexual assault cases that may have been ignored, mischaracterized (treated as sexual harassment instead of sexual assault), or not reported at all, and the Council determined that the only certain way to accurately detect whether these types of cases are being handled per existing policy is to ask everyone in the Service whether they are aware of cases that were handled inappropriately. Accordingly, the Council developed a policy to require sharing of the sexual harassment and sexual assault survey data from DEOCS in order to raise awareness of climate within the chain of command. The Council approved and issued the associated all Coast Guard message in June of 2014.

- **Defense Sexual Assault Incident Database.** The Council reached agreement with the Department of Defense Sexual Assault Prevention and Response Office for the Coast Guard to join the other Defense services in using their database to capture Coast Guard sexual assault case information. Once Coast Guard data is entered into the database, the Program will be able to provide non-sensitive metrics and statistics for Coast Guard. The Coast Guard is expected to implement the use of Defense database in January 2015.
- **Atlantic Area Initiatives.** The Atlantic Area Command published the results of their Leadership and Diversity Climate Survey on their website where the results are visible to all members. In addition, the Command posted sexual assault prevention and response specific responses from the survey on the Command's Sexual Assault Prevention and Response website, which also includes a Common Operating Picture for tracking completion of initiatives across the theater. The Atlantic Area Command plans to track future responses to identify trends and target future training. The data provides leaders with easily accessible information on the climate within their command.

### 3.4.3 *Accountability Metrics*

Accountability metrics are included as Appendix E. They include investigation length; victims declining to participate in the military justice process; command action-case dispositions; court-martial outcomes; time interval (report of sexual assault to initial disposition decision, court outcome / non-judicial punishment outcome); Coast Guard action in cases declined by civilian authorities; and a breakdown of offense particulars (victims & offenders). Coast Guard sexual assault statistics are accurate as of the date of this report. As investigations proceed and case files are audited, statistics may differ from previous official Coast Guard reports.

## 4 **Conclusion and Way Forward**

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<sup>9</sup> The Initial Disposition Authority for sexual assault cases is limited to flag officers in command and 13 specified O-6 commanding officers. There are 113 O-6 commands.

The Sexual Assault Prevention Council continues to further evaluate the state of Coast Guard activities and take proactive measures to drive change, where necessary. These efforts have both created and set the foundation for improvements in training, policy, investigation and prosecution, communications, and workplace climate and culture. While these accomplishments are significant, the Council's work is not complete, and throughout 2014 and beyond, the Council plans to continue efforts to implement the Strategic Plan, and develop sustainable processes and systems for legacy and new efforts. The sections below highlight some of the Council's planned efforts in each of these areas.

#### 4.1.1 *Continue to Implement the Strategic Plan*

The Council intends to continue to evaluate and adjust its initiatives to operationalize the four goals of the Strategic Plan—culture, prevention, response, and accountability. Specific planned actions include:

- **Culture.** Continue to lead cultural change at all levels within the Coast Guard through—among other things—completing the cultural assessment and using the results to capitalize on the strengths and address the gaps, sponsoring planned events during the annual Sexual Assault Awareness Month, and developing targeted strategies for sexual assault prevention and response related communications directed to junior personnel, command level leaders, and senior leadership.
- **Prevention.** Continue to refine the Coast Guard's understanding of the key elements of a strong prevention culture and what activities the Coast Guard must pursue to build a strong prevention culture. Planned efforts include assessing the effectiveness of bystander intervention training, implementing promising new ideas validated by research, and promoting ongoing frank discussions on risky drinking behavior and sexual assault as well as how alcohol is used as a weapon in sexual assault.
- **Response.** Oversee the completion of the efforts initiated in 2013 and 2014 to enhance the Coast Guard's response programs through ensuring new positions are filled, issuing Sexual Assault Response Coordinator and Victim Advocate credentialing policies, credentialing all Victim Advocates, and further evaluating long-term victim care.
- **Accountability.** Advance accountability mechanisms through evaluation of the findings and recommendations of the Case Review Board Pilot and the Response Systems Panel, continuing to coordinate with the Department of Defense to join Defense Sexual Assault Incident Database, and publishing guidance for the use of DEOCS data.

These efforts build upon the Sexual Assault Prevention Council's previous efforts. They are critical to the Coast Guard's vision to create an environment where all members live and work in climate of trust, respect, and dignity; where all members are leaders who take prompt action to correct any activity counter to this climate; and where no member ever needs to fear the crime of sexual assault from a shipmate.

#### 4.1.2 *Develop Sustainable Processes and Systems*

Many of the Council's efforts have and will result in policy and programmatic changes for which success will depend on implementation actions to be taken by personnel across the Coast Guard for many years into the future. While the Military Campaign Office is responsible for operationalizing and implementing near-term strategies to eliminate sexual assault, it is critical that the Coast Guard has clear sustainment plans in place to ensure the Coast Guard continues to take action on the Council's recommendations in the future. To address this need, the Council intends to develop sustainment plans for all relevant activities.

## Appendix A: Sexual Assault Prevention Program Plan of Actions and Milestones

The Sexual Assault Prevention Council developed the below Plan of Actions and Milestones to detail and guide each task the Coast Guard intends to complete as part of the Sexual Assault Prevention and Response campaign. The Plan of Actions and Milestones is derived from the recommendations of the Task Force Report.

Task ID	Task name	Task Status	% Complete	Finish Date
<b>Goal 1: Climate</b>				
3	Develop training programs for leaders at all levels or add modules to existing leadership programs to incorporate SAPR policy and awareness. (Ref. ID #4, 23, 24, 25, 44)	In Progress	78%	4/24/15
4	Incorporate sexual assault prevention and response monitoring, measures, and education into routine command training, readiness, and safety forums. (Ref. ID #3)	Migrated to #3	---	---
5	Incorporate SAPR training into existing unit indoctrination programs.	Complete	100%	10/25/13
6	Conduct leadership/climate assessments to identify deficient areas and determine best way to incorporate into personnel evaluation system. (Ref. ID #37)	In Progress	0%	12/31/14
7	Evaluate existing command climate surveys, develop new surveys as appropriate, and provide recommendations for improvement based on findings.	Complete	100%	7/25/14
8	Assess adequacy of personnel assignment policies in providing peer resources.	Complete	100%	3/31/14
9	Support and encourage participation at all levels in Service and external sexual assault awareness activities. (year round)	Complete	100%	3/31/14
10	Analyze training curricula and command reports of investigation to ensure correct classification of incidents (sexual assault vs. harassment). [Review reports of investigation, Revise Civil Rights Manual, Cross-train CRSPs and SARCs] (Ref. ID #50)	Migrated to #50	---	---
11	Develop a qualitative tool to analyze and track attitudes toward reporting sexual assault.	Complete	100%	3/31/14
12	Assess policy and practice for reassignment of sexual assault perpetrators and victims.	In Progress	72%	10/3/14
13	Determine the Chief's role in SAPR prevention and obtain their buy in.	Complete	100%	5/22/13
14	Develop tools to share best practices among leaders and SAPR service providers.	Complete	100%	12/12/13
15	Create forums to promote effective relationships/communication between commanders, service providers, and Service members.	Complete	100%	3/31/14
<b>Goal 2: Prevention</b>				
17	Establish Sexual Assault Prevention and Response Task Force and develop report.	Complete	100%	10/31/12
18	Develop Sexual Assault Prevention Workshop.	Complete	100%	9/3/12
19	Release revised Sexual Assault Prevention and Response Policy Documentation.	Complete	100%	4/30/12

Task ID	Task name	Task Status	% Complete	Finish Date
20	Develop Sexual Assault Prevention and Response Strategic Plan.	Complete	100%	5/2/13
21	Establish a Flag-level Sexual Assault Prevention Council (SAPC) to advise the Commandant and oversee Service-wide SAPR efforts.	Complete	100%	2/27/13
22	Focus on SAPR during upcoming senior leadership conferences.	Complete	100%	6/18/13
23	Establish standard operating procedures applicable to all training centers. [SOPs that standardize execution of SAPR training at TRACENS.] (Ref. ID #3)	Migrated to #3	---	---
24	Develop training programs for leaders at all levels or add modules to existing leadership programs to incorporate SAPR policy and awareness. (Ref. ID #3)	Migrated to #3	---	---
25	Measure compliance with and evaluate the effectiveness of all required SAPR training; adjust as appropriate. (Ref. ID #3)	Migrated to #3	---	---
26	Assess effectiveness of bystander intervention training through climate training and case reviews. (Ref. ID #50.1)	Migrated to #50	---	---
27	Analyze sexual assault incidents to better quantify the use of alcohol.	Complete	100%	3/31/14
28	Partner with other Services and external organizations to enhance alcohol awareness efforts.	Complete	100%	12/12/13
<b>Goal 3: Response</b>				
30	Transfer SARC billet from HQ to CG Academy.	Complete	100%	9/30/11
31	Establish a VA Mandate and standards of accessibility tailored to unit type.	Complete	100%	3/3/14
32	Establish USCG certification program for SARCs and VAs [Documented process]	In Progress	98%	10/31/14
33	Track competency codes for trained VAs. Track VA workload to identify trends or resource needs.	Complete	100%	1/8/14
34	Develop an improved screening process for Victim Advocates (VAs) to prevent assigning offenders as VAs.	In Progress	98%	11/3/14
35	Track special victim capability training for attorneys and CGIS special agents.	Complete	100%	8/2/13
36	Separately track Coast Guard-specific training for SARCs, VAs, medical personnel, Chaplains, Reservists, and Auxiliaries to ensure refresher training is completed.	Complete	100%	3/31/14
37	Assess member confidence in reporting systems through new or existing surveys. (Ref. ID #6)	Migrated to #6	---	---
38	Enforce mandated training to ensure that Coast Guard personnel have completed SAPR training within the prescribed time frame.	Complete	100%	8/2/13
39	Evaluate the Air Force Special Victim Counsel pilot program and assess building similar capability in the Coast Guard.	Complete	100%	7/22/13
40	Track and analyze cases reported to ensure system integrity. (Ref. ID #50)	Migrated to #50	---	---
41	Reach out to the Department of Veterans Affairs for support and work with them to assist interested service members, who have experienced a sexual assault, when transitioning to civilian life.	Complete	100%	12/12/13
42	Define Victim Response and Recovery Care (VRRRC) and develop a VRRRC program.	In Progress	52%	3/30/15
<b>Goal 4: Accountability</b>				
43	Create Family and Sexual Violence Investigator (FSVI).	Complete	100%	3/30/12
44	Promote familiarity with CGIS investigatory process in both leadership and general training. (Ref. ID #3)	Migrated to #3	---	---
45	Establish and review processes for pre-trial confinement.	In Progress	80%	3/31/15

<b>Task ID</b>	<b>Task name</b>	<b>Task Status</b>	<b>% Complete</b>	<b>Finish Date</b>
46	Limit authority to Captain/O-6 (possessing at least special court martial convening authority, with an assigned staff judge advocate) for initial disposition of sexual assault cases.	Complete	100%	7/2/12
47	Ensure early coordination between investigators and judge advocates to improve timely, thorough, and efficient reporting, investigations, and accountability.	In Progress	72%	3/31/15
48	Assess SAPR Program resource needs and provide resources.	Complete	100%	12/2/13
49	Develop customized reporting tools to allow each area to obtain non-sensitive SAPR metrics and statistics for their individual location.	Complete	100%	3/31/14
50	Review case files to verify compliance. (Ref. ID #10, 40, 51)	Complete	80%	9/29/14
51	Measure disposition determinations and final actions to ensure all cases are disposed of at the appropriate level. Provide means to detect if cases are not being handled per policy. (Ref. ID #50.1)	In Progress	86%	3/30/15
52	Monitor and assess trends in UCMJ dispositions, as well as length of time from initial report to resolution.	Complete	100%	7/1/14
53	Perform quality assurance checks of SARCs to ensure compliance with SAPR Program policy.	In Progress	17%	3/31/15
54	Identify a standard set of sexual assault reporting metrics to be used Service-wide and with DoD Services.	Complete	100%	5/2/14
55	Participate in DoD Military Criminal Investigative Organization Council (CMIO) to share best practices, technology, and resource efficiencies.	On Hold	N/A	N/A

## Appendix B: Climate Metrics

The Sexual Assault Prevention Council reviews the following metrics for climate.

### C1: Prevalence of Unwanted Sexual Contact (Past Year) -

*Measures Service Member experience with unwanted sexual contact in the year prior to being surveyed.*

The following table provides both “point estimates” and “range estimates” by categories of sexual assault. RAND estimates with 95 percent confidence that the total number of service members (39,112) who experienced a sexual assault in the past year is between 180 and 390. The estimated rate of sexual assault varied by gender; fewer than 1 in 100 men and 3 in 100 women. Of these, 48% of sexual assaults on women and 59% of sexual assaults on men were penetrative.

#### Estimated Percentage of Active-Duty Coast Guard Service Members Who Experienced a Sexual Assault of any kind in the Past Year, By Gender and Type.

	Total	95% CI	Male	95% CI	Female	95% CI
Penetrative Sexual Assault	0.36%	0.18- 0.65	0.17%	0.02- 0.60	1.44%	0.93- 2.12
Non-Penetrative Sexual Assault	0.33%	0.20- 0.50	0.12%	0.02- 0.35	1.50%	1.03- 2.12
Attempted Penetrative	0.00%	0.00- 0.06	0.00%	0.00-0.20	0.03%	0.00- 0.17
<b>Any Sexual Assault</b>	<b>0.69%</b>	<b>0.46- 1.00</b>	<b>0.29%</b>	<b>0.09- 0.71</b>	<b>2.97%</b>	<b>2.25- 3.83</b>
<b>Estimated by Population Size</b>	<b>269</b>	<b>180-390</b> <b>(39,112 members)</b>	<b>96</b>	<b>30-236</b> <b>(33,260 men)</b>	<b>174</b>	<b>132-225</b> <b>(5852 women)</b>

Note 1: There were no cases of attempted penetrative assault among men in the sample.

Note 2: Includes sexual assaults by any service member, civilian, spouse, or other.

Note 3: These percentages are statistically significantly lower than DoD active-duty members.

### C2: Prevalence vs. Reporting -

*Measures the percentage of Service member incidents captured in reports of sexual assault (RR +UR).*

The Coast Guard received 254 reports of sexual assault in FY 2014 (209 unrestricted and 45 unrestricted). Of these, 232 reports were made by active-duty members; the remaining 22 were made by civilians against a member of the Coast Guard. Of the 232 reports, the Coast Guard knows the date of the incident for 140 reports, 69 of which (49.3%) occurred in FY 2014. Based on a minimum of 69 incidents and RAND’s upper limit of 390 for incident prevalence, the reporting rate is, at minimum, 17.7%.

Assuming the reporting rate for unknown incidents is the same as for known incidents, it is estimated that a total of 114 incidents occurred in FY 2014. Given RAND’s upper limit of 390 for incident prevalence, the estimated reporting rate in FY 2014 is 29%.



**C3: Command Climate Index (Continuum of Harm) -**

*Service Member Index of Responses to promote a unit climate based on “mutual respect and trust”, refrain from sexist comments and behaviors, and actively discourage sexist comments and behaviors.*

This metric refers to members’ perceptions of the extent to which command behaviors are targeted towards preventing sexual assault and creating an environment where members would feel comfortable reporting. Each item is measured on a four-point scale assessing extent to which each item is perceived, where respondents may select *not at all*, *slight extent*, *moderate extent*, or *great extent*. The questions that contribute to this composite score are “To what extent does your chain of command (1) promote a unit climate based on respect and trust, (2) refrain from sexist comments and behaviors, and (3) actively discourage sexist comments and behaviors.”

	Promote at unit climate based on “respect and trust”	Refrain from sexist comments and behaviors	Actively discourage sexist comments and behaviors
<b>Not at all</b>	3%	1%	2%
<b>Slight extent</b>	10%	3%	4%
<b>Moderate extent</b>	35%	20%	23%
<b>Great extent</b>	52%	76%	71%
Coast Guard Metric 4 Composite Score: 3.56 / 4.00			

**C4: Service member perceptions of leadership support for SAPR -**

*Service member perceptions of command and leadership support for SAPR program, victim reporting, and victim support.*

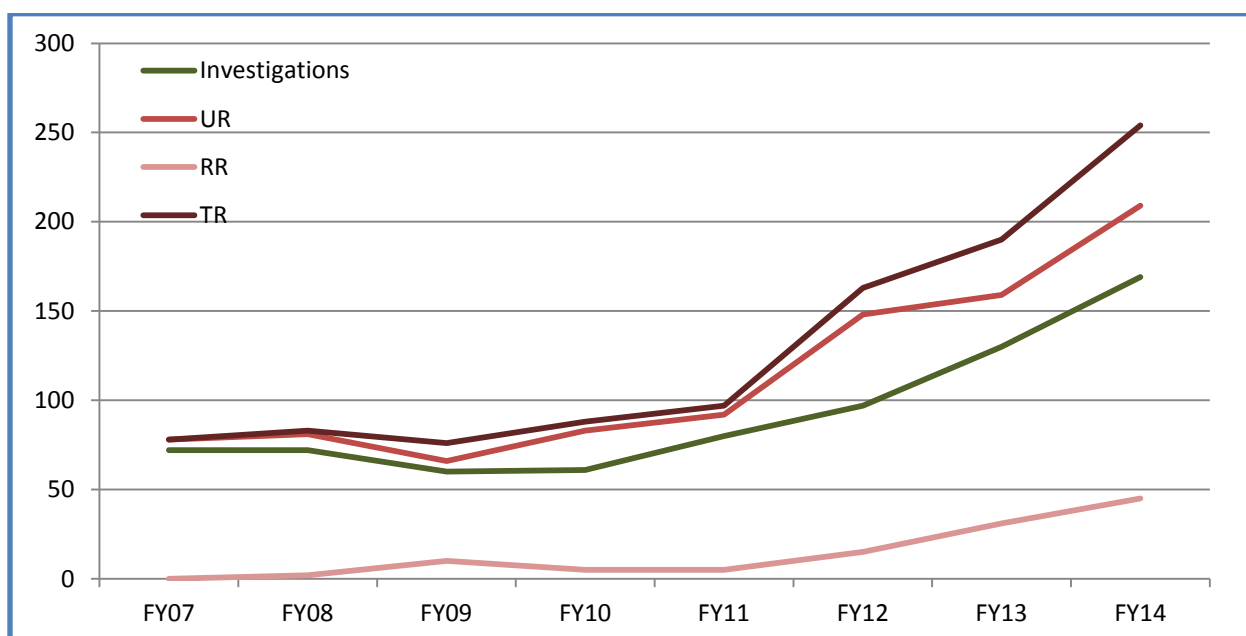
This metric refers to members’ perceptions of the extent to which command behaviors are targeted towards preventing sexual assault and creating an environment where members would feel comfortable reporting a sexual assault. Each item is measured on a four-point scale assessing extent to which each item is perceived, where respondents may select *not at all*, *slight extent*, *moderate extent*, or *great extent*. The questions that contribute to this composite score are “To what extent does your chain of command (1) encourage victims to report sexual assault and (2) create an environment where victims feel comfortable reporting sexual assault.”

	Encourage victims to report sexual assaults	Create an environment where victims feel comfortable reporting sexual assault
<b>Not at all</b>	1%	1%
<b>Slight extent</b>	5%	5%
<b>Moderate extent</b>	23%	28%
<b>Great extent</b>	71%	66%
Coast Guard Metric 4 Composite Score: 3.61 / 4.00		

**C5: Reports of Sexual Assaults Over Time -**

*Investigations and total sexual assault report victims (TR) since 2004, broken down by Unrestricted Reports (UR) and Restricted Reports (RR).*

YEAR	Number of Investigations	Number of Victims		
		UR	RR	TR
CY04	65	70	0	70
CY05	46	56	0	56
CY06	60	64	0	64
FY07	72	78	0	78
FY08	72	81	2	83
FY09	60	66	10	76
FY 10	61	83	5	88
FY 11	80	92	5	97
FY 12	97	148	15	163
FY 13	130	159	31	190
FY 14	169	209	45	254



Note 1: In 2007, the DoD SAPRO changed the method of statistics reporting from calendar year (CY) to fiscal year (FY). For that reason, the statistics from first quarter FY 2007 are also included in the CY 2006 statistics.

Note 2: Several investigations had more than one reported victim; therefore, the number of investigations may not equal the number of victims in each of the years for which statistics are being reported.

## Appendix C: Prevention Metrics

The Sexual Assault Prevention Council reviews the following metrics for prevention.

### P1: Bystander Intervention Experience (past 12 months) -

*Service member responses to: “In the past 12 months, I observed a situation that I believed to be at risk for sexual assault” and how they intervened.*

This metric refers to individuals’ intentions to act if they were to observe a situation that might lead to a sexual assault. It is measured by first asking if respondents *observed* a situation they believed could have led to a sexual assault within the past year. In that timeframe, only 2% of the sample of 8,122 observed a situation that they believed was, or could have led to, a sexual assault. For those respondents that answered “yes” to the observation of a high risk situation question, they are prompted to answer a second question to identify the *response* that most closely resembled their actions. Rates and responses to the second question are provided below:

Rate	Intervention Response
15%	I stepped in and separated the people involved in the situation
21%	I asked the person who appeared to be at risk if they needed help
16%	I confronted the person who appeared to be causing the situation
7%	I created a distraction to cause one or more of the people to disengage from the situation
6%	I asked others to step in as a group and diffuse the situation
23%	I told someone in a position of authority about the situation
5%	I considered intervening in the situation, but I could not safely take any action
8%	I decided to not take action

Note 1: The sample size for individuals who responded “yes” to observing a high risk situation was 185 out of a total sample size of 8,122.

### P2: Breakdown of Report Data -

*Trends in reports (location on/off military installation) of incidents, alcohol involvement, rank disparities (data collected from FY 11-14 investigations).*

Fiscal Year	Known Alcohol and Drug Related Cases (by # of victims)	Off-Base Sexual Assault Cases (by # of victims)	Average Rank Disparity (by # of pay-grades)
2014	92/209 – 44%	126/209 – 60%	2.3
2013	82/159 – 52%	88/159 – 55%	2.2
2012	85/148 – 57%	80/148 – 54%	1.9
2011	56/92 – 61%	58/92 – 63%	1.4

## Appendix D: Response Metrics

The Sexual Assault Prevention Council reviews the following metrics for response.

### **R1: All certified Sexual Assault Response Coordinators and Victim Advocate personnel currently able to provide victim support -**

*Number of full-time SARCs and VAs, broken down by military and civilians.*

There are currently eight full-time civilian SARCs and 297 military collateral-duty VAs. An additional 426 Victim Advocates currently have completed applications seeking credentials. We anticipate completion of these certifications by December 2014.

### **R2: Victim Experience -**

*Victim opinion of the quality/value of support provided by the SARC/VA and Special Victims' Counsel (SVC) (if assigned). Average response of victims.*

In the summer of 2014, the Coast Guard implemented a victim survey and made it available to be taken at the culmination of services. To date, five surveys have been completed; the survey is not mandatory. However, the low number of surveys taken to date limits the conclusiveness of the results. Additionally, not every question was answered by every person that took the survey.

#### **Overall satisfaction ratings –**

	Extremely Satisfied	Satisfied	Dissatisfied	Very Dissatisfied
<b>SARC</b>	33%	33%	0%	33%
<b>VA</b>	50%	25%	25%	0%
<b>SVC</b>	75%	25%	0%	0%
<b>Trial Council</b>	100%	0%	0%	0%

#### **VA support -**

100% of the responses indicated the victim used a VA

100% indicated VA reviewed the CG 6095 with them

50% indicated their VA could improve on their empathy and availability

25% of the responses indicated their VA could improve their professionalism

25% of the responses indicated their VA could improve their knowledge

100% met with their VA on a weekly basis, 50% of who also indicated they would have liked more contact with the VA

75% of the responses indicated the VA accompanied the victim to interviews and legal hearings

25% of the responses indicated the VA accompanied the victim to medical exams

#### **SARC support -**

75% of the responses indicated they had contact with a SARC

25% no contact with the SARC

66% indicated no SARC improvements necessary

33% indicated SARC needed to improve their availability

**SVC support -**

- 75% of the victims responding chose to be represented by SVC
- 100% of responses indicated the victim felt they were able to exercise their rights during the military justice process and that their rights were respected.
- 100% of the responses indicated the individual understood their right to participate in the military justice process and the trial of the assailant.
- 100% of the responses indicated the advice and counsel SVC provided at court martial met their expectations.
- 100% of the responses indicated they would recommend SVC to other victims of sexual assault.

**R3: Victim Retaliation -**

*Victims stating they experienced retaliation from the chain of command as a result of reporting a sexual assault. Command climate indicators that victims may be retaliated against for reporting.*

The Coast Guard survey does not contain a question about victim retaliation. However, one question asks about victim satisfaction with the command and 75% of victim responses stated they were "very satisfied" with the command and 25% were "satisfied" with the command. 75% of the responses indicated they thought the military justice process in their case was fair and 25% indicated it was unfair, 50% were satisfied with the outcome of their case and 50% were not.

Additionally, the Defense Equal Opportunity Climate Survey measures the extent to which members perceive that the chain of command would take appropriate actions to address an Unrestricted Report of sexual assault and the extent to which social and professional retaliation would occur if a sexual assault was reported. Each item is measured on a four-point scale assessing likelihood, where respondents may select *not at all likely*, *slightly likely*, *moderately likely*, or *very likely*. The questions that contribute to this composite score are “If someone were to report a sexual assault to your current chain of command, how likely is it that (1) unit members would label the person making the report a troublemaker and (2) the alleged offender(s) or their associates would retaliate against the person making the report.”

	<b>Unit members would label the person making the report a troublemaker</b>	<b>The alleged offender(s) or their associates would retaliate against the person making the report</b>
<b>Very likely</b>	6%	5%
<b>Moderately likely</b>	8%	9%
<b>Slightly likely</b>	23%	31%
<b>Not at all likely</b>	63%	55%
Coast Guard Metric 4 Composite Score: 3.40 / 4.00		

**R4: Victim Experience (Kept victim informed regularly in the Military Justice Process) -**

*Victims indicating that they were regularly informed of updates as their case progressed through the response process.*

100% of victim responses indicated they were kept informed of the Art 32 and trial date; however, one victim specifically indicated “a year and a half waiting little communication to no communication.”

100% responded they felt that they had a voice in the military justice process.

One victim response: “My chain of command helped me out a lot during the process and made sure I felt safe and got all the help I needed. Also, at “A” school my class advisor and another instructor who was also a VA made sure I had all the help and services I needed. The SARC helped me along the way and made sure I had all my questions answered. My SVC made sure he answered all my questions and had my best interests in mind. The lawyers kept me in the loop with all the legal proceedings. My VA was awesome and went with me to the Article 32 and court-martial and was always there for me.”

## Appendix E: Accountability Metrics

The Sexual Assault Prevention Council reviews the following metrics for accountability.

### **A1: Investigation Length -**

*Measuring the average and median length of sexual assault investigations conducted by MCIO in order to determine a time trend (data collected from FY 14 investigations).*

The average length of time of a sexual assault investigation, as measured from the date of case initiation to the date a case is pending adjudication, is approximately 63 days or two months. The median value is approximately 56 days. Average and median values were calculated excluding outliers at the 5th and 95th percentiles (one and 180 days, respectively). 106 investigations were considered in this calculation. As of September, 2014, approximately 51 additional investigations remain open.

### **A2: Victims Declining to Participate in the Military Justice System -**

*The percentage of cases that cannot be entered into the military justice process because a victim declines to participate in court-martial proceedings.*

For **FY 14** cases there are five out of 209-victim cases in which the victim declined to participate in the military justice process (approximately **2.4%**) as of October 2014.

For **FY 13** cases there are six victims out of a total of 159 victim-cases in which the victim declined to participate in the military justice process (approximately **3.8%**) as of October 2014.

For both **FY 13** and **FY 14**, there are 11 victims out of 368 victim-cases in which the victim declined to participate in the military justice process (approximately **3.0%**) (Based on sexual assault cases reported in FY 13 or FY 14, which were closed in FY 13 or FY 14, or remain pending).

### **A3: FY14 Disciplinary Action Summary**

*Breakdown of unrestricted reports by military subjects to describe final case disposition*

#### **209 Total Unrestricted Reports constituted:**

169 Investigations of Sexual Assault Allegations in FY 14

#### **181 Subjects (Alleged Offenders)**

- 100 Subjects with Open Investigations or Pending Disposition Decisions

#### **81 Subjects with Disposition Information to Report**

- 0 Subjects with Allegations Unfounded by the Coast Guard Investigative Service

- 30 Civilian, Foreign, Unknown Subjects or Subject Died/Deserted

- 0 Service Members Subjects Under Civilian Jurisdiction

#### **51 Service Member Subjects – *Command Action Considered***

- 26 Court-Martial Charge Preferred
- 11 Non-judicial Punishments
- 4 Adverse Administrative Actions or Discharges
- **Action Taken: 80%** (41/51)

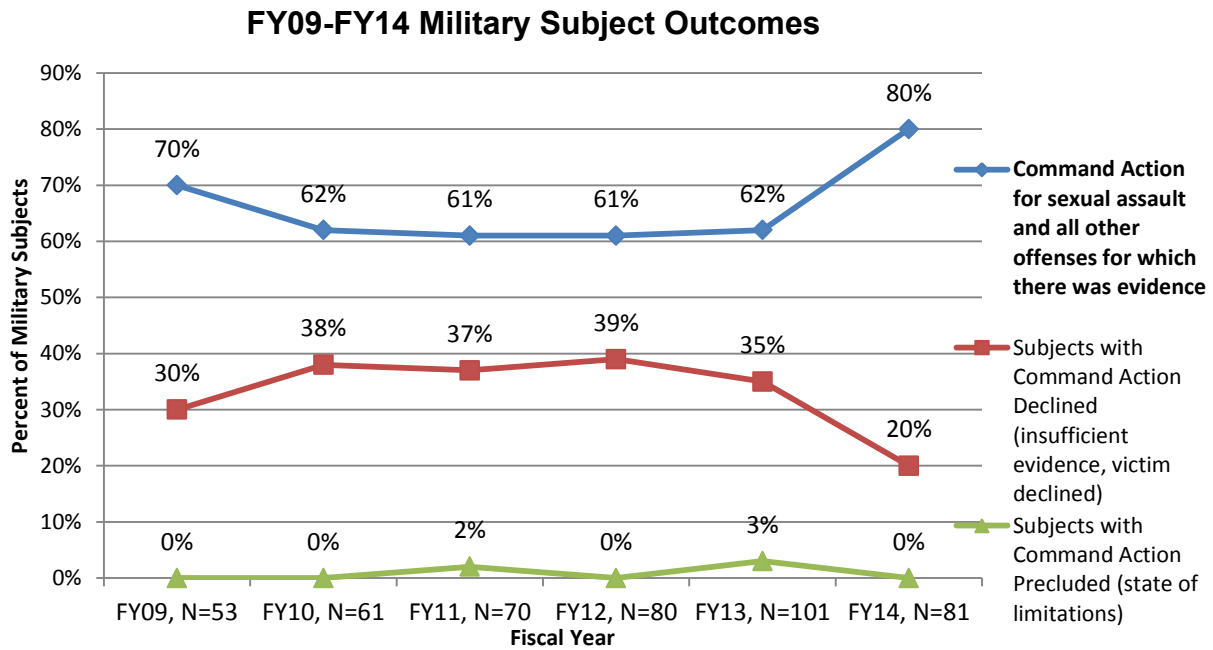
#### **10 Service Member Subjects – *Command Action Not Possible or Declined***

- 8 Subjects – Insufficient evidence/allegations unfounded
- 2 Subjects – Victims declined to participate in the justice system
- 0 Subjects – Statute of limitations exceeded for crime alleged



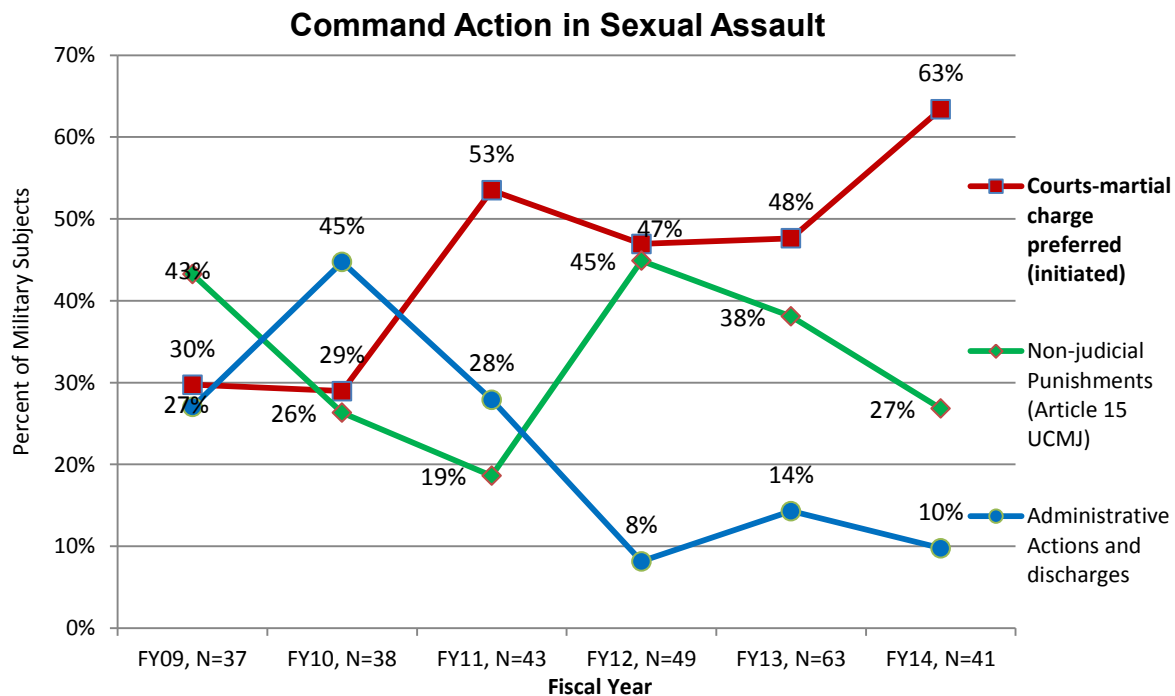
#### A4: FY09-FY14 Military Subject Outcomes

Final case disposition of military subjects for any completed cases by command action, command action declined, and command action precluded.



#### A5: Command Action in Military Subject Cases

Description of action taken for subjects under military jurisdiction by courts-martial charge preferred, non-judicial punishment, and administrative action



**A6: Command Action (Case Dispositions) -**

- 1) *Command action for military subjects under the UCMJ, broken down by type of action and penetrating/ non-penetrating crime.*
- 2) *Command action for military subjects under the UCMJ, captured using the most serious crime charged.*

*Breakdown of Cases by Subject for FY 2013*

FY 2013	Penetrative Offenses	Non-Penetrative
	Number of cases by Subject (out of 66 total)	Number of cases by Subject (out of 69 total)
<b>Pending Cases</b>	<b>8/66 – 12.1%</b>	<b>6/69 – 8.7%</b>
Investigation Open	6	2
Pending Command Disposition	0	3
Court-Martial Pending	2	1
<b>Command Action Not Possible</b>	<b>15/66 – 22.7%</b>	<b>7/69 – 10.1%</b>
Subject Civilian/ Foreign National	10	2
Other Military Service Prosecuting	0	0
Civilian/Foreign Authority Prosecuting	0	1
Offender Unknown	4	0
Statute of Limitations Expired	1	4
<b>Command Action Inadvisable</b>	<b>23/66 – 34.8%</b>	<b>16/69 – 23.1%</b>
Victim Declined to Participate	4	2
Insufficient Evidence	17	14
Allegation Fabricated	2	0
<b>Action Taken</b>	<b>20/66 – 30.3%</b>	<b>40/69 – 58.0%</b>
Administrative Action	2	5
Non-Judicial Punishment	4	20
Court-Martial Charge Preferred	14	15

Note: Sexual assault cases reported in FY 13: Closed in FY 13 or FY 14, or pending – as of October 2014.

*Breakdown of Cases by Subject for FY 2014*

<b>FY 2014</b>	<b>Penetrative Offenses</b>	<b>Non-Penetrative</b>
	Number of cases by Subject (out of 80 total)	Number of cases by Subject (out of 101 total)
<b>Pending Cases</b>	<b>56/80 – 70.0%</b>	<b>67/101 – 66.3%</b>
Investigation Open	32	37
Pending Command Disposition	13	29
Court-Martial Pending	11	1
<b>Command Action Not Possible</b>	<b>16/80 – 20.0%</b>	<b>11/101 – 10.9%</b>
Subject Civilian/ Foreign National	12	8
Other Military Service Prosecuting	0	0
Civilian/Foreign Authority Prosecuting	0	0
Offender Unknown	4	3
Statute of Limitations Expired	0	0
<b>Command Action Inadvisable</b>	<b>3/80 – 3.8%</b>	<b>9/101 – 8.9%</b>
Victim Declined to Participate	1	4
Insufficient Evidence	2	5
Allegation Fabricated	0	0
<b>Action Taken</b>	<b>5/80 – 6.2%</b>	<b>14/101 – 13.9%</b>
Administrative Action	0	4
Non-Judicial Punishment	1	6
Court-Martial Charge Preferred	4	4

Note: Sexual assault cases reported in FY 14, closed in FY 14, or pending – as of October 2014.

**A7: Court-Martial Outcomes -**

- 1) *Sexual assault outcomes, broken down by type of trial and penetrating/ non-penetrating crime.*
- 2) *Sexual assault courts-martial outcomes, captured using the most serious crime charged.*

Fiscal Year	Number of cases tried	Convictions for at least one charge under Art. 120	Convictions for charges other than Art. 120	Acquittals
<b>All Offense Types</b>				
2013	7	2	5	0
2014	35	14	18	3
<b>Non-Penetrative</b>				
2013	4	2	2	0
2014	17	8	7	2
<b>Penetrative</b>				
2013	3	0	3	0
2014	18	6	11	1

Note: Year sexual assault case concluded

**A8: Time interval (report of SA to court outcome) –**

Sexual assault cases concluded in FY 14: *Length of time from the date a victim signs a DD2910 to the date that court-martial proceedings conclude (e.g. sentence imposed, accused acquitted, or other end-point). Any case concluded within the fiscal year (average/median for 95<sup>th</sup> percentile – excludes outliers).*

In FY 14, the **median** length of time from the date a victim signs a DD2910 until court-martial proceedings are concluded was **404 days** or approximately **one year and one month**. The **average** length of time is **415 days** or approximately **one year and 1.5 months**. The median and average values were calculated excluding three outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles (less than 221 or greater than 776 days respectively). The CGIS Notice of Case Initiation (NOCI) date was used in cases in which the date a victim signs a DD2910 is not available. Thirty-seven sexual assault cases that concluded in courts-martial proceedings (four summary courts-martial, 10 special courts-martial, 23 general courts-martial) contributed to this calculation. Two general courts-martial resulted in dismissals.

**A9: Time interval (report of SA to NJP outcome) –**

Sexual assault cases concluded in FY 14: *Length of time from the date a victim signs a DD2910 to the date that NJP conclude (e.g. sentence imposed, accused acquitted, or other end-point). Any case concluded within the fiscal year (average/median for 95<sup>th</sup> percentile – excludes outliers).*

In FY 14, the **median** length of time from the date a victim signs a DD2910 until Non-Judicial Punishment proceedings conclude is **203 days** or approximately **seven months**. The **average** length of time is **232 days** or approximately **eight months**. The median and average values were calculated excluding two outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles (less than 66 or greater than 440 days respectively). The Notice of Case Initiation date was used in cases in which the date a victim signs a DD2910 is not available. Fifteen sexual assault cases that concluded in NJP proceedings contributed to this calculation.

#### **A10: Time interval (Initial disposition decision) -**

*Length of time from the date a report of investigation is handed out, until the date a legal officer makes the disposition recommendation (prosecution/non-prosecution) to the commander of the accused. Breakdown by cases that include at least one penetrative offense and ones that do not.*

##### Prosecution Recommended

For cases concluded in FY 14, covering **all offense types**, the **median** length of time between the date the initial CGIS investigation concluded (case file pended adjudication) to the date court-martial charges were preferred, is **86 days** or approximately **three months**. The **average** length of time is **98 days** or approximately **three months**. The median and average values were calculated excluding seven outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles (less than zero or greater than 236 days respectively). These figures are for penetrative and non-penetrative offenses combined. Thirty-seven sexual assault cases that concluded in courts-martial proceedings (four summary courts-martial, 10 special courts-martial, and 23 general courts-martial) contributed to this calculation. Two general courts-martial resulted in dismissals.

For **penetrative offenses** the adjusted **median** and **average** length of time is **72 days and 77 days, respectively** (excluding four outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles, zero and 176 days respectively). Nineteen cases (three special courts-martial and 16 general courts-martial) were considered in this calculation.

For **non-penetrative offenses** the adjusted **median** and **average** length of time is **94 and 114 days** respectively (excluding four outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles, zero and 293 days respectively). Eighteen cases (four summary courts-martial, seven special courts-martial, and seven general courts-martial) were considered in this calculation.

##### Prosecution Not Recommended

For sexual assault cases reported in FY 14, for which command action was not precluded (e.g. a civilian subject), and which were not disposed of at court-martial, Non-Judicial Proceedings or through administrative action the **average** and median length of time between the date the initial Coast Guard Investigative Service investigation concluded (case file pended adjudication) to the date prosecution was not recommended was **16 days**. The **median** length of time is **30 days**. The median and average values were calculated excluding three outliers at the 5<sup>th</sup> and 95<sup>th</sup> percentiles (less than zero or greater than 98 days respectively). These figures are for penetrative and non-penetrative offenses combined. Fourteen cases were considered in this calculation.

For **penetrative offenses** the **median** and **average** lengths of time are **zero days and 15 days** respectively. Nine cases contributed to this calculation.

For **non-penetrative offenses** the **median** and **average** lengths of time are **15 days and 43 days** respectively. Five cases contributed to this calculation.

**A11: CG action in sexual cases declined by civilian authorities -**

*The total number of penetrative and non-penetrative cases that took place between August 2013 and August 2014 that were declined or unable to be pursued by civilians but were undertaken by the military. Will not include subject/victim names, no jurisdiction names, and only include cases within U.S. jurisdiction. Each service will pick 5-10 cases to provide anecdotal stories in the POTUS report.*

In FY 14, there are seven sexual assault cases that were declined or unable to be pursued by civilians but were undertaken by the U.S. Coast Guard.

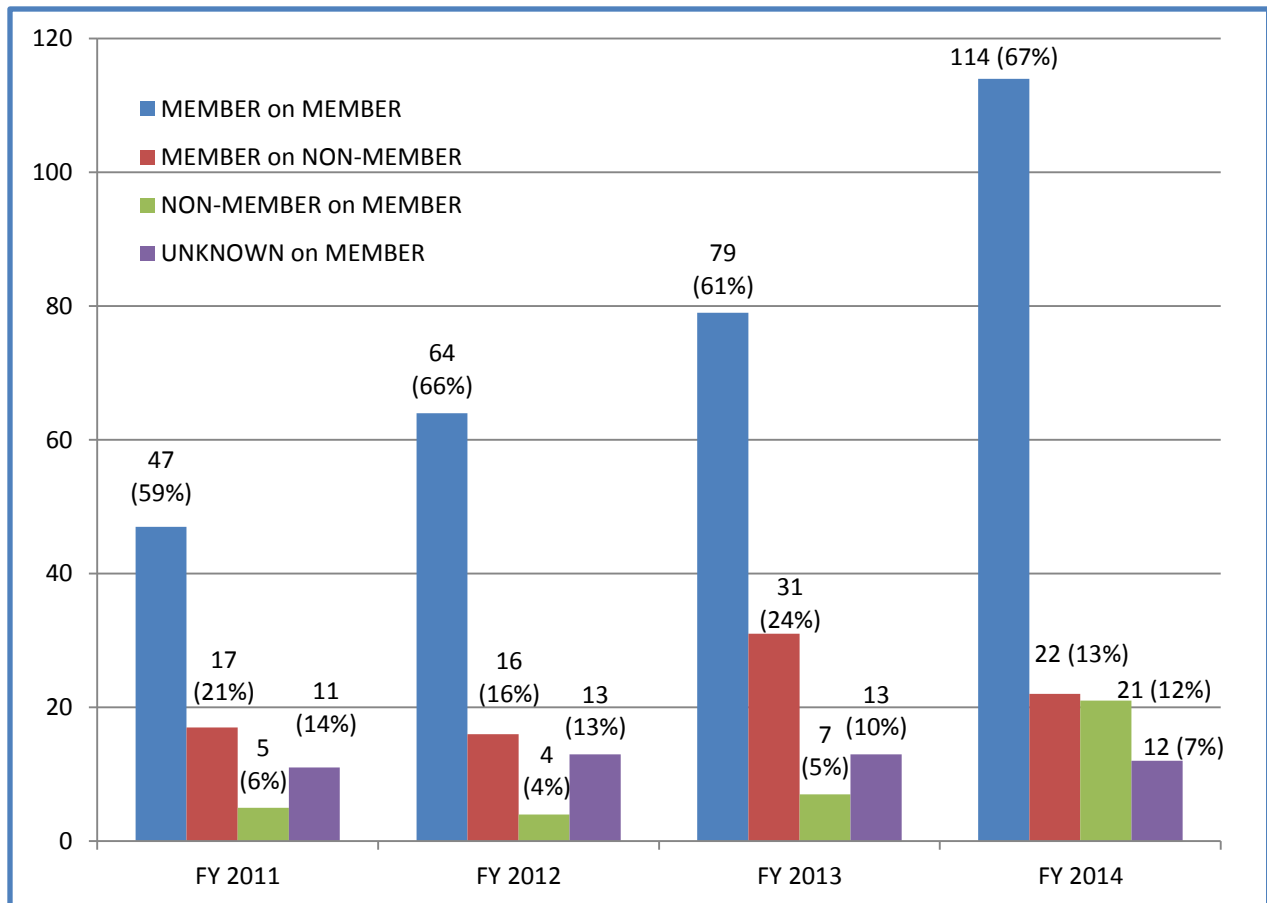
The following summaries are provided for the seven cases:

1. Civilian authorities declined to prosecute an E-3 accused of sexually assaulting a civilian that alleged that she was incapacitated from alcohol. Civilians declined prosecution stating that they focus on evidence of date-rape drugs (such as GHB) instead of substantial incapacitation by alcohol (victim had a .16 BAC). The civilian prosecutor also stated that there was something odd about the victim, which the Coast Guard identified as autism. A general court-martial is pending in this case.
2. An E-6 was accused of sexually assaulting a four year-old child. Civilian authorities declined to prosecute citing difficulties in obtaining the child's testimony. A general court-martial is pending in this case.
3. Civilian authorities declined to prosecute an E-6 accused of raping his wife, citing problems with the reliability of the wife's testimony against the back-drop of complicated family law issues involving divorce and child custody. The Coast Guard pursued charges against the member, which were dismissed by the convening authority after a recommendation of dismissal following an Article 32, UCMJ, investigation.
4. An E-4 was accused of sexually assaulting a civilian. Civilian authorities declined prosecution because the victim declined to speak with civilian detectives. The victim did speak with Coast Guard Investigative Service (CGIS); court-martial charges are pending.
5. An E-4 was accused of sexually assaulting a civilian in Coast Guard housing. The assault was initially reported to civilian authorities who terminated their investigation after the victim did not want to pursue the matter further with civilian authorities. The victim is working with CGIS and a general court-martial is pending.
6. Civilian authorities declined to prosecute an E-3 accused of sexually assaulting a civilian that alleged she was substantially incapacitated from alcohol. Court-martial charges are pending against the subject.
7. An E-3 was accused of sexually assaulting a high school senior that he mentored in an after school program. Civilian authorities declined prosecution citing evidence of a consensual relationship. The Coast Guard pursued charges that were eventually disposed of at Flag Mast.

**A12: Breakdown of Case Particulars -**  
*Demographic trends and types of offenses.*

*Breakdown of Investigation by offender and victim status*

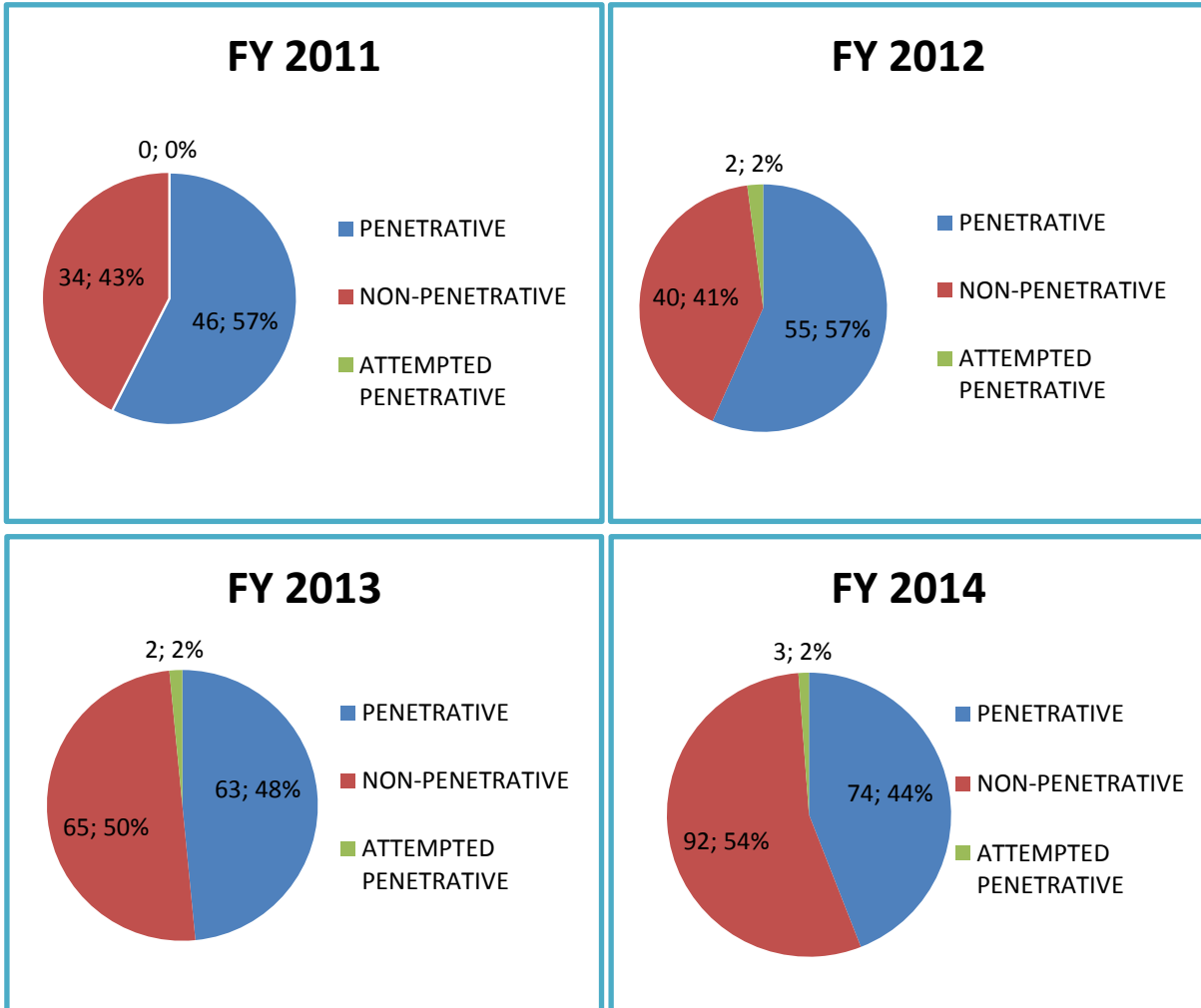
Fiscal Year	Investigations	Member on Member	Member on Non-Member	Non-Member on Member	Unknown on Member
2014	169	114	22	21	12
2013	130	79	31	7	13
2012	97	64	16	4	13
2011	80	47	17	5	11





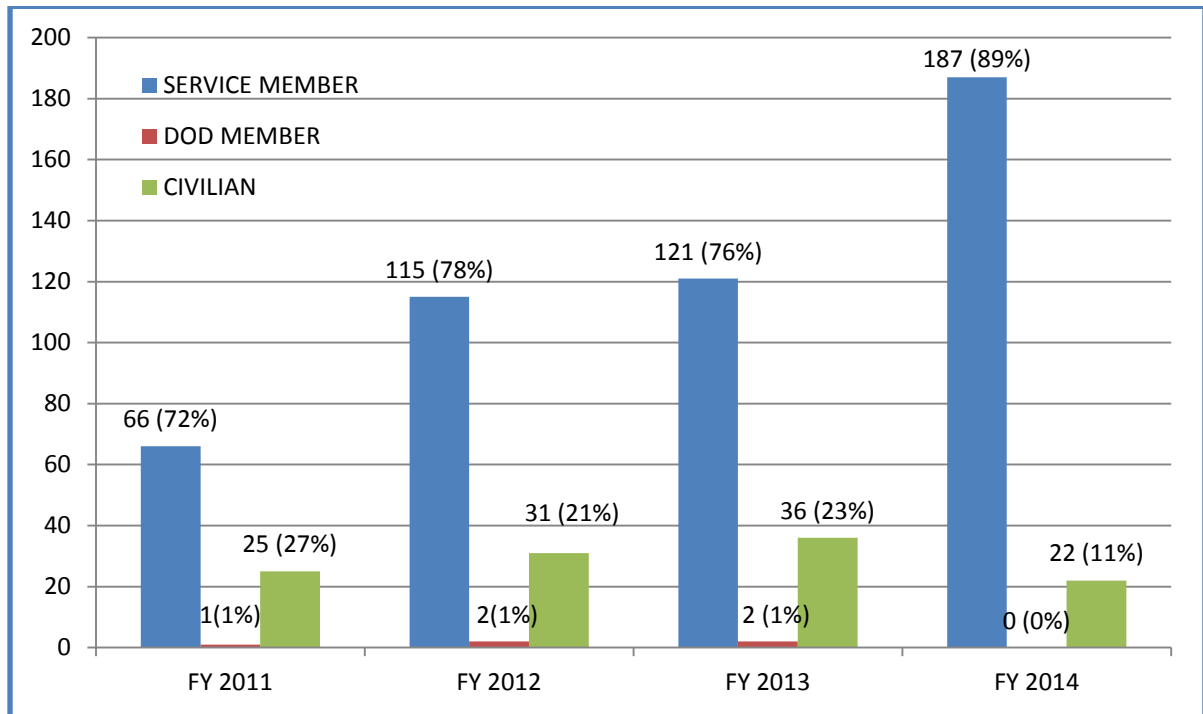
*Breakdown of Investigation by offense type*

Fiscal Year	Investigations	Penetrative	Non-Penetrative	Attempted Penetrative
2014	169	74	92	3
2013	130	63	65	2
2012	97	55	40	2
2011	80	46	34	0



**A13: Breakdown of Victims -**  
*Demographic trends.*

Fiscal Year	Victims	Service Members	DoD Members	Civilians
2014	209	187	0	22
2013	159	121	2	36
2012	148	115	2	31
2011	92	66	1	25



**A14: Breakdown of Offenders -**  
*Demographic trends.*

Fiscal Year	Subjects	Coast Guard Members	DoD Members	Civilians	Unidentified
2014	181	143	2	24	12
2013	135	104	0	12	19
2012	102	83	2	4	13
2011	88	68	3	7	10

