

# Department of Defense



## 2014-2016 Sexual Assault Prevention Strategy

30 April 2014

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## *Foreword*

Leaders of the Department of Defense,

Eliminating sexual assault from the military is one of the Department of Defense's highest priorities. We share a commitment to ensuring the safety and welfare of our people as well as the health of this institution and the trust of the American people. Preventing sexual assault in the military requires a personal commitment from every Service member, at every level, to be a steadfast participant in creating an appropriate culture, upholding standards of behavior, and advancing our shared core values. Many of you have already taken great strides to prevent this crime. However, our mutual success depends on a shared, proactive, comprehensive approach that empowers everyone to act in an environment shaped to promote the best possible outcomes.

Our prevention strategy recognizes that true prevention is much more than an annual training or weekend safety briefings. Rather, our approach must involve a wide range of integrated elements addressing policy, accountability, community involvement, communication, deterrence, incentives, and harm reduction. Within the United States Armed Forces, leaders at all levels are the "center of gravity" that can leverage these many elements as we grow our climate of dignity and respect.

This past year, our Service members heard the words of their leadership, believed our expressed commitment to care for victims, and reported allegations of sexual assault in record numbers. Although we have made progress in our response to this crime, we still have much work to do before we are able to confidently say that this problem has been erased from our ranks. I have full faith and confidence in our abilities and leadership as we strive to reduce and ultimately eliminate sexual assault from the military.

Thank you.



Chuck Hagel  
Secretary of Defense

## 1. Introduction.

The uniformed leadership communicated its resolve to prevent sexual assault with its Strategic Direction to the Joint Force, published in May 2012. In it, the members of the Joint Chiefs of Staff provided their collective guidance to the U.S. Armed Forces and described the importance of prevention:

*“Prevention is the most critical Line of Effort (LOE); it ultimately defines program success. Unlike the other LOEs, prevention has neither a beginning nor an end. It informs and is informed by the other LOEs. There are tangible aspects of prevention that promote a positive command climate/environment including program training and education. However, there are also intangible aspects that translate education and training to promote a professional culture that imbues knowledge, awareness, communication, personal responsibility and the empowerment to act”.*<sup>1</sup>

Following the guidance outlined by the Secretary of Defense in the 2013 Department of Defense (DoD) Sexual Assault Prevention and Response Strategic Plan, the Sexual Assault Prevention and Response Office (SAPRO) developed and executed a sexual assault prevention campaign to identify evidence-based prevention practices and lessons learned, in order to update the 2008 *Department of Defense Sexual Assault Prevention Strategy*. This plan was created through collaboration between DoD SAPRO, the Military Services, and other SAPR stakeholders. The revised 2014-2016 *DoD Sexual Assault Prevention Strategy* continues this effort to establish a central plan.

The objectives of this plan are to achieve unity of effort and purpose across all of DoD in the execution of sexual assault prevention, to develop objective criteria for measuring progress, and to publish tasks that operationalize the Prevention LOE. This plan will continue to be a dynamic document and reviewed every two years. This plan will be managed and updated by USD (P&R) through DoD SAPRO, in coordination with the Military Departments and Services, and the National Guard Bureau, using existing oversight mechanisms, and the responsive input of collective stakeholders.

DoD capabilities employed in support of this plan are assigned the Office of the Secretary of Defense, the Chairman of the Joint Chiefs of Staff, the Joint Staff, the Combatant Commands, the Military Departments, and the National Guard Bureau. This strategic approach will guide and inform policy development, organization, training, and employment of the variety of means used to operationalize this strategy. Stakeholders include:

- Office of the Secretary of Defense (OSD) – Sexual Assault Prevention and Response Office (SAPRO), Office of the Deputy Assistant Secretary of Defense for Military Personnel Policy (DASD/MPP), Office of the Deputy Assistant Secretary of Defense for Civilian Personnel Policy (DASD/CP), Office of Legal Policy (OLP); Legislative Affairs (OSD LA); Public Affairs (OSD PA); Deputy Assistant Secretary of Defense for Readiness (DASD(R)), Office of DoD General Counsel (OGC), Assistant Secretary of Defense, Health Affairs (HA), Office of the Deputy Assistant Secretary of Defense for Military Community and Family Policy (DASD/MC&FP), Office of Diversity Management and Equal Opportunity (ODMEO), the

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<sup>1</sup> The Joint Chiefs of Staff, *Strategic Direction to the Joint Force on Sexual Assault Prevention and Response*, 7 May 2012

Defense Manpower Data Center (DMDC), the Defense Equal Opportunity Management Institute (DEOMI), and Deputy Assistant Secretary of Defense for Reserve Affairs (DASD/RA).

- The Joint Chiefs of Staff (JCS)
- The Military Departments – Departments of the Army, Navy, and Air Force
- The Military Services – The Army, Navy, Air Force, and Marine Corps
- The National Guard Bureau (NGB)

This plan is not all encompassing or fully exhaustive of all sexual assault prevention activities performed within or by the DoD community. Instead, this plan highlights and captures resources, methods and tasks that directly contribute to the strategic objectives set forth in this document, as identified by plan stakeholders.

### **1.1 Relationship to Directives and Instructions**

In this strategic construct, policy issuances promulgated by the DoD function as tools employed by sexual assault prevention and response elements. The promulgation of policy in accordance with these tasks further operationalizes the strategy approach outlined in the *DoD Sexual Assault Prevention Strategy*. DoD Components and the Secretaries of the Military Departments will align implementing plans and policies with this Strategy.

Overall, *DoD Directive 6495.01, Sexual Assault Prevention and Response Program*, establishes DoD policy and assigns responsibilities for prevention, advocacy, and victim care. *DoD Instruction 6495.02, SAPR Program Procedures, and associated Service policies*, further operationalize this program.

### **1.2 Defining Prevention**

In an effort to establish shared understandings of prevention, DoD adopted the U.S. Centers for Disease Control and Prevention (CDC) definition of prevention as it applies to sexual violence. The CDC identifies three levels of prevention based on when the prevention efforts occur:

- Primary Prevention: Approaches that take place before sexual violence has occurred to prevent initial perpetration.
- Secondary Prevention: Immediate responses after sexual violence has occurred to address the early identification of victims and the short-term consequences of violence.
- Tertiary Prevention: Long-term responses after sexual violence has occurred to address the lasting consequences of violence and sex offender treatment interventions.

Primary prevention is characterized as;

*“Population-based and/or environmental and system-level strategies, policies, and actions that prevent sexual violence from initially occurring. Such prevention efforts work to modify and/or entirely eliminate the events, conditions, situations, or exposure to influences (risk factors) that result in the initiation of sexual violence and associated injuries, disabilities, and deaths”.*<sup>2</sup>

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<sup>2</sup> *Sexual violence prevention: beginning the dialogue*. Atlanta, GA: Centers for Disease Control and Prevention; 2004.

CDC also distinguishes between prevention strategies based upon the group for whom the intervention is intended. Using this type of differentiation, sexual violence interventions can again be divided into three categories:

- **Universal Interventions:** Approaches that are aimed at groups or the general population regardless of individual risk for sexual violence perpetration or victimization.
- **Selected Interventions:** Approaches that are aimed at those who are thought to have a *heightened risk* for sexual violence perpetration or victimization.
- **Indicated Interventions:** Approaches that are aimed at those who have already *perpetrated* sexual violence or have been *victimized*.<sup>3</sup>

DoD places primary prevention at the core of its focus in developing prevention-related tasks and initiatives which seek to reduce, with the goal to eliminate, the factors leading to, or associated with, sexual violence, thereby stopping the crime before it occurs. Hence, prevention programs **will not** rely solely on training and education of individuals considered to be at risk and/or harm reduction activities (formerly risk reduction). Primary prevention involves empowered and competent individuals interacting in an environment that has been sustained to promote the best possible outcomes.

### **1.3 Defining the Sexual Assault Threat and Environment**

Although the Department has made great strides in sexual assault prevention and response in recent years, research suggests that sexual assault remains a significant problem in the Armed Forces. As in the civilian sector and contrary to common perception, most sexual assaults are perpetrated by someone known to the victim. While some sexual assaults are perpetrated by strangers in attacks that leave the victim visibly injured, most crimes are perpetrated between people who know each other, often facilitated by alcohol (weapon of choice), and limited to few visible injuries. This non-stranger fact pattern has a number of significant implications for prevention efforts, particularly given that most people believe the stranger fact pattern often depicted in popular culture. The results of the *2012 Workplace and Gender Relations Survey of Active Duty Members (WGRA)* showed that sexual harassment and stalking are related with perpetration of sexual assaults; 58% of women and 42% of men surveyed who reported having been sexually assaulted also received some form of sexual harassment and/or stalking by the alleged offender, prior to, or after the unwanted sexual contact incident. (see *Figure 1* below).

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<sup>3</sup> This widely adapted prevention concept was articulated by Gordon in 1987 and promoted by the Institute of Medicine in 1994.

Unwanted sexual contact incidents characteristics for 2012		Women	Men
Alcohol/Drug Involvement	You or the offender had been drinking alcohol before the incident	47%	19%
	You or the offender had been using drugs before the incident	2%	8%
	Offender used drugs to knock you out	3%	9%
Use of Threats/Force	Use some degree of physical force (e.g., holding you down)	50%	22%
	Threaten to ruin your reputation if you did not consent	17%	21%
	Threaten to physically harm you if you did not consent	12%	18%
Sexual Harassment/Stalking by Offender Before/After the Assault	Sexually harassed you only	30%	19%
	Stalked you only	8%	2%
	Both sexually harassed and stalked you	20%	21%
	Neither sexually harassed nor stalked you	42%	58%

*Figure 1*

**Reporting, Societal Influences, and Military Challenges.** Effective sexual assault prevention requires an understanding of the problem and the environment in which sexual assaults occur. Since 2006, Department research has found that, of those surveyed, between 4.4% and 6.8% of active duty women and between 0.9% and 1.8% of active duty men indicate experiencing unwanted sexual contact in the year prior to being surveyed.<sup>4</sup> In addition, a substantial percentage of women and men taking the 2012 WGRA indicated experiencing unwanted sexual contact prior to entering the military and/or at some time during their military career.<sup>5</sup> However, sexual assaults continue to be underreported, meaning that each year the number of sexual assault victims reported to DoD authorities is lower than the number of sexual assaults estimated to occur. Underreporting makes it more difficult for alleged offenders to be identified so that they can be held appropriately accountable. Civilian and military research shows that one significant barrier to reporting is concern by victims over how they will be perceived by others. Such perceptions are primed by common attitudes towards sexual assault victims in our society, such as acceptance of rape myths, victim blaming, and reluctance to become involved, that are evident throughout our culture. Widespread objectification of men and women in the media can reinforce these attitudes. Those who view sex as an act of competition or conquest (e.g., “scoring”) further normalize attitudes and behaviors that perpetuate sexual violence. Countering these widely prevalent perceptions requires a consistent messaging campaign that promotes our military culture as an environment of dignity and respect.

There are barriers to reporting the crime of sexual assault. First, there is a perceived stigma associated with reporting sexual assaults in an environment that idealizes confidence, decisiveness, and strength. Thus, military members are particularly impacted by this stigma, as many are concerned about being mislabeled as weak or experiencing inappropriate scrutiny of their sexual orientation. Second, the hierarchical nature of the military presents the opportunity to employ sexual coercion to obtain gratification from subordinates. Third, research indicates most sexual assault victims fear being blamed for the crime. Victim blaming often occurs when confidentiality is breached and the private lives of victims, including their behaviors immediately leading up to the crime, are scrutinized. Even with the protections afforded certain communications in both policy and law, maintaining confidentiality in the military environment is difficult. Given the close knit

<sup>4</sup> *Workplace and Gender Relations Surveys of Active Duty Members.* Defense Manpower Data Center. Years 2006, 2010 and 2012. Given many respondents experienced more than one incident of unwanted sexual contact, the survey asked respondents to consider the one situation that had the greatest effect on them and asked details about that incident. Reserve Component data is collected in a separate survey.

<sup>5</sup> Unwanted sexual contact is the survey term for the contact sex crimes between adults that constitute sexual assault under military law. These crimes range from non-penetrating crimes such as groping, to penetrating crimes such as rape.

military environment, information about a sexual assault may spread and polarize units. As a result, command teams are faced with an urgent and important role in maintaining focus on mission execution, readiness, and morale.

**Role of Alcohol.** While many sexual assaults occur without the involvement of alcohol, alcohol adversely affects decision-making and impulse control.<sup>6</sup> Alcohol degrades one's ability to identify and counter threats in the environment, which may impair the response of those bystanders that could assist an intended victim or deter a potential offender. Effective prevention also requires an understanding of the role alcohol plays in the perpetration of sexual violence. In addition, alcohol may be used by the alleged offender as a weapon to reduce a victim's resistance or fully incapacitate a victim.

**Leaders' Role in Reducing the Risk of Sexual Assault.** Military-specific research highlights the contribution that a hostile work environment has on sexual assault. Military research identifies several factors that significantly increase the likelihood of sexual assault within a unit: if the climate is one that is hostile to women (e.g., demeaning, objectifying), the risk of sexual assault increases by six times; officers initiating or allowing demeaning comments or gestures toward women increases the risk of sexual assault by five times.<sup>7</sup> The conclusion of this and other research is that there is a strong positive correlation between the frequency of sexual harassment in a military unit and sexual assault within the unit.<sup>8</sup>

Leaders are responsible for creating climates of mutual respect and dignity. To help leaders better understand the factors at play within their units, the Department updated the sexual assault prevention and response questions on the DEOMI Equal Opportunity Climate Survey to better assist commanders to identify damaging attitudes and behaviors within their units. Conducting a climate assessment enhances a leader's knowledge about the specific needs of his or her unit or organization. Commanders must then use this unit-specific information to develop their approach to sexual assault response and prevention. To this end, leaders must employ targeted interventions, standards, and messaging to address issues unique to their unit climate. While prevention programs may draw upon common themes, strategies and messages should be tailored to specific audiences and for specific purposes and circumstances. Prevention messaging and initiatives must:

- Help Service members recognize and mitigate risk factors associated with sexual assault and **influence** them to promote protective factors, intervene safely, and support victims;
- **Deter** Service members from engaging in inappropriate or illegal behaviors inconsistent with our military values; and
- **Identify** those few who commit sexual assaults so they can be held appropriately accountable. For more information, see **Appendix B: Defining the Threat and Environment Continued.**

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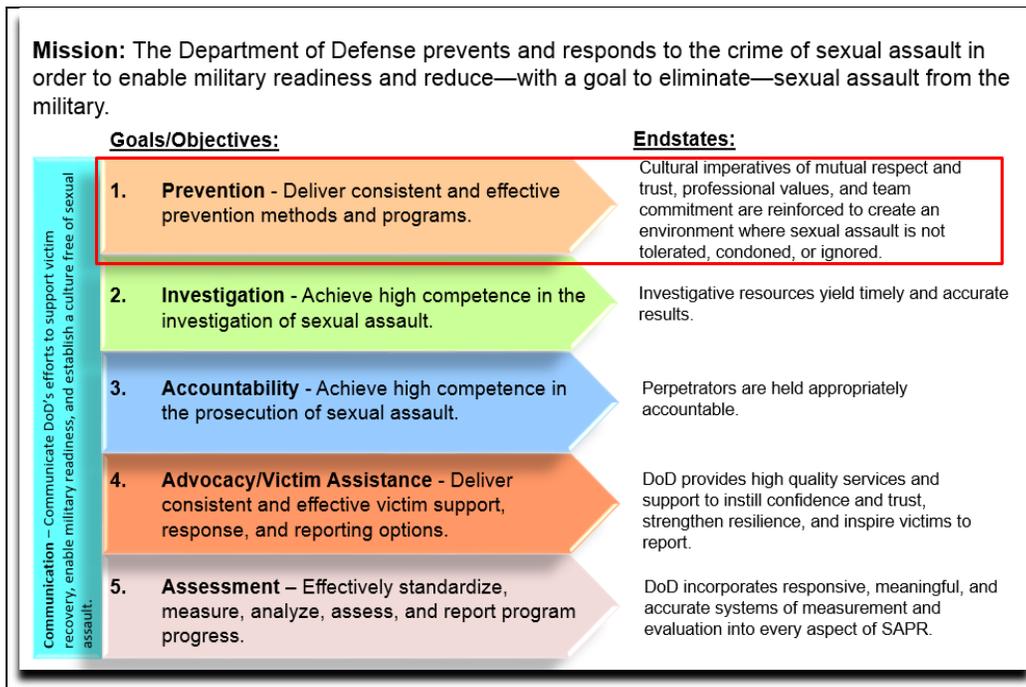
<sup>6</sup> *Attitudinal, experiential, and situational predictors of sexual assault perpetration*, Journal of Interpersonal Violence, Abbey A, McAusland P, Zawacki T, Clinton AM, Buck PO. 2001:784–807. *Perception of sexual intent: The role of gender, alcohol consumption, and rape supportive attitudes*, Abbey A, Harnish RJ. Sex Roles 1995.

<sup>7</sup> *Factors Associated with Women's Risk of Rape in the Military Environment*, American Journal of Industrial Medicine, Anne G. Sadler; 2003

<sup>8</sup> *Sexual Assault and Other Types of Sexual Harassment by Workplace Personnel: A Comparison of Antecedents and Consequences*, Journal of Occupational Health Psychology, Melanie Harned, Alayne Ormerod Patrick Palmieri, Linda Collinsworth, and Magie Reed; 2002.

## 1.4 Department of Defense Sexual Assault Prevention and Response Strategic Plan Overview

Five SAPR Lines of Effort (LOE) were established in the *2013 DoD SAPR Strategic Plan* to guide and focus strategic planning efforts with corresponding objectives and end states. The LOEs are Prevention, Investigation, Accountability, Advocacy/Victim Assistance, and Assessment. DoD Components use these LOEs as the foundational basis for their plans, to ensure unity of effort, synchronization, and the creation of a common approach to assessments. **Figure 2** depicts all the LOEs within the multi-pronged strategy. Using the prevention objective and end state outlined in this strategic plan as a baseline, DoD is expanding and providing additional guidance for the Prevention LOE through this revised *2014-2016 Sexual Assault Prevention Strategy*.



*Figure 2*

## 1.5 Planning Approach

To better understand the environment in which sexual assaults occur, DoD used CDC's social ecological model (SEM) **Figure 3** to establish a framework for understanding risk and protective factors, their influences, and their relationship to one another.

*Risk factors* increase the likelihood that sexual violence will occur. However, risk factors are not direct causes of sexual violence, but rather, contribute to an environment in which sexual violence is more likely. For example, a unit or command where women are objectified or demeaned or inappropriate comments about race or sexual orientation go uncorrected, may be perceived by some that they may get away with other acts against women or men, including sexual assault.

*Protective factors* decrease the likelihood that sexual violence will occur, or buffer someone from becoming a victim or perpetrator of sexual violence. For example, the presence or actions taken by a trusted friend may interfere with or deter a potential offender's attempts to isolate and sexually

assault an intended victim. For more information, see **Appendix C: Sexual Violence Risk and Protective Factors**.

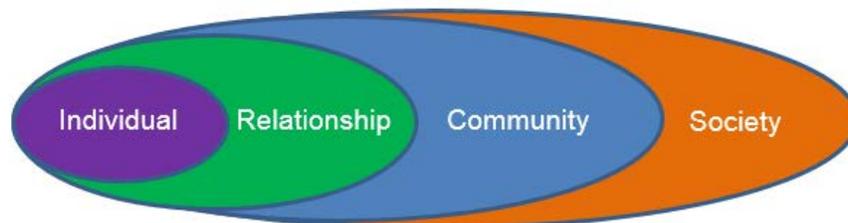
The SEM model describes how each level of society has its own collection of risk factors and protective factors that must be considered when trying to achieve the prevention of sexual violence:

- **Individual-level influences** involve biological factors, personal history, and individual characteristics that increase or decrease the likelihood that an individual will become a victim or perpetrator of violence.
- **Interpersonal relationship-level influences** are factors that involve the interactions of peers, intimate partners, and family members.
- **Community-level influences** are factors at play in community and social environments and include an individual's experiences and relationships with schools, workplaces, and neighborhoods.
- **Societal-level influences** are larger, macro-level risk and protective factors that influence sexual violence such as gender inequality, religious or cultural belief systems, societal norms, and economic or social policies that create or sustain gaps and tensions between groups of people.<sup>9</sup>

This model reemphasizes the understanding that prevention is not a single program or initiative. Rather, the model identifies multiple levels of interconnected influences across the society. This means that prevention efforts must occur at each level of society to have an impact. Furthermore, the social ecological model:

- Emphasizes the interwoven relationships that exist between individuals and their environment;
- Stresses that interventions at multiple levels are more likely to have a lasting effect than any single intervention; and
- Remains the predominant model for organizing prevention programs.

This model is utilized world-wide by leaders in public health and safety to combat HIV-AIDS, tobacco abuse, youth violence, and cancer.



**Figure 3**

Regardless of environment (DoD or civilian community), preventing sexual assault requires understanding and addressing the multiple risk and protective factors that influence its occurrence. Successful modification of these factors requires attention to both the individual and the

<sup>9</sup> *Sexual violence prevention: beginning the dialogue*. Atlanta, GA: Centers for Disease Control and Prevention; 2004.

environment. SAPRO adapted the CDC SEM model to address the unique nature of the military environment. Using operational art, described in Chapter III of Joint Operations Planning 5.0, SAPRO linked ends, ways, and means to achieve the desired end state.

## 2. Department of Defense Prevention Strategy Vision and Mission Statement

**Vision:** Our vision is a military environment where:

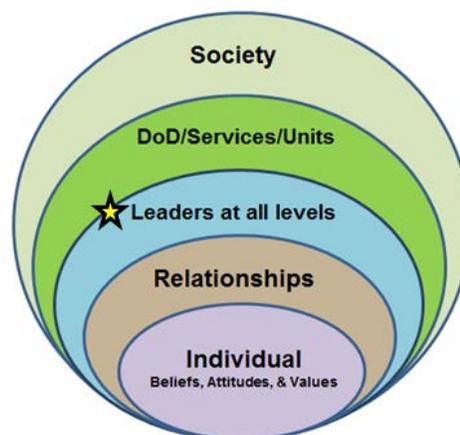
Every man and woman serving in the military lives and operates in a climate of mutual respect, free from sexual violence;

- Service members are motivated and empowered to intervene against inappropriate behaviors inconsistent with our core values;
- Effective sexual assault prevention practices are institutionalized across the Department of Defense; and The Department of Defense serves as a national leader in preventing sexual violence.

**Mission:** The DoD executes proactive and comprehensive sexual assault prevention programs in order to enable military readiness and reduce –with a goal to eliminate– sexual assault from the military.

## 3. Department of Defense Sexual Assault Prevention Model

Individuals within the DoD come from a wide variety of backgrounds and their past experiences shape their attitudes and behavior in response to life events. Individuals may express themselves in different ways, and for some, violence may be a choice. At the core of the model **Figure 4** is the Individual, surrounded by four interconnected spheres of influence representing Relationships (e.g., family, friends, peers, coworkers), Leaders at all levels, DoD/Services/Units (the organizations that constitute “the military community”), and Society (includes popular culture). Recognizing the essential role of leadership, DoD included leaders as a distinct sphere of influence to highlight the necessity that commanders and their staffs develop and execute tactics that target this “center of gravity” for prevention efforts. Due to the complex nature of the problem, it is important to conduct a number of interventions (actions) that span multiple levels to achieve the greatest, lasting impact.



**Figure 4**

## 4. Department of Defense Prevention Strategy

As depicted in **Figure 5**, the 2014-2016 Sexual Assault Prevention Strategy is a proactive and comprehensive approach to prevent sexual assault on multiple levels. The key objectives of the strategy are to inform public policy and legislation (Society); institutionalize prevention practices and programs across the force (DoD/Service/Unit); set and enforce standards for appropriate conduct and integrating prevention into command practices (Leaders at all levels); mentor, develop skills, and educate Service members to promote healthy relationships and intervene against inappropriate or unacceptable behaviors (Relationships/Individuals).

For several years, our primary prevention efforts were focused on conducting SAPR training and education (Individual/Relationships). This updated prevention strategy shifts the emphasis to enhancing DoD/Service and Leader’s capabilities. This will ensure that leaders are prepared to establish a climate that supports sexual assault prevention while placing renewed emphasis on institutionalizing sexual assault prevention policies and practices. The strategy provides a framework (spheres of influence), means (resources), ways (methods), and supporting end states to assist leaders and planners in the development of appropriate tasks (see Appendix A for tasks).

	Spheres of Influence	Means (Resources)	Ways (Methods)	Supporting End states
Prevention messaging designed to influence, deter, and detect	<b>Society</b>	<ul style="list-style-type: none"> <li>DoD Benchmark Prevention Programs and Research</li> <li>Community Volunteers</li> <li>Collaboration with federal partners, coalitions, and other primary prevention experts</li> </ul>	<ul style="list-style-type: none"> <li>Inform public policies and legislation that support primary prevention of sexual assault</li> <li>Inform and Influence cultural belief system to discourage sexual assault and support victims</li> <li>Develop DoD national benchmark prevention program that sets the example for civil society to follow</li> </ul>	Acceptance and endorsement of the values shared by DoD which seek to prevent sexual assault
	<b>DoD/Services/Units</b>	<ul style="list-style-type: none"> <li>Service Values</li> <li>Directives and Strategies</li> <li>Policies &amp; Guides</li> <li>Military Law (UCMJ)</li> <li>Accountability &amp; Monitoring</li> <li>Prevention Tools</li> <li>Info. sharing &amp; Collaboration Forums</li> </ul>	<ul style="list-style-type: none"> <li>Institutionalize sexual assault prevention practices and programs throughout Department</li> <li>Ensure enduring Department-wide focus and attention to the critical role SAPR issues play in mission accomplishment and readiness</li> <li>Provide support and resources to leaders for preventing and responding to sexual assault</li> </ul>	Institutionalized culture & values, supported by policies, which recognizes and emphasizes the importance of preventing sexual assault
	<b>Leaders at all levels</b>	<ul style="list-style-type: none"> <li>Leader mentorship (formal/informal)</li> <li>Unit climate</li> <li>Guidance &amp; local policies</li> <li>Monitoring, deterrence, and accountability measures and strategies</li> <li>Networks</li> </ul>	<ul style="list-style-type: none"> <li>Influence personnel values, attitudes, and behaviors</li> <li>Set and enforce standards for appropriate conduct</li> <li>Integrate sexual assault prevention into unit practices at the strategic, operational, and tactical levels</li> <li>Implement policies to increase protective factors and reduce risk factors</li> <li>Detection, deterrence, and accountability of inappropriate behaviors within the unit</li> </ul>	Establishment and maintenance of a culture/climate which supports the prevention of sexual assault
	<b>Relationships</b>	Education, skills building and training on personal responsibility, empathy, healthy relationships, military core values, and bystander intervention	<ul style="list-style-type: none"> <li>Promote healthy and supportive relationships between peers, partners, family, and friends</li> <li>Promote pro-active intervention in inter-personal harassment and violence incidents</li> </ul>	An environment in which Service members' networks support a culture of sexual assault prevention
	<b>Individuals</b>	Education, skills building and training on personal responsibility, empathy, healthy relationships, military core values, and bystander intervention	<ul style="list-style-type: none"> <li>Promote healthy social-emotional relationship skills</li> <li>Engage all personnel to address interpersonal violence in their community</li> <li>Promote empathy</li> <li>Acknowledge personal responsibility for acceptable behavior and model conduct</li> </ul>	Identify, act, and intervene to prevent inappropriate behavior of any kind including sexual harassment and assault.

**Figure 5**

## 5. Successful Military Prevention Program Elements

To address all the spheres of influence and reach the Strategy supporting end states (Figure 5), prevention programs should integrate a variety of practices using a comprehensive approach. Single-faceted (e.g., Training only or Deterrence only) efforts have not shown long term effectiveness in reducing sexual assault. DoD SAPRO researched promising practices<sup>10</sup> and developed the following recommended list of elements to include in all sexual assault prevention programs:

### ➤ **Leadership Involvement at all Levels **\*\* (Center of Gravity)\*\*****

Leaders at all levels are the center of gravity for the prevention of sexual assault. Leaders are responsible for the climate of their unit and the welfare of their subordinates. The leader also assembles the resources with the requisite skills and expertise for a successful SAPR program. If the leader is successful in establishing a climate of safety and trust, members may feel more comfortable coming forward with issues and reports of incidents. Examples include:

- Providing mentorship, setting the example of appropriate behavior for others to model, and quickly correcting those who engage in sexually harassing or sexist behaviors;
- Continually focus on sustaining a healthy command climate and enforcing of standards;
- Providing vision and guidance for the execution of the sexual assault prevention program;
- Delivering appropriate sexual assault prevention and response messages to their unit;
- Setting expectations regarding accountability for behavior and offenses; and
- Ensuring new members have a sponsor in the unit.

### ➤ **Peer to Peer Mentorship (informal leaders)**

Promoting healthy relationships between peers, partners, family, and friends has shown promise to enhance a healthy command climate and prevent sexual assault. Peer mentors can integrate relevant values, attitudes, and behaviors related to sexual assault prevention reinforcing our core military values and professional standards. Examples of relevant topics peers can promote include:

- Victim empathy;
- Bystander intervention against any unacceptable behavior;
- Healthy relationships;
- Moderate, responsible alcohol use; and
- Obtaining consent for sexual activity.

### ➤ **Accountability**

When all personnel are held appropriately accountable for their behavior, the unit climate of trust and safety is enhanced and personnel may feel safer coming forward with issues or incident reports. At the same time, senior commanders must hold subordinate commanders appropriately accountable for supporting and maintaining a unit command climate that promotes respect, tolerance, and diversity, and not one that tolerates sexual harassment, discrimination or sexual assault. Examples of practices that promote accountability include:

- Publicizing the punishments for misconduct or criminal offenses consistent with law and Department of Defense regulations;

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<sup>10</sup> The DoD defines promising practice as an identified practice that shows demonstrable beneficial impact, for at least one organization, and shows promise during its early stages for becoming a best practice with long term sustainable impact; some basis for claiming effectiveness.

- Incorporating SAPR monitoring into readiness assessments (e.g., quarterly training briefings, operational readiness assessments, inspections) to ensure program implementation and compliance;
- Senior leadership engaging with subordinate commands to review results and progress with command climate assessments; and
- Ensuring all allegations of sexual assault are referred to Military Criminal Investigative Organizations (MCIOs).

➤ **Organizational Support (Resources)**

The Department of Defense must institutionalize sexual assault prevention programs. The necessary resources include:

- Manpower;
- Budget;
- Tools and systems;
- Policies;
- Education and training;
- Standard operating procedures; and
- Continuous evaluation and improvement.

➤ **Community Involvement**

Leaders and Sexual Assault Response Coordinators (SARCs) collaborate with community resources to extend and enhance the unit climate for personnel throughout the local community, both on and off-base to the extent authorized by law and Department of Defense regulations. This includes integrating prevention efforts with a variety of resources, including:

- Advocacy groups;
- Healthcare services providers;
- Family and social support service providers; and
- Researchers, university faculty, epidemiologists, and subject matter experts grounded in scientific data.

➤ **Deterrence**

A variety of tactics have been shown to help deter a wide range of negative behaviors. Commanders and their command teams, to include staff judge advocates, should collaborate with military and civilian law enforcement, Safety and Force Protection Officers, to determine the optimum mix of deterrence measures for their environment. Examples of potential tactics to deter criminal activity include:

- To the extent permissible by law and policy, publicizing court-martial results;
- Articulating lifetime costs of poor decisions;
- Surveillance measures (e.g., video cameras, patrols, barracks monitors); and
- Physical security enhancements.

➤ **Communication**

Messages promoting appropriate values, attitudes, and behaviors have shown great promise in achieving a healthy command climate and preventing sexual assaults. Commanders and command teams must visibly support and reinforce the messages. Messages must be appropriately tailored for

the target audience(s). Commanders, SARCs, Public Affairs Officers, MCIOs, and Staff Judge Advocates should collaborate on how to message sexual assault prevention efforts and avoid unlawful command influence. Collaboration is encouraged with local experts and advocacy groups for ideas on what works in their community consistent with law and Department of Defense regulations. It is important to consider how to best use social media because of its prominence in delivering messages.

➤ **Incentives to Promote Prevention**

Recognition by leaders for establishing effective prevention programs or practices can incentivize units to be innovative and develop effective prevention programs and tactics. Examples of how incentives can be used include:

- Individuals recognized by leaders for safely intervening in incidents. Commanders must consider the risks and impacts when employing this tactic to determine the best means of delivery (e.g., public or private acknowledging);
- Volunteers awarded for conducting bystander intervention training; and
- Units awarded for effective, innovative prevention programs.

➤ **Harm Reduction (also called Risk Avoidance and Risk Reduction)**

Tactics that seek to reduce the risks of sexual assault show promise to help promote a healthy command climate. Commanders must review command climate surveys and discuss any threats to the welfare of the unit and individual members with their command team, SARC, and Safety Officer to identify potential tactics to reduce risks. These efforts can include a wide variety of risk mitigation (safety) programs and tactics that addresses both potential victims and perpetrators, including:

- Alcohol policies (e.g., alcohol storage in barracks, pricing, outlet density);
- Collaboration with management of establishments Service members are likely to visit on and off base;
- Courses that instruct and empower members through awareness, violence intervention, and self-defense techniques;
- Unit sponsorship for new members; and
- Ongoing command monitoring of individuals who are demonstrating problem behaviors (e.g., documented history of sexual violence, sexual harassment, alcohol or drug abuse, hazing).

➤ **Education and Training**

Education and training efforts designed to improve knowledge, impart a skill, and/or influence attitudes and behaviors of a target population are an important part of a prevention program. Courses should teach bystander intervention, victim empathy, consent, acceptable behavior, and healthy relationships. The curriculum should be evidence-based, adapted to the environment, and responsive to the gender, culture, beliefs, and diverse needs of the targeted audiences. Education and training must be properly designed following adult learning principles and be delivered by well-trained professionals, or it risks being ineffective or having a negative impact. The following training practices were included in promising sexual assault prevention education and training programs:

- Multiple lessons/sessions to reinforce key messages and provide opportunities to practice new skills;

- Peer educators to deliver training program;
- Interactive format (minimize lecture, focus on discussion, role-play, and exercises);
- Real life scenarios (discuss scenarios and the appropriate responses); and
- Culture-specific content and messages (allow each installation, and potentially each command, to customize the training content to their specific culture and participant levels).

## 6. Prevention Metrics, Assessment, and Research

### 6.1 Prevention Key Metrics

DoD has identified several key intermediary and long term measures of effectiveness to assess prevention efforts (see **Figure 6**). DoD uses these metrics as a standard set of measures to evaluate prevention efforts across all the Services. These metrics are not all inclusive. The Services are encouraged to continually assess their programs using additional metrics (e.g., surveys, focus groups, or physical observations).

#	Metric Name	Metric Definition	Rationale for Measurement	Projected Data Sources
1	Past Year Prevalence of Unwanted Sexual Contact	Measures Service Member experience with unwanted sexual contact in the year prior to being surveyed.	Provides best <u>estimate</u> of sexual assault incidents involving Service member victims (“Extent of the Problem”)	WGRA & WGRR
2	Prevalence vs. Reporting	Measures the percentage of Service member incidents captured in reports of sexual assault (Restricted +Unrestricted Reports)	Provides <u>estimate</u> of the proportion of the crime being reported	WGRA + DSAID
3	Bystander Intervention Experience in 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	–Indicator of Service member actions to prevent sexual assault	DEOCS
4	Command Climate Index – Addressing 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 - Actively discourage sexist comments and behaviors	–Indicators of a healthy command climate –Indicator of prevention that addresses continuum of harm	DEOCS
<p><b>Legend:</b>  DEOCS = DEOMI Equal Opportunity Climate Survey  DSAID = Defense Sexual Assault Incident Database  WGRA = Workplace and Gender Relations Survey of Active Duty Members  WGRR = Workplace and Gender Relations Survey of Reserve Component Members</p>				

**Figure 6**

## 6.2 Prevention Assessment and Research

DoD will conduct assessments and research, such as those listed below, in an effort to better understand the effectiveness of our prevention efforts.

***Expand Military Research to Inform Future Prevention Efforts.*** A critical component of our prevention effort is based on a detailed understanding of those who commit sexual harassment and sexual assault or contribute to the establishment of an environment that allows it. DoD will study interventions at all levels of the SEM to determine their effectiveness.

***Reinforcing Early Prevention Efforts.*** Recognizing the importance of early prevention interventions, DoD will review current middle and high school programs, to include the DODEA schools and Junior Reserve Officer Training Corps programs for promising practices to identify programs which promote healthy relationships and active bystander intervention using evidence-based methods.

***Conduct Research to Better Understand Male Victimology.*** Recognizing that anonymous surveys indicate that many victims are male, DoD will conduct research to understand the situations that give rise to male victimization and the special needs that male survivors may have. This research will be used to develop effective strategies, policies, and messaging to improve targeted prevention interventions for men.

***Evaluate Prevention Focus on Continuum of Harm.*** Recognizing the connection between preventing sexual assault in terms of the continuum of harm (e.g., sexist jokes, bullying, sexual harassment, hazing, drinking, stalking), DoD will evaluate the feasibility of creating a new credentialed position focused on programs needed to advance prevention behavior across that spectrum. DoD will determine the feasibility of those handling sexual harassment and Sexual Assault Response Coordinators/Victim Advocates focusing solely on victim care, and having this new position manage prevention efforts that would incorporate both sexual harassment and sexual assault.

## Appendix A: Department of Defense Sexual Assault Prevention and Response Strategic Plan Prevention Tasks for revised strategy

As a result of the collaboration and collective efforts of the DoD SAPR community, offered below is a list of the targeted tasks identified to realize the Prevention LOE end state in the *DoD SAPR Strategic Plan*. The following section captures the tasks defined by plan owners to be pursued and executed. Specific details about plan progress and milestones shall be provided by the respective participating organizations. **Figure 7** contains a key to explain the information contained in each of the task columns.

Since this plan captures planning components from different organizations, each organization designated in the task matrix as office of primary responsibility (OPR) is responsible for accomplishing its designated tasks and supporting actions and /or initiatives. For this reason, plan components may be written at different levels and stress different activities. However, the collective stakeholders are committed to the same strategic objectives and end states.

Accomplishment of the prevention tasks **Figure 8** will help to achieve the *2013 DoD SAPR Strategic Plan* Prevention LOE objective to deliver consistent and effective prevention methods and overarching prevention end state to ensure cultural imperatives of mutual respect and trust, professional values, and team commitment are reinforced to create an environment where sexual assault is not tolerated, condoned, or ignored.

Task Key:
<b>Time:</b> Short = 0 to 1 Year (from date of publication) Med = 1 to 2 Years Long = 2 to 3 Years Continual = On-going/Cyclic Requirement
<b>Priority</b> = Importance to overall strategy; 1 being the most important
<b>OPR</b> = Office of Primary Responsibility
** = Action outlined in <i>Strategic Direction to the Joint Force on SAPR</i>
++ = Provision published in NDAA FY12
^^ = Provision published in NDAA FY13
## = Provision published in NDAA FY14

**Figure 7**

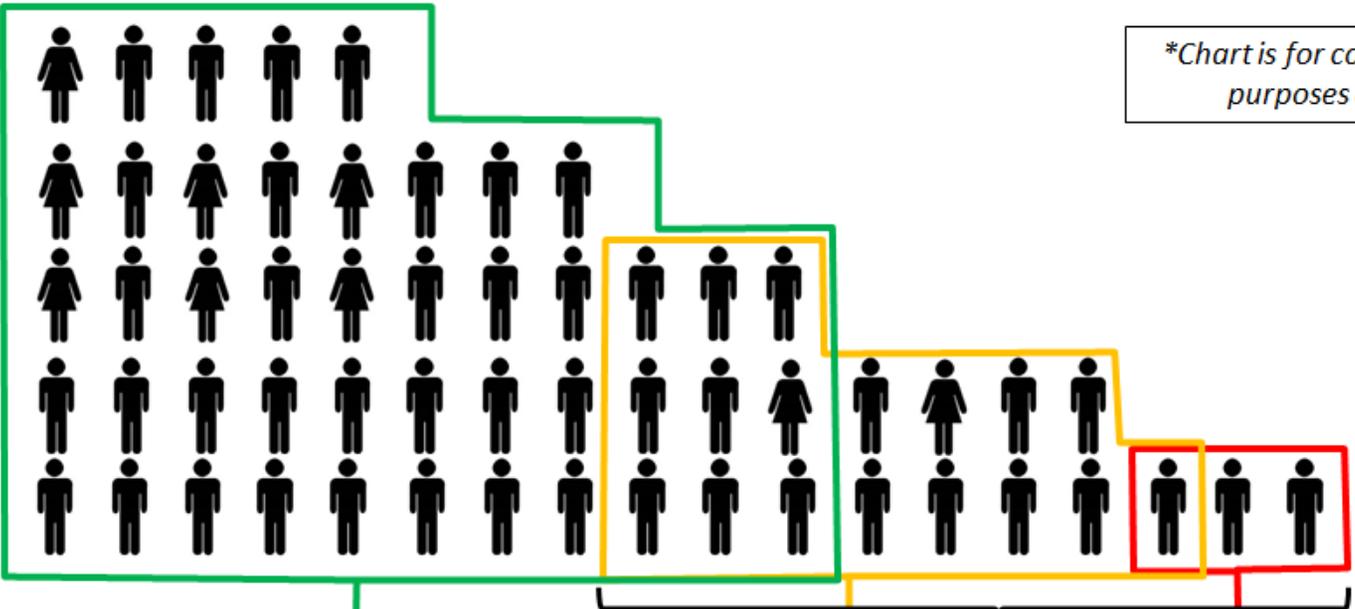
Prevention Tasks	Time	Pri.	OPRs
Implement the 2014-2016 DoD Sexual Assault Prevention Strategy.	Short	1	All
Conduct specialized leader sexual assault prevention training.	Short	2	Military Departments & Services, NGB
Develop and expand gender-responsive and culturally competent programs (e.g., mentorship, initial entry) to address healthy relationships and active bystander intervention —with the emphasis that core values should anchor all actions— in order to support the establishment of a culture of mutual respect.	Short	3	Military Departments & Services, NGB

Review and if necessary expand DoD and Service alcohol policies to address factors beyond individual use (e.g., pricing, outlet density, <i>Arizona Safer Bars Alliance</i> ).	Short	4	Military Departments & Services, NGB
Develop a process for command review of information on sex-related offenses in personnel service records of members of the Armed Forces (for purpose of reducing likelihood that repeat offenses will escape notice) in accordance with section 1745 of the National Defense Authorization Act for Fiscal Year 2014.##	Short	5	Military Departments & Services, NGB
Explore the development of (enhancement of existing) sexual assault deterrence measures and messaging (e.g., publishing court-martial results).	Med	6	Military Departments & Services, NGB, SAPRO
Assess, implement core competencies, and continue to update all sexual assault prevention-related training and programs based on latest evidenced based research, practices, and lessons-learned.**+^ ##	Continual	7	Military Departments & Services, SAPRO
Implement policies that appropriately address high-risk situations targeted by offenders.**	Long	8	Military Departments & Services, NGB
Institute recurring senior leadership meetings (e.g., quarterly FO/GO drumbeat, leader summits) to review sexual assault prevention programs (not case management group meeting).	Med	9	Military Departments & Services, NGB
Identify and implement incentives for the prevention of sexual assault and other related behaviors (e.g., alcohol abuse, sexual harassment, hazing).	Long	10	Military Departments & Services, NGB, SAPRO
Develop a military community of practice focused on primary prevention of sexual assault.	Short	11	SAPRO
Establish collaboration forums with external experts, federal partners, Military Services, advocacy organizations, and educational institutions to capture and share prevention best practices and lessons learned in accordance with Federal law and Department regulations.	Continual	12	Military Departments & Services, SAPRO
Develop a prevention guide that outlines promising practices and lessons learned in sexual assault prevention.	Short	13	SAPRO
Review national (e.g., state, university), and coalition (e.g., U.K. and Canada) sexual assault prevention programs to identify best practices and lessons learned.	Continual	14	SAPRO
Develop sexual assault prevention strategies and programs which employ peers, near-peers (i.e., Service member one rank higher or somewhat senior in position of authority), and social influencers.	Continual	15	Military Departments & Services, NGB
Incorporate specific sexual assault monitoring, measures, and education into normal command training, readiness assessments, and safety forums (e.g., SAPR stand downs).**	Continual	16	Military Departments & Services, NGB
Assess transition policies that ensure Service member sponsorship, unit integration, and immediate assignment into a chain of command.**	Continual	17	Military Departments & Services, NGB
Identify and implement sexual assault prevention tools (e.g., mobile apps, leader toolkits).	Med	18	SAPRO

**Figure 8**

# Prevention Requires Targeted Messaging and Strategies

*\*Chart is for conceptual purposes only*



**Influence**  
 Most men and women do not commit sexual assaults

Goals:

- Reinforce core values of dignity and mutual respect
- Intervene - Do Something or Say something
- Recognize risk factors
- Provide appropriate victim support

**Deter**  
 Some men and women engage in sexually coercive behavior and inappropriate conduct that supports a "rape culture"

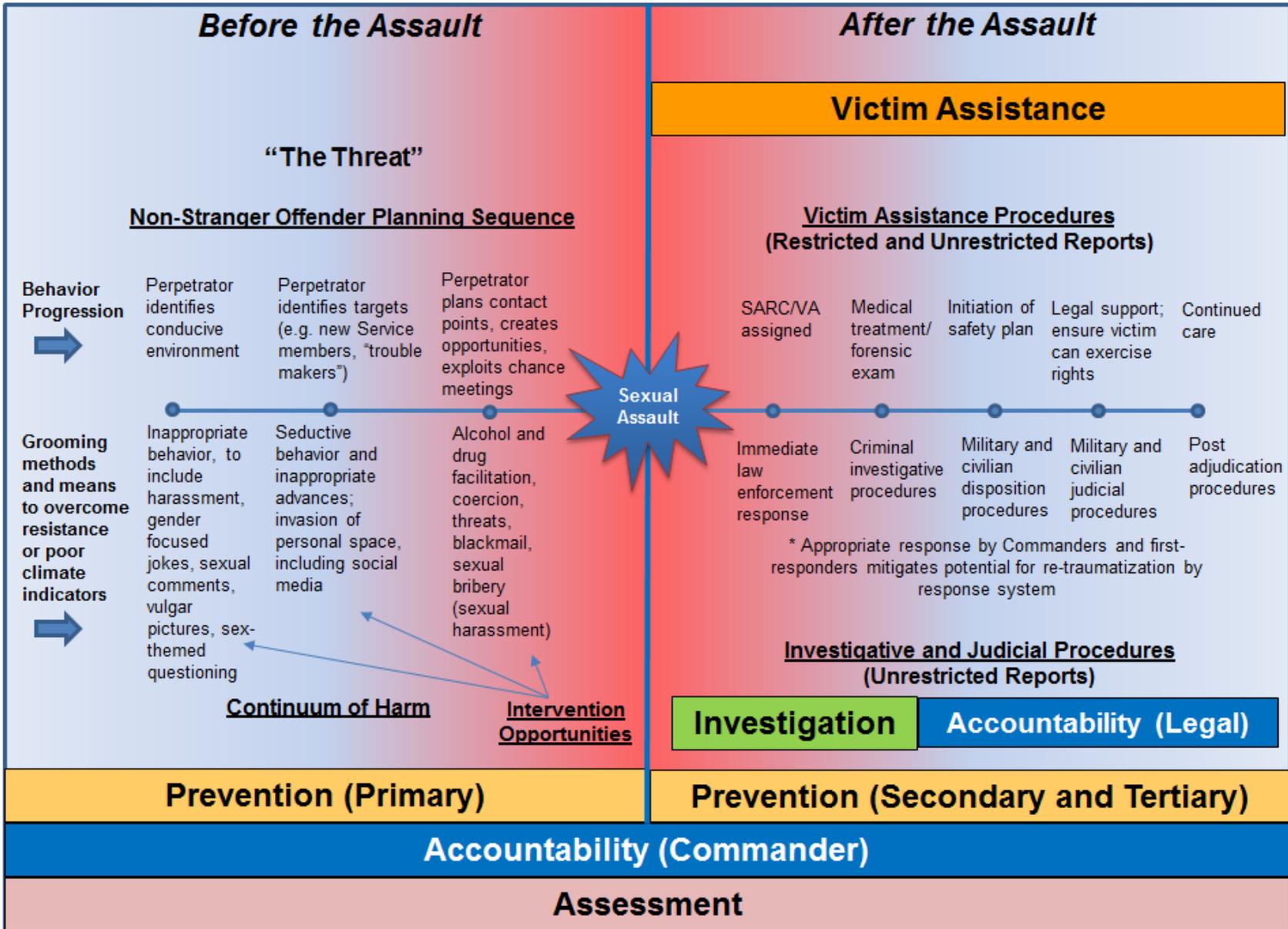
Goals:

- Understand the effects of the continuum of harm
- Recognize consequences of actions
- Build skills that keep coercion from progressing to assault

**Identify Alleged Offender**  
 Few (primarily men) commit sexual assault. Messaging and training is generally ineffective for this group

Goals:

- Screen out documented offenders from applicant pool
- Hold offenders appropriately accountable



## **Appendix C: Sexual Violence Risk and Protective Factors (as identified by CDC)**

### **Individual Risk Factors**

- Alcohol and drug use
- Coercive sexual fantasies
- Impulsive and antisocial tendencies
- Preference for impersonal sex
- Hostility towards women
- Hypermasculinity
- Childhood history of sexual and physical abuse
- Witnessed family violence as a child

### **Relationship Risk Factors**

- Association with sexually aggressive and delinquent peers
- Family environment characterized by physical violence and few resources
- Strong patriarchal relationship or familial environment
- Emotionally unsupportive familial environment

### **Community Risk Factors**

- Lack of employment opportunities
- Lack of institutional support from police and judicial system
- General tolerance of sexual violence within the community
- Weak community sanctions against sexual violence perpetrators

### **Societal Risk Factors**

- Poverty
- Societal norms that support sexual violence
- Societal norms that support male superiority and sexual entitlement
- Societal norms that maintain women's inferiority and sexual submissiveness
- Weak laws and policies related to gender equity
- High tolerance levels of crime and other forms of violence<sup>1</sup>

### **Protective Factors**

- Emotional health and connectedness (high school boys)
- Academic achievement (high school girls)
- “Loss of face,”—a concern for how one’s actions affect others (among Asian American men)
- Parents use of reasoning to resolve family conflicts (males)
- Effect varied by risk factor; for example, loss of face, but not hostile masculinity, protected against the effect of early risk factors on sexual violence
- Empathy had several direct and indirect effects

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<sup>1</sup> Briefing given to DoD SAPRO by U.S. Centers for Disease Control and Prevention, November 2013 and CDC website, <http://www.cdc.gov/violenceprevention/sexualviolence/riskprotectivefactors.html>

## Appendix D: References

Reference
2008 Department of Defense Sexual Assault Prevention Strategy
Strategic Direction to the Joint Force on Sexual Assault Prevention and Response, May 2012
2013 Department of Defense Sexual Assault Prevention and Response Strategic Plan
Workplace and Gender Relations Survey of Active Duty Members (WGRA), Defense Manpower Data Center (DMDC), 15 March 2013
Department of Defense Annual Report on Sexual Assault in the Military, Fiscal Year 2012, 9 May 2013
Department of Defense Instruction (Sexual Assault Prevention and Response (SAPR) Program Procedures) 6495.02, 28 March 2013

## Appendix E: Definitions

**Arizona Safer Bars Alliance.** A statewide comprehensive bystander intervention training program designed for alcohol-serving establishments. Bar managers, bouncers, and servers are trained to identify and stop predatory or sexually aggressive behaviors associated with sexual assault. This program is currently used in Arizona and 16 other states.

**Bystander intervention.** *The willingness to safely take action and help someone in time of need.*

**Center of Gravity.** The source of power that provides moral or physical strength, freedom of action, or will to act.

**Continuum of Harm.** In the context of sexual violence, the continuum of harm refers to inappropriate actions, such as sexist jokes, hazing, cyber bullying, that are used before or after the assault and or supports an environment which tolerates these actions.

**Consent.** A freely given agreement to the conduct at issue by a competent person. An expression of lack of consent through words or conduct means there is no consent. Lack of verbal or physical resistance or submission resulting from the use of force, threat of force, or placing another person in fear does not constitute consent. A current or previous dating or social or sexual relationship by itself or the manner of dress of the person involved with the accused in the conduct at issue shall not constitute consent. A sleeping, unconscious, or incompetent person cannot consent.

**Healthy relationships.** A healthy functional intimate relationship that is based on equality and respect, not power and control.

**Intervention.** A deliberate process by which change is introduced into peoples' thoughts, feelings and behaviors.

**Sexual assault.** Intentional sexual contact characterized by the use of force, threats, intimidation, or abuse of authority or when the victim does not or cannot consent. As used in this strategy, the term includes a broad category of sexual offenses consisting of the following specific UCMJ offenses: rape, sexual assault, aggravated sexual contact, abusive sexual contact, forcible sodomy (forced oral or anal sex), or attempts to commit these offenses.

**Sexual violence.** CDC defines sexual violence (SV) as any sexual act that is perpetrated against someone's will. SV encompasses a range of offenses, including a completed nonconsensual sex act (i.e., rape), an attempted nonconsensual sex act, abusive sexual contact (i.e., unwanted touching), and non-contact sexual abuse (e.g., threatened sexual violence, exhibitionism, verbal sexual harassment). These four types are defined in more detail below. All types involve victims who do not consent, or who are unable to consent or refuse to allow the act.

- **A completed sex act** is defined as contact between the penis and the vulva or the penis and the anus involving penetration, however slight; contact between the mouth and penis, vulva, or anus; or penetration of the anal or genital opening of another person by a hand, finger, or other object.
- **An attempted (but not completed) sex act**

- **Abusive sexual contact** is defined as intentional touching, either directly or through the clothing, of the genitalia, anus, groin, breast, inner thigh, or buttocks of any person without his or her consent, or of a person who is unable to consent or refuse.
- **Non-contact sexual abuse** does not include physical contact of a sexual nature between the perpetrator and the victim. It includes acts such as voyeurism; intentional exposure of an individual to exhibitionism; unwanted exposure to pornography; verbal or behavioral sexual harassment; threats of sexual violence to accomplish some other end; or taking nude photographs of a sexual nature of another person without his or her consent or knowledge, or of a person who is unable to consent or refuse.

**Social influencers.** Influential members of a community, group, or society to whom others turn for advice, opinions, and views.

**Unwanted sexual contact.** The survey term for the contact sex crimes between adults that constitute sexual assault under military law. These crimes range from non-penetrating crimes such as groping, to penetrating crimes such as rape.

**Victim empathy.** The cognitive and emotional understanding of the experience of the victim.