

DEFENSE ADVISORY COMMITTEE ON DIVERSITY AND INCLUSION (DACODAI)

Biannual Business Meeting Minutes May 2-3, 2024

The Defense Advisory Committee on Diversity and Inclusion (DACODAI) held a biannual business meeting (BBM) on May 2-3, 2024. The meeting occurred via Zoom Government Webinar Video Teleconference.

May 2 Opening Remarks

The Executive Director and Designated Federal Officer (DFO), Ms. Shirley S. Raguindin, opened the meeting and reviewed the objective and scope of the DACODAI and the governance structure that oversees the Committee. Ms. Raguindin reminded those in attendance that any comments made during the meeting by Committee members are their personal opinions and do not reflect a DACODAI, Department of Defense (DoD), or Military Services position. Ms. Raguindin then reviewed the agenda and turned the meeting over to the DACODAI Chair, General (Ret.) Lester L. Lyles.

General (Ret.) Lyles welcomed everyone to the DACODAI May 2024 biannual business meeting and expressed gratitude to the committee members and the public for their attendance. He reiterated the committee's unwavering commitment to diversity and inclusion, a cornerstone of our values and mission. He acknowledged the committee's commitment to hearing and considering all thoughts and concerns related to maintaining a strong and effective U.S. military. He emphasized the committee's dedication to creating a mission-focused, merit-based environment where all individuals are treated with dignity and respect and given equal opportunity. Merit and meritocracy are vital and will always be for a successful military. The committee is fully aligned with Department of Defense policies and procedures.

Gen. (Ret.) Lyles expressed his appreciation to the Military Departments, Office of the Secretary of Defense, stakeholders, committee members, and DACODAI Executive staff for their hard work and commitment throughout 2023. Their dedication led to the successful completion of the committee's inaugural report, which was submitted to the Secretary of Defense in March 2024. The report is available on the DACODAI website.

Overview of Public Comment Submissions

The DACODAI staff reported receiving 26 written comments from the public. Gen. (Ret.) Lyles encouraged members of the public to provide written comments for future meetings.

Briefing: Center for Naval Analysis (CNA) Exploring Racial, Ethnic, and Gender Disparities in the Military Justice System (TAB A)

Dr. Elizabeth Clelan, Research Program Director, Navy Human Resources Program, Center for Naval Analysis (CNA), presented this briefing.

Dr. Clelan briefed that the study was conducted for the Office for Diversity, Equity, and Inclusion (ODEI) within the Office of the Under Secretary of Defense for Personnel and Readiness (OUSDP&R) to address the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2020 tasking:

Task 1: Establish criteria to determine when and how racial, ethnic, or gender (REG) disparities in the military justice system (MJS) should be reviewed and describe how such a review should be conducted.

Task 2: Conduct an evaluation to identify the causes of REG disparities identified in the MJS and take steps to address the causes of such disparities.

Find CNA's Analysis, Findings, and Recommendations in its report, "Exploring Racial, Ethnic, and Gender Disparities in the Military Justice System", which is available at <https://www.cna.org/reports/2023/06/exploring-racial-ethnic-and-gender-disparities-in-the-military-justice-system>

Questions

Gen (Ret.) Lyles asked if Congress has responded to the process and data analysis used to conduct this study, and its recommendations.

- Dr. Clelan replied that CNA has not heard back from Congress, but the sponsoring office, ODEI within OUSDP&R, provided a submission to the Hill.

Gen. (Ret.) Lyles asked if the Services had responded to the study's conclusion or how they would adhere to the recommendations.

- Dr. Clelan stated that to her knowledge no Military Service has responded, nor was she sure of whether OUSDP&R has received a response. But the report is publicly available.

Action Item: Gen. (Ret.) Lyles stated that the DACODAI team will request a follow-up for two reasons: (1) it concerns the military justice system, and (2) to gather the thoughts of the various Military Services regarding the CNA report and its recommendations.

Col (Ret.) Lisa Carrington Firmin asked if an analysis has been conducted to determine whether an individual is in more than one category of REG (e.g., African American and Latina).

- Dr. Clelan responded that she did not believe interaction terms were included in the CNA model, but controls were in place that correlated the Service member's race, female or Hispanic as an example. But coefficients for black/females white/males were not available for this study.

Dr. Celia Szelwach asked what meaning the group could take away from the importance of where existing discretion in the system could lead to the possibility of bias.

- Dr. Clelan stated that bias could not be one hundred percent identified in administrative data. The concern is with individuals entering at higher rates and being found guilty at lower rates.

MG (Ret.) Byron S. Bagby asked how we can gather and track empirical data to better assess level-one incident processing.

- Dr. Clelan remarked on the challenge of measuring discretion in this study and locating where it was most likely to take place, and as a result, a comparison of the full population was completed. She mentioned the systems and the individuals entering the data would need to be resourced appropriately.

Gen. (Ret.) Lyles expressed his appreciation to Dr. Clelan and her team for the hard work they put into conducting a thorough analysis of this study.

Briefing: Office of Force Resiliency, Violence Prevention Cell, and Office of People Analytics – Command Climate Assessment and the Defense Organizational Climate Survey (TAB B)

This briefing was presented by Dr. Rachel Lipari, Acting Division Director, Health Resilience Research Division, and Dr. Rachel Clare, Evaluation Specialist, Office of Force Resiliency.

Dr. Lipari introduced the Office of People Analytics (OPA). OPA was established in 2016 for the Department of Defense (DoD) community. OPA was tasked with advancing Command Climate research by:

- Expanding the OPA Defense Climate Portal (DCP)
- Enhancing Defense Organizational Climate Survey (DEOCS) System
- Developing and launching two additional tools:
 - Defense Organizational Climate Pulse (DOCP) Survey System
 - Comprehensive Integrated Primary Prevention (CIPP) Plan System

Dr. Clare provided an overview of the Office of Force Resiliency (OFR), Violence Prevention Cell (VPC):

- This program uses integrated primary prevention to prevent multiple harmful behaviors, including sexual assault, harassment, domestic abuse, child abuse, and suicide.
 - Focuses on shared risk and protective factors.
 - Fosters healthier command climates and promote well-being, leading to enhanced readiness and mission execution.
- VPC was established in 2020 to advance integrated primary prevention efforts for the Department.
- Policy and oversight for Command Climate Assessments.
 - Department of Defense Instruction (DoDI) 6400.11, “DoD Integrated Primary Prevention Policy for Prevention Workforce and Leaders”

Dr. Lipari provided an overview of where the DEOCS fits into the Command Climate Cycle processes

DEOCS Survey Structure:

- Designed to be user-friendly for survey administrators and survey takers
- Survey is mobile-optimized, and does not require a CAC
- Typically, fields for four weeks
- Roster represents a census of individuals in a unit
 - Includes each unit member’s first and last name and at least one additional piece of information
 - Roster must have at least fifty members in a unit

- Within two weeks of the DEOCS closing, survey admin, commander, and commander's supervisor receive an email with instruction for accessing results
 - Must have 16 participants complete at least 50% of their survey to receive results

DEOCS Factors:

- Measures 19 protective and risk factors associated with outcomes prioritized by the DoD
 - Serve as early-warning indicators for one or more outcome of strategic importance: racial harassment/discrimination, sexual assault, sexual harassment, suicide, reduced retention, and reduced readiness
 - Protective Factors: Cohesion, connectedness, engagement and commitment, fairness, inclusion, Leadership Support (immediate Supervisor), moral, safe storage, transformational Leadership (Commander and Senior NCO/SEL), work/life balance
 - Risk Factors: Binge Drinking, alcohol impairing memory, passive Leadership (Commander and Senior NCO/SEL), racial/ethnic harassing behaviors, sexual harassing behaviors, sexist behaviors, stress, toxic Leadership (immediate Supervisor and Senior NCO/SEL), workplace hostility

Dr. Lipari provided a summary of the Annual Fielding Window (AFW) Overview for the 2023 DEOCS

Dr. Clare briefed the Committee on the CCA, which discussed the CIPP plans providing details on the community's integrated prevention needs and targeted actions to address those needs.

Dr. Lipari provided an overview of the DOCP survey structure and noted its similarity to the DEOCS. The survey should take less than 10 minutes to complete and cover the topics that the commander wants to address. If topics are not covered, they can be submitted for approval and, once approved, added to the list of options.

Questions

Maj Gen (Ret.) James C. Johnson asked whether the department has rigorous requirements in place that leaders can use to help build their confidence in their leadership abilities and for accountability measures.

- Dr. Clare responded by stating that DoDI 6400.11 outlines the learning objectives related to integrated primary prevention, which must be incorporated into an individual's Professional Military Education.

Maj Gen (Ret.) Johnson asked whether measures are in place within the Services to increase the take rate.

- Dr. Lipari responded by stating that OPA takes measures to improve participation, including reducing barriers and increasing the visibility of DEOCS and how the results are processed and distributed to the commands.

Gen. (Ret.) Lyles asked whether a process exists for gathering additional results from various DEOCS, such as lessons learned that could be shared, outside of what is provided to the commander and units.

- Dr. Clare stated they leverage DEOCS in several ways and at different levels. She mentioned that in terms of the field, the option is available for multiple DEOCS to combine with another year or unit for a broader look. Last year an aggregation of all DEOCS was published at OPA.mil and is available for analysis.

Gen. (Ret.) Lyles asked if any of the Services or individuals provided any indicators or recommendations for increasing the take rate to over 40%.

- Dr. Clare stated that in 2022, studies were conducted at the Service Academies to study how they incorporated the use of the DEOCS. The results indicated that where commanders displayed more visibility, participants participated more. She mentioned that templates were made available for dissemination that provided directions on how to reach Service members.

Ms. Shirley S. Raguindin inquired about what success looks like from an OPA perspective in terms of DEOCS.

- Dr. Clare pointed out that once the analysis is completed on three of the six research topics, the outcome measures would be reviewed and analyzed. The success of the DEOCS would show a correlation between improved numbers and behaviors. At the local level, the climate and factor estimates will improve. Commanders should collect performance metrics from the prior year's DEOCS to assess their current state.
- Dr. Lipari indicated that from the CCA perspective, overall compliance is a determining factor of success. Success is measured in the response rates, an increase in overall completions, and ensuring the survey is being offered for completion.

Dr. Celia Szelwach inquired when the pulse survey was made available.

- Dr. Clare stated that it was launched on Feb 1, 2024.

Dr. Celia Szelwach asked, with the survey being voluntary, what is expected as far as usage of the pulse survey.

- Dr. Lipari answered that the survey was conducted voluntarily instead of being a requirement and it is not meant to be punitive. The survey should be used by commanders as a tool for issue identification and/or resolution.

Action item: Dr. Lipari will follow up for Gen. (Ret.) Lyles on any disparities between organizations that utilize the DEOCS and those that do not and whether findings show any difference between war-fighting and support organizations.

Gen. (Ret.) Lyles thanked both Dr. Lipari, and Dr. Clare for a thorough and informative presentation.

Briefing: DoD Talent Management Briefing TAB C

Mr. Bryant Parmeter, Chief Talent Management Officer, OUSD(P&R), was unavailable to present. He will provide a briefing for DoD Talent Management at the next DACODAI meeting.

Closing Remarks

Gen. (Ret.) Lyles provided closing remarks.

Ms. Raguindin closed the meeting.

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Gen. (Ret.) Lyles welcomed everyone to the DACODAI May 2024 biannual business meeting and thanked the members of the committee and the public for their attendance. He acknowledged the committee values thoughts and concerns as they relate to the maintenance of a strong and lethal U.S. military. He emphasized that the committee is committed to achieving a mission focused, merit-based environment where all individuals are treated with dignity, respect and afforded equal opportunity. He added that the committee shares the concerns of those submitted and the committee is fully aligned with the department policies and procedures.

Gen. (Ret.) Lyles stated DACODAI's mission is to provide recommendations to the Secretary of Defense, enhance diversity and inclusion, and ensure equal opportunity to all service members. Merit and meritocracy are important and will always be for a successful military organization. He stated that all comments received are uploaded and are available for viewing on the website.

Gen. (Ret.) Lyles expressed his appreciation for the military departments, Office of the Under Secretary of State Stakeholders, committee members and DACODAI Executive staff for their hard work and commitment throughout the year 2023. He stated because of their hard work and dedication the production of the first report was manifested. The report includes nine well-reasoned recommendations in alignment with meritocracy for the highest military readiness. This report was submitted to the Secretary of Defense in March 2024 and is available on the DACODAI website.

Briefing: Central Intelligence Agency (CIA) Strategy (TAB D)

This briefing was presented by Mr. Jerry Laurienti, Chief Diversity and Inclusion Officer, CIA

Mr. Laurienti briefed that the CIA Diversity, Equity, Inclusion, and Accessibility (DEIA) office exists to enable missions. He discussed the CIA's path to its DEIA development and where it stands today. He briefed on the CIA's External Engagement, Stakeholder Offsites, Strategy Talks and Review of Existing Data.

Mr. Laurienti also provided an overview of themes the workforce identified as important feedback to include as a part of the CIA DEIA path plan.

Mr. Laurienti discussed the five key objective categories for the New DEIA Strategy for 2024–2027, which incorporates the previous D&I Strategy for 2020–2023 key objectives. This strategy is available to the public via a Google search of: “DEIA and CIA”

- Key Objective 1– Equitable DEIA Structure and Resources
- Key Objective 2 – Workforce Investment
- Key Objective 3 – Equitable and Inclusive Processes/Procedures
- Key Objective 4 – Accountability
- Key Objective 5 – Continued Agency Education and Development

Gen. (Ret.) Lyles thanked Mr. Laurienti for his extremely insightful and informative presentation.

Questions

Gen. (Ret.) Lyles asked whether collecting feedback on a yearly basis is a part of the CIA’s normal process.

- Mr. Laurienti stated that most of the Federal Government uses the Employment Climate Survey to conduct a yearly assessment and collect feedback from its workforce; however, within the CIA, the survey is tailored, and managers collect the surveys from their direct reports.

Maj Gen (Ret.) James C. Johnson asked how the CIA develops its leaders to ensure they have the competency to lead with a DEIA mindset.

- Mr. Laurienti stated the CIA has required training for leaders at different levels, such as first line Supervisor Training, GS-15 level training, and Senior Intelligence Service training. DEIA segments are included in the training for either of the leadership paths taken.
-

Maj Gen Johnson asked how leaders are held accountable for the CIA’s DEIA Strategy.

- Mr. Laurienti indicated that an individual seeking to be promoted to a leadership position must appear before a leadership panel that includes the CIA’s Head of Talent, and Directorate Heads, along with himself. The individual must meet mission performance benchmarks, have a corporate give-back mindset, and display positive DEIA metrics.

Col (Ret.) Lisa Carrington Firmin asked which CIA program has been most impactful and mission readiness focused.

- Mr. Laurienti replied that the Directors Advisory Group on Women in Leadership had been the most impactful for him. The program lasted for seven years and aimed to achieve various objectives, such as implementation and reporting to the Deputy Director and each Directorate Lead. As a result of this reporting, communication on overall performance was shared with the entire workforce. He noted that the number of women in leadership roles increased by 10%.
- Mr. Laurienti stated that mission readiness global success could not be attained in a male-dominated environment. He mentioned that having female leaders and operators in the forefront has proved successful in relation to a plan-destined approach.

Dr. Celia Szelwach asked for some lessons learned from the hard truths that could benefit organizations that might have less experience with the DEIA.

- Mr. Laurienti stated that managing disunity of command will help focus on solutions to the challenging areas that need to be addressed. He also mentioned that maintaining accountability appropriately and having a routine in place cultivates an environment where diversity in leadership and DEIA would thrive. Finally, Mr. Laurienti said that having a single unifying document and objectives that everyone implements to achieve the same intent would prove beneficial to the Services.

Professor Thomas Lee asked to what extent a mission that focuses on diversity is driven by a member feeling included and what impact it would yield on performance output.

- Mr. Laurienti stated that the CIA aims for all officers to have a sense of belonging in order for them to thrive in the mission environment. Leveraging belonging along with diversity efforts helps achieve mission success.

Gen.(Ret) Lyles, asked how the CIA defines equity, as some organizations are not in favor of having everyone equal.

- Mr. Laurienti stated that equity is about having a structured process in place within the CIA. He mentioned that equity is an equal environment where favoritism does not exist for a particular group or subset of groups while adhering to quality standards.

Gen. (Ret) Lyles reiterated his thanks to Mr. Laurienti for his detailed presentation and for the input he provided during the discussion.

Briefing: Rand Studies: (TAB E)

- (1) Impact of Eligibility and Propensity to Serve on Demographic Representation in the Department of the Air Force
- (2) Envisioning a New Racial Grievance Reporting and Redress System for the U.S. Military Focused Analysis on the Department of the Air Force

Briefing: Impact of Eligibility and Propensity to Serve on Demographic Representation in the Department of the Air Force:

Dr. Lou Moriano, Senior Statistician at RAND, briefed the committee on how eligibility requirements and willingness to serve affect demographic diversity within the Department of the Air Force (DAF). FY 2020 accession totals were compared with three different population benchmarks to provide context for demographic representation.

In addition, Dr. Mariano discussed how the DAF's internal advancement structure makes accession an important factor to consider for promoting diversity. He explained that a lack of diversity during accession can hinder diversity at higher ranks within the DAF. The study FY 2020 analyzed racial/ethnic and gender diversity by examining the different sources of accession: enlistment, the United States Air Force Academy, the Reserve Officer Training Corps, and the Officer Training School.

Briefing: Envisioning a New Racial Grievance Reporting and Redress System for the U.S. Military Focused Analysis on the Department of the Air Force

This briefing was presented by Dr. Dwayne Butler, Senior Management Scientist, Professor of Policy Analyses, Pardee RAND Graduate School

Dr. Butler provided the Committee with an overview of the context, process, and content of the study. He discussed the foundations of the study, including the relevance of history and the ongoing need for a Military Equal Opportunity Program. He emphasized that while a commander-centric approach is suitable in many situations, it is essential to provide commanders with the necessary tools and operating guidelines for success. Additionally, he stressed the importance of oversight when commanders contribute to problems.

Questions

Maj Gen Johnson asked Dr. Mariano about trends he discovered while conducting his 2020 assessment study.

- Dr. Mariano replied that the study focused on race, ethnicity, and gender, and there was not much difference from the previous study. He declared that the barriers were more closely researched in this recent study than in the previous study, which was conducted ten years ago; however, the Air Force now conducts a study annually.

Gen. (Ret) Lyles asked about language skills and whether English as a second language was considered a barrier.

- Dr. Mariano replied that language was not initially considered a barrier in the previous study, but it could potentially be a challenge and affect the test scores of individuals who speak English as a second language.

Lt Col. (Ret.) Alfredo Sandoval asked if any senior Hispanic leaders, officials, or statisticians were part of RAND.

- Dr. Butler replied that Hispanic leadership within RAND is underrepresented. Dr. Mariano joined in and stated he wasn't aware until recently that an individual he worked with was Hispanic, as she did not speak about her ethnicity. Lt. Col. Sandoval stated that if Hispanic individuals are not talking about their background, there is a reason and indicated that this should be looked at more closely. Dr. Butler stated that he wrote a perspective on the topic of increasing Hispanic leadership diversity, and this topic is being looked at.

Prof. Lee questioned what goes into the propensity to serve.

- Dr. Mariano said a "Modern in the Future" survey system is used, which asks questions regarding the plan to serve in the military.

Prof. Lee asked whether a study had been conducted to address command processes that favor minorities.

- Dr. Butler replied that the system does not have a preference for who files a grievance but mentioned that it is worth researching to determine if there is an increase in Whites now filing grievances on the premise of reverse discrimination.

Gen. (Ret) Lyles asked whether the results of both RAND studies aligned with the different Services of the U.S. military.

- Dr. Butler said that for the Army, the management of selections has improved significantly, and the process is now multi-dimensional.
 - **Action item:** Gen. (Ret) Lyles stated that the DACODAI subcommittees should continue to investigate further how aligned the different military Services are with both RAND studies.

- Dr. Mariano stated if all the Services pull recruits from the same population, then if one Service required an aptitude test, it should be a requirement for the other Services too. This could serve as a barrier across the Services.

Gen. (Ret) Lyles thanked both Dr. Mariano and Dr. Butler for their presentations and the insights they provided.

Briefing: DoD Inspector General (DoDIG) Military Leadership Diversity Commission (MLDC) Recap of Military Service Component's Progress (TAB F)

This briefing was presented by Mr. Michael Guagliano, Supervisory Follow-up Analyst, DoDIG.

Mr. Guagliano briefed the Committee on the follow-up process for the DoDIG and the status of DoDIG report no. DoDIG-2022-144 and the Department's progress toward implementing the MLDC recommendations. In addition he:

- Reviewed the DoDIG Organization Structure and pointed out updates to it.
- Discussed the role of the report follow-up.

Questions

Gen. (Ret.) Lyles and Dr. Nelson Lim (RAND) pointed out some inconsistencies in the information presented and asked if members of DACODAI could meet with Mr. Guagliano or additional IG leadership to cross-check the different recommendations to ensure everyone is on the same page and to confirm the implementation of recommendations.

Gen. (Ret) Lyles thanked Mr. Guagliano for the presentation

Action item: Ms. Raguindin will facilitate a discussion between Mr. Guagliano and Dr. Nelson Lim to provide follow-up actions and schedule a possible meeting.

- Gen. Lyles confirmed that in the spirit of transparency, the public would be notified of the fact-finding results, either by publishing on the DACODAI website or through a public meeting notice.

Overview of Public Comment Submissions

Ms. Raguindin reported that 26 written comments had been received and stated that all the comments are posted on the DACODAI website for viewing.

Closing Remarks

Gen. (Ret.) Lyles thanked everyone for attending and offered closing remarks. He encouraged the public to participate in the next meeting and stay updated with DACODAI and its progress via the website.

Ms. Raguindin closed the meeting.

The meeting was adjourned.

Action Items:

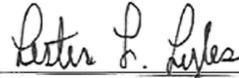
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2. Action item: Dr. Lipari will follow up for Gen. (Ret.) Lyles on any disparities between organizations that utilize the DEOCS and those that do not and whether findings show any difference between war-fighting and support organizations.
3. Action item: Gen. (Ret) Lyles stated that the DACODAI subcommittees should continue to investigate further how aligned the different military Services are with both RAND studies.
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Report Submitted by:

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Date: 2024.07.11 13:23:00 -0400

Ms. Shirley S. Raguindin
DACODAI Executive Director & Designated
Federal Officer



General (Ret.) Lester L. Lyles
DACODAI Chair

DACODAI Members in Attendance:

MG (Ret.) Byron S. Bagby, USA
FLTCM (Ret.) April D. Beldo-Lilley, USN
Gen. (Ret.) Vincent K. Brooks, USA
Col (Ret.) Lisa Carrington Firmin, USAF
Mr. Phillip E. Carter, J.D.
BG (Ret.) Lawrence E. Gillespie, NGB
SGM (Ret.) Gregory B. Jenkins, USA
Maj Gen (Ret.) James C. Johnson, USAF
Col (Ret.) Walter K. Kaneakua, USAF
Ms. Kristen Kavanaugh, DACODAI Vice Chair
Professor Thomas H. Lee, J.D.
Dr. Nelson Lim, Ph.D.
Dr. Jeffrey D. Means, Ph.D
Lt Col (Ret.) Alfredo A. Sandoval, USAF
Dr. Celia Renteria Szelwach, D.B.A

DACODAI Members Absent:

DACODAI Executive Staff in Attendance:

Ms. Shirley S. Raguindin
Ms. Raquel L. Ramos
Ms. Loretta N. Bryant
Ms. Victoria Mayo
Ms. Victoria J. Hardin
Ms. Megan Angevine
Ms. Alina Dragan
Ms. Samantha Zinnerman
Mr. Gerod Washington
Joseph Bihary
SSG Duane Venticinque
SSG Nathan Lacey

DACODAI Liaisons & Public Attendees:

Ms. Maricella Garcia, USCG
Ms. Melissa Purdy, USCG
Dr. Daniel Rodarte, NGB
Dr. Elizabeth Clelan, CNA
Dr. Rachel Clare, Office of Force Resiliency
Dr. Rachel Lipari, Office of People Analytics
Mr. Jerry Laurienti, CIA
Dr. Lou Mariano, RAND
Dr. Dwayne Butler, Pardee RAND Graduate School
Mr. Michael Guagliano, DoDIG
Mary Karabin
Jeremy Bender
Carol DiBattiste
Julie Kelly
Elizabeth Stewart
Anselm Beach
Ron Olds
Col Marcus Jackson, USSF
Emily Dreiling USSF
Alfrita Jones, USMC
B Crane
Nathan Dennen
Dr. Jessica Milam, USN
Catherine Schneider, DoDIG
Dr. Joseph Looney, USAFA
Victoria Bowens, OSD/ODEI
Joear Buckle
Pamela Rich
Mary Karabi
Kitty Ellis
Kevin Biro
Mason J Young
W. B.
Mike Forsyth
Will Rodriguez
Sam Thiessen
Paul Crespo
Theodore Croy
Joseph Medina
Richard Kline
Robert Gendler
Dan Schellinger (Colonel, USAF, Ret)
Cynthia K
Col. (Ret.) Bill Prince
Lauren Malone
Lisa Silva
Jim Kott
Brent Ramsey

Eric Vogel
Ken Battle Charleston SC
Carol DiBattiste
Stan Rosen
Amy Williams
Cindy Mission
Herman Bulls
Jim Koehn
Dan Schellinger (Colonel, USAF, Ret)
C. Childs
John Brockman
Ron Scott
Thomas More
Paul Armstrong
Darrel Whitcomb
James Brooks
Steve Wallingford
Andy Soldo
Greg Wyman
Robert Nobles
Chris Frawley
Kevin Biro
Jim Carlson
Jordan Karr
Fred Rice
Charles McCorkle
J. Hvanvliet
Tom Fleming
Stan Rosen
Dale Thorp
Alfredo Vinxav
Bob Mangin
Henry Hungerbeeler, Col, USAF(Ret)
Colleen Roberts
Dan B Endoway
Ross Detwiler
Lisa Keepharmon
Lisa Silva
Jay Willis
Larry Purdy
Dan Schellinger (Colonel, USAF, Ret)
Michael Hunter
Woody Woodruff
Richard Bradford
Michael Gollins
Ted Macie
Scott Register
Jose Milan
Maj Gen Ed Sauley

Sally Jones-McNamara
Bob Munsch
Brad Miller
Gretal Kinney, CDR
Marc Van Ells
Jim Murphy
Deb Johnson
Jordan Karr
Huxley Madeheim
Jeffrey Ames
Jerry Rovner
Lisa Bombardier
Steve Lowe
Mark Mangiacarne, Major USAF-(Ret)
Charles McCorkle
Stephan Hanvey
Rob Piker
Chance Harridge
John Frankman
George Greenlee
Bruce Ritter
Mike Redwing
David Buzzard
David M. Dubay
Micaela Burrow, Daily Caller News Foundation
Steve Sop
Jesussah Olver
Mark Smith
Keith Sime
Ben Herring
Jack Swonson
Kathy Flying
Barry Crane
Scott Sturman
Bill Marvel
Col Rob Maness, USAF (Ret.)
Zeke Wimert
Grant Lannon
Greg Rosie
Garth Whitacre
Al Abca
Nicki Nelson
Kerri Grimes, DoD
Jim Wineland
John Vereb
Phil White

Mike Worden
Ronald Smith
Colin Aamot
W. Whitlock
Greg Norman
Kevin Bailey
J. Hoppe
Dale Shipley
Larry Purdy
Dickson Cider
Tom Clark
Eric Flowers
Stan Rosen
Jesse Lizard
Rob Bishop
Duane Mosher
John Van Vliet
Lt Col Roxanna Figueroa, SAF/MRF
Craig O'Connor
Heinz Wally
Claude Valliere
Jomar Scales
MAJ Robert Lindsey
Kenneth Battle
Aubrey Hilbert
Danny Brescia
Maricela Garcia
Michael Rose
Madison Scott
Matthew Fisher
Kirsten Dezeeuw
Ben Clark
Lester Gabriel
Lu Wang
Slade Brown
M. Reichiowa
Zachary Gitlin
Adrienne Joe
W. Whitlock
Ghiwa Lamah
Anne Hansen
Steven Mazur
Karina Luis
Jim Hunt
Robert Decker

TAB A

Exploring Racial, Ethnic, and Gender Disparities in the Military Justice System

DACODAI Briefing

Elizabeth Clelan, Amanda Kraus, Dan Leeds, Sarah Wilson, and
Heather Wolters

2 May 2024



Outline

- FY 2020 NDAA tasking and research questions
 - Task 1: Establish criteria to determine when and how racial, ethnic, or gender (REG) disparities in the military justice system (MJS) should be reviewed
 - Task 2: Conduct an evaluation to identify the causes of REG disparities identified in the MJS and take steps to address the causes of any such disparities
- Task 1 findings and recommendations
- Task 2 analytical framework
- Task 2 findings
- Task 2 recommendations
- Summary
- Backup

FY2020 NDAA tasking and research questions

NDAA Tasking

1. Establish criteria to determine when racial, ethnic, or gender (REG) disparities in the military justice process should be reviewed and describe how such a review should be conducted



Study questions

- a. What data elements should be tracked, and what disparity indicators should DOD use to monitor trends in MJS outcomes?

2. Conduct an evaluation to identify the causes of REG disparities identified in the military justice system (MJS) and take steps to address the causes of any such disparities



- b. How much of the required data currently exist and to what extent are they standardized across the services?
- c. Do the existing MJS data reveal differences in military justice outcomes by REG?
- d. Can we identify any specific factors (including bias) that are associated to observed outcome disparities?

FY20 NDAA Task 1 findings

The policy problem: real & perceived bias

- To be effective, the MJS must not only be fair, but also be perceived as fair
- There are persistent perceptions among key audiences that the MJS is not fair and that it is subject to REG bias
- Bias enters the MJS via discretionary decisions made at the institutional and individual levels

The analysis problem: bias cannot be objectively observed

- Bias cannot be directly measured with administrative data
- Outcome disparities are imperfect proxies because MJS outcomes have many determinants
- There are no scientifically or legally accepted criteria to say when a disparity indicates bias

Analytical solutions: useful frameworks, methods, & structures exist

- Efforts to identify and address racial bias in the civilian justice system provide a clear and rigorous analytical road map for the MJS
- Current MJS reporting requirements provide a feasible and appropriate analytical schedule

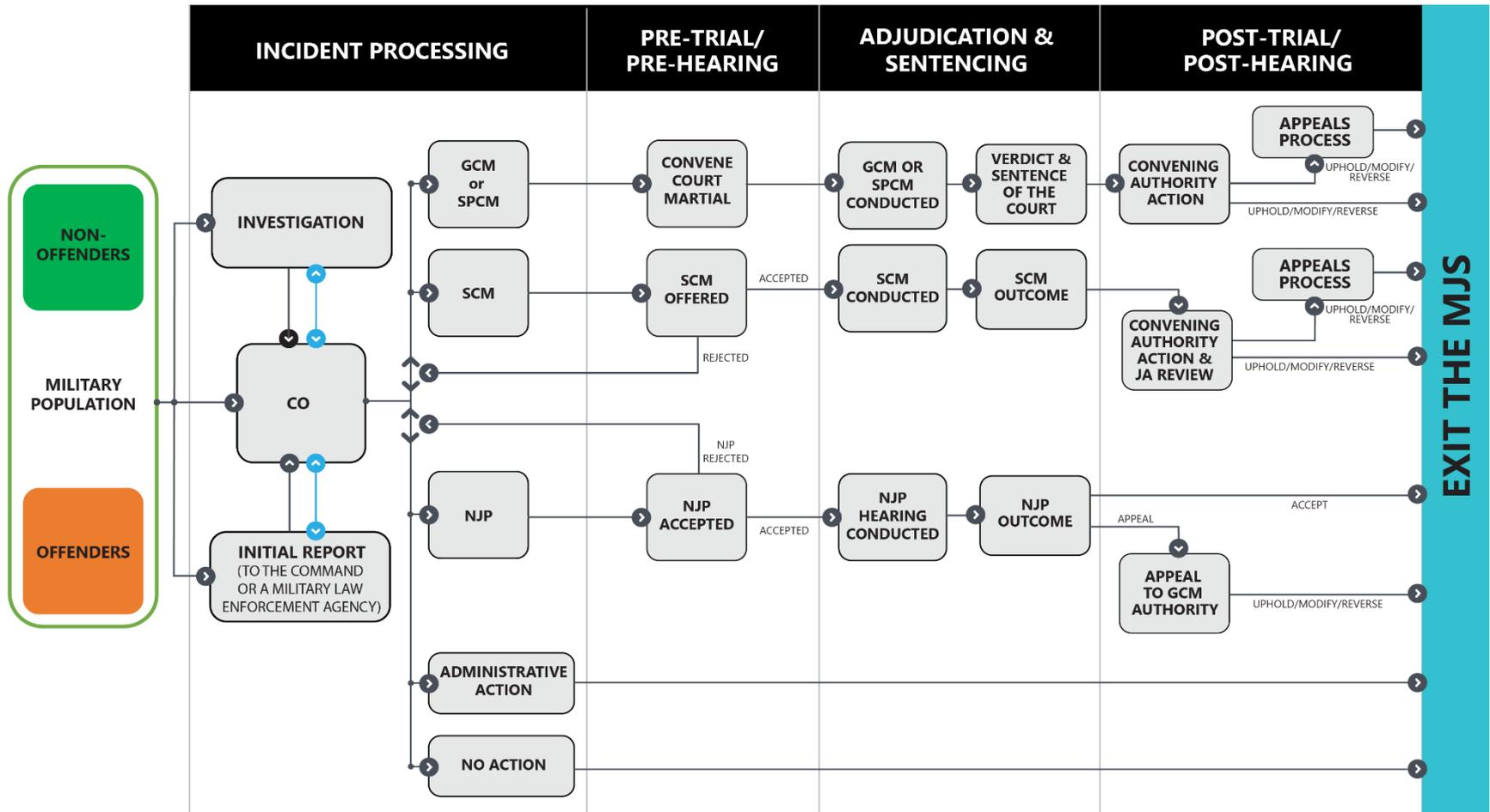
Task 1 recommendation

- Use the following 6-step **iterative** process to conduct **ongoing** assessments on set schedules to detect and address outcome disparities before they become widespread or persistent:

- Step 1.** Work with internal and external stakeholders (i.e., MJS decision-makers, servicemembers, oversight agencies, and the public) to identify issues of concern, set priorities, and **develop decision-making criteria**
- Step 2.** Create an analysis plan based on the concerns and priorities identified in Step 1
- Step 3.** Collect data on MJS outcomes (including nonjudicial outcomes) and relevant control variables in easy-to-use electronic records management systems and ensure they are regularly updated
- Step 4.** Execute the analysis plan from Step 2 using appropriate quantitative and/or qualitative methods
- Step 5.** Regularly and transparently report assessment results to all the stakeholders as appropriate
- Step 6.** Make policy decisions about how to address REG outcome disparities based on the established priorities and criteria

Guiding framework: How a case flows thru the MJS

➤ *Key features: complex, sequential and conditional; discretionary; segmented*



Notes:

- CO = commanding officer; JA = judge advocate
- NJP = nonjudicial punishment; SCM = summary court-martial; SPCM = special court-martial; GCM = general court-martial

Discretion and bias in the MJS

- **Discretion:** At each point, *individuals* make discretionary decisions based on their own interpretations of *institutionally* set laws, policies, and procedures

INCIDENT PROCESSING	MJS PATH	PRE-HEARING/ PRE-TRIAL	ADJUDICATION & SENTENCING	POST-HEARING/ POST-TRIAL
<p>Anyone subject to the UCMJ:</p> <ul style="list-style-type: none"> • Initial accusation • Preferral of charges <p>Commander:</p> <ul style="list-style-type: none"> • Whether & how to investigate • Initial disposition decision 	NJP	<p>Commander:</p> <ul style="list-style-type: none"> • Alternative disposition if NJP is rejected • Findings on guilt/innocence • Imposition of punishment 		<p>Convening authority:</p> <ul style="list-style-type: none"> • Review findings &/or punishment
	SCM			
	SPCM & GCM	<p>Convening authority:</p> <ul style="list-style-type: none"> • Pre-trial confinement • Assignment of CM judge, trial & defense counsels, & panel • Whether to proceed to CM 	<p>CM Judge:</p> <ul style="list-style-type: none"> • Legal judgements during trial • No panel: Findings & sentence • Panel: sentencing instructions <p>CM panel:</p> <ul style="list-style-type: none"> • Findings • Sentencing 	<p>Various forms of legal review:</p> <ul style="list-style-type: none"> • Convening authority • Judge Advocate General • Appeals courts

- **Bias:**
 - Individual MJS actors may exercise implicit or explicit bias through their individual decision-making discretion
 - Institutional bias may enter via discretionary decisions about what constitutes actionable offenses and how to address them

Method for measuring outcome disparities

- **Objective:** measure REG outcome disparities that isolate the effects of REG from the effects of other factors
- **Primary metric:** odds ratios (ORs) estimated with logistic regression models
- **Definition:** the odds that the outcome will occur for a given variable value divided by the odds that it will occur for a different variable value, holding the other factors constant
 - $OR = 1 \Rightarrow$ no statistical association between REG and the MJS outcome
 \Rightarrow no disparity
 - $OR > 1 \Rightarrow$ a positive association \Rightarrow positive disparity
 - $OR < 1 \Rightarrow$ a negative association \Rightarrow negative disparity
- **REG comparisons:** we calculate the ORs so that they represent the odds of the outcome occurring for
 - Black and other race relative to White
 - Hispanic relative to non-Hispanic
 - Female relative to male

Criteria for evaluating outcome disparities

- Disparities that affect the most people
 - Enlisted
 - NJP outcomes
- The largest disparities

Disparity size & type	OR value range	Significance level
Large positive	OR > 1.5	Less than 10%
Medium positive	1.1 < OR ≤ 1.5	Less than 10%
Small or none	0.9 ≤ OR ≤ 1.1	Greater than 10%
Medium negative	0.5 ≤ OR < 0.9	Less than 10%
Large negative	OR < 0.5	Less than 10%

- Disparities for high- and low-discretion outcomes

Outcome	Low	High
Offense type	Drug- & sex-related	Minor military-specific
Investigation type	Professional LEA	Command
MJS forum	SPCM & GCM	SCM & NJP

Model specifications

- Time period: FY 2014 – 2020
- By service: Estimate models for two types of outcomes captured in data at each successive MJS phase and on each MJS path

Type 1: Unconditional, 1 st observed outcomes	Type 2: Conditional MJS outcomes
<ul style="list-style-type: none"> • Comparison population: All enlisted personnel at the time of the incident/case 	<ul style="list-style-type: none"> • Comparison populations: the sample of individuals who experienced the previous outcome
<ul style="list-style-type: none"> • NJP and CM outcomes were modeled in total and, when possible, by CM and offense type 	<ul style="list-style-type: none"> • When possible, guilty outcomes were modeled by punishment type
<p>Explanatory factors:</p> <ul style="list-style-type: none"> • REG indicators • Fiscal year indicators • Marital and parental status indicators • HOR • Education level • UIC location • Paygrade band and over age status • DOD occupation • Enlistment waiver indicator • Prior CM or NJP indicators 	<p>Explanatory factors:</p> <ul style="list-style-type: none"> • REG indicators • Fiscal year indicators • Marital and parental status indicators • HOR • Education level • UIC location • Paygrade band and over age status • DOD occupation • Enlistment waiver indicator • Prior CM or NJP indicators • Offense type indicators • Offense counts

FY20 NDAA Task 2 findings

Disparity	MJS Phase			
	Incident processing	Pre-hearing/trial	Adjudication & Sentencing	Post-hearing/trial
Race	Gray	Red	Green	Gray
Ethnicity	Green	Green	Green	Gray
Gender	Gold	Gold	Green	Gray
Comparisons:	Race = Black compared to White; Ethnicity = Hispanic compared to non-Hispanic; Gender = women compared to men			
Disparities:	Positive = group of interest more likely to experience outcome; Negative = group of interest less likely to experience outcome			
Color coding:	Gray = unobserved in provided data; Red = positive disparity; Gold = negative disparity; Green = small or insignificant disparity			
Time period:	FY 2014 - 2020			
Populations:	Regular, active duty enlisted personnel in the Air Force, Army, Navy, Marine Corps			

- **Data:** The provided data *did not* allow us to consistently observe and analyze outcomes
 - In the incident processing and the post-hearing/post-trial phases
 - Associated with nonjudicial punishments (NJPs)
 - Across services
- **REG disparities:** We primarily found
 - Positive Black-White disparities in the early phases of the MJS
 - Small and/or insignificant ethnic disparities across most phases of the MJS
 - Negative gender disparities across most phases of the MJS
 - Small, insignificant, or negative REG disparities for guilty courts-martial (CM) findings, conditional on being referred to CM or tried by CM

Example detailed output:

Air Force outcome disparities: Investigation & NJP

Outcome	Outcome type	Black	Hispanic	Female
Incident processing				
Investigated by AFOSI	Unconditional 1 st observed	1.67***	0.96	0.41***
NJP outcomes by MJS phase, offense type, and punishment type				
NJP guilty finding	Unconditional 1 st observed	1.66***	0.85***	0.67***
NJP guilty finding (drug offenses)		2.65***	0.62***	0.55***
NJP guilty finding (sex offenses)		1.69***	1.13	0.19***
NJP guilty finding (other civilian offenses)		1.74***	0.96	0.62***
NJP guilty finding (military-specific offenses)		1.50***	0.86***	0.71***
NJP punishment type (fine)	Conditional MJS	1.02	1.10**	0.95
NJP punishment type (reduction in rank)		0.99	0.83***	0.90
NJP punishment type (restriction)		1.19***	1.19***	0.99
NJP punishment type (reprimand)		0.94	0.97	0.89
NJP punishment type (extra duty)		1.04	1.05	0.77***

Notes:

- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
- Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR = 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
- Bold indicates one of five largest positive disparities.

Example detailed output:

Air Force outcome disparities: CM

Outcome	Outcome type	Black	Hispanic	Female
CM outcomes by MJS phase, CM type, offense type, investigation type, and punishment type				
Tried by CM (total)	Unconditional 1 st observed	1.54***	0.75***	0.32***
Tried by CM (SCM)		2.00***	0.61***	0.57***
Tried by CM (SPCM)		1.36***	0.72***	0.45***
Tried by CM (GCM)		1.60***	0.88	0.08***
Tried by CM (drug offenses)		1.25***	0.61***	0.54***
Tried by CM (sex offenses)		1.56***	0.91	0.03***
Tried by CM (other civilian offenses)		1.61***	0.76***	0.23***
Tried by CM (military-specific offenses)		1.78***	0.72***	0.40***
CM guilty finding		Conditional MJS	0.63***	0.63***
CM guilty finding: Professional investigation	0.63***		0.66***	1.29
CM guilty finding: Command investigation/unknown	0.21*		1.14	0.75
CM punishment type (fine)	0.80**		0.88	1.00
CM punishment type (reduction in rank)	0.82		1.15	0.84
CM punishment type (restriction)	1.29*		0.67*	1.91***
CM punishment type (reprimand)	0.87		1.19	0.86
CM punishment type (confinement)	0.89		0.97	0.84
CM punishment type (discharge)	0.94		1.32*	0.43***
CM punishment type (hard labor)	1.06		1.07	1.05

- Notes:
- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
 - Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
 - Bold indicates one of five largest positive disparities.

Task 2 recommendations for REG disparities

- Seek to address disparities, not bias *per se*: regardless of their causes, disparities can create perceptions of bias and reduce the effectiveness of the MJS
- Begin by studying:
 - How outcomes differ depending on whether the initial investigation is conducted by a professional military law enforcement agency (LEA) or by the command
 - How commanders make their disposition decisions
 - The relative strengths of cases brought against servicemembers from different REG groups
- Support the proper use of discretion across the full range of MJS outcomes
 - Provide relevant tools and training for MJS decision-makers
 - Develop procedures and systems for holding decision-makers accountable

Task 2 recommendations for data & analysis

- General:

- Provide the services with sufficient funding and support to ensure that MJS incident and case data are collected, stored, and made usable for conditional REG disparity analysis at each step in the MJS
- Support service-specific implementation of the 6-step process from Task 1
- Continue efforts to collect complete NJP information

- Specific:

- Include common case control numbers in all MJS data systems so that cases can be followed from investigation through initial disposition to final resolution
- Populate variables related to accused offender characteristics, especially REG, by pulling data from authoritative personnel records
- Define variables to have all potential outcomes or values (e.g., ensure that they have yes, no, and N/A values)
- Use dropdown menus to minimize data error and inconsistency due to hand entry

Summary

- Importance of understanding of where discretion exists in system
- Importance of being able to observe and measure data
- Before data collection begins, need to understand
 - What you are looking for
 - How you are going to measure it
 - How to interpret it
- Disparities that we cannot explain through the variables we can observe and include in our models

Backup: Detailed Service-level results from data analysis

Air Force outcome disparities: Investigation & NJP

Outcome	Outcome type	Black	Hispanic	Female
Incident processing				
Investigated by AFOSI	Unconditional 1 st observed	1.67***	0.96	0.41***
NJP outcomes by MJS phase, offense type, and punishment type				
NJP guilty finding	Unconditional 1 st observed	1.66***	0.85***	0.67***
NJP guilty finding (drug offenses)		2.65***	0.62***	0.55***
NJP guilty finding (sex offenses)		1.69***	1.13	0.19***
NJP guilty finding (other civilian offenses)		1.74***	0.96	0.62***
NJP guilty finding (military-specific offenses)		1.50***	0.86***	0.71***
NJP punishment type (fine)	Conditional MJS	1.02	1.10**	0.95
NJP punishment type (reduction in rank)		0.99	0.83***	0.90
NJP punishment type (restriction)		1.19***	1.19***	0.99
NJP punishment type (reprimand)		0.94	0.97	0.89
NJP punishment type (extra duty)		1.04	1.05	0.77***

Notes:

- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
- Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
- Bold indicates one of five largest positive disparities.

Air Force outcome disparities: CM

Outcome	Outcome type	Black	Hispanic	Female
CM outcomes by MJS phase, CM type, offense type, investigation type, and punishment type				
Tried by CM (total)	Unconditional 1 st observed	1.54***	0.75***	0.32***
Tried by CM (SCM)		2.00***	0.61***	0.57***
Tried by CM (SPCM)		1.36***	0.72***	0.45***
Tried by CM (GCM)		1.60***	0.88	0.08***
Tried by CM (drug offenses)		1.25***	0.61***	0.54***
Tried by CM (sex offenses)		1.56***	0.91	0.03***
Tried by CM (other civilian offenses)		1.61***	0.76***	0.23***
Tried by CM (military-specific offenses)		1.78***	0.72***	0.40***
CM guilty finding		Conditional MJS	0.63***	0.63***
CM guilty finding: Professional investigation	0.63***		0.66***	1.29
CM guilty finding: Command investigation/unknown	0.21*		1.14	0.75
CM punishment type (fine)	0.80**		0.88	1.00
CM punishment type (reduction in rank)	0.82		1.15	0.84
CM punishment type (restriction)	1.29*		0.67*	1.91***
CM punishment type (reprimand)	0.87		1.19	0.86
CM punishment type (confinement)	0.89		0.97	0.84
CM punishment type (discharge)	0.94		1.32*	0.43***
CM punishment type (hard labor)	1.06		1.07	1.05

- Notes:
- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
 - Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
 - Bold indicates one of five largest positive disparities.

Army outcome disparities: Investigation

Outcome	Outcome type	Black	Hispanic	Female
Incident processing—investigations overall and by type				
Investigated (total)	Unconditional 1 st observed	2.02 ^{***}	1.09 ^{***}	0.63 ^{***}
Investigated by CID		1.99 ^{***}	1.11 ^{**}	0.70 ^{***}
Investigated by MPI		2.10^{***}	1.04 [*]	0.47 ^{***}
Joint investigation with external LEA		2.14^{***}	1.18^{***}	0.44 ^{***}

Notes:

- Statistical significance: 1, 5, and 10 percent levels indicated by ^{***}, ^{**}, and ^{*}, respectively.
- Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
- Bold indicates one of five largest positive disparities.

Army outcome disparities: NJP

Outcome	Outcome type	Black	Hispanic	Female
NJP outcomes by MJS phase, offense type, and punishment type				
NJP proceedings (total)	Unconditional 1 st observed	1.70***	0.98**	0.85***
NJP proceedings (drug offenses)		2.15***	0.87***	0.53***
NJP proceedings (sex offenses)		1.74***	1.29***	0.41***
NJP proceedings (other civilian offenses)		1.84***	1.11***	0.72***
NJP proceedings (military-specific offenses)		1.65***	0.97***	0.93***
NJP proceedings (Article 134)		1.35***	1.08***	0.88***
NJP guilty finding	Conditional MJS	0.93*	1.00	0.82***
NJP imposed (fine)		1.03*	1.05**	0.97
NJP imposed (reduction in rank)		0.98	1.03	0.99
NJP imposed (restriction)		0.92***	1.01	0.86***
NJP imposed (reprimand)		0.92	1.10	1.19**
NJP imposed (extra duty)		0.91***	0.98	0.99
NJP imposed (no observed punishment)		0.97	1.02	0.62***
NJP appeal indicated		1.36***	1.01	1.47***
NJP no appeal indicated		0.97**	0.97**	0.93***

Notes:

- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
- Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
- Bold indicates one of five largest positive disparities.

Army outcome disparities: CM

Outcome	Outcome type	Black	Hispanic	Female
CM outcomes by MJS phase, CM type, offense type, and punishment type				
Referred to CM (total)	Unconditional 1 st observed	1.90***	1.14***	0.28***
Referred to CM (SCM)		1.84***	0.91	0.44***
Referred to CM (SPCM)		2.08***	0.99	0.50***
Referred to CM (GCM)		1.85***	1.27***	0.14***
Referred to CM (drug offenses)		1.95***	0.89	0.36***
Referred to CM (sex offenses)		1.95***	1.48***	0.02***
Referred to CM (other civilian offenses)		2.02***	1.04	0.30***
Referred to CM (military-specific offenses)		2.04***	1.04	0.37***
Referred to CM (Article 134)		1.63***	0.91	0.27***
CM guilty finding	Conditional MJS	0.79*	0.96	0.54*
CM punishment type (fine)		1.07	0.99	1.03
CM punishment type (reduction in rank)		0.92	1.02	1.28
CM punishment type (restriction)		1.03	0.98	1.25
CM punishment type (reprimand)		1.37*	0.99	1.80*
CM punishment type (confinement)		0.93	0.86	0.61
CM punishment type (discharge)		0.95	1.03	0.89
CM punishment type (hard labor)		0.76	0.69*	1.24
CM punishment type (no punishment observed)		1.25	1.04	1.09

- Notes:
- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
 - Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
 - Bold indicates one of five largest positive disparities.

Marine Corps outcome disparities: All available

Outcome	Outcome type	Black	Hispanic	Female
Incident processing				
Investigated by NCIS	Unconditional 1 st observed	1.98***	1.06*	0.45***
NJP outcome				
NJP guilty finding	Unconditional 1 st observed	1.54***	1.05***	0.81***
CM outcomes by MJS phase, CM type, offense type, and punishment type				
CM case opened (total)	Unconditional 1 st observed	1.82***	1.01	0.49***
CM case opened (SCM)		1.36***	0.83*	0.38***
CM case opened (SPCM)		2.03***	1.03	0.65***
CM case opened (GCM)		1.76***	1.26***	0.12***
CM case opened (drug offenses)		2.09***	0.78**	0.56*
CM case opened (sex offenses)		1.56***	1.28*	0.07***
CM case opened (other civilian offenses)		1.82***	1.09	0.34***
CM case opened (military-specific offenses)		1.62***	1.02	0.52***
Referred to CM		Conditional MJS	0.89	1.06
Pre-trial plea agreement	0.86		0.97	0.72
Tried by CM	0.99		1.05	0.48***
CM guilty finding	0.99		1.30	0.38**
CM punishment type (fine)	0.88		1.05	1.28
CM punishment type (reduction in rank)	0.93		1.08	0.68
CM punishment type (restriction)	0.83		0.84	0.61
CM punishment type (reprimand)	1.45		1.06	1.35
CM punishment type (confinement)	0.94		1.14	0.56*
CM punishment type (discharge)	0.90		1.26	0.49*
CM punishment type (hard labor)	0.94		0.94	2.09

- Notes:
- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
 - Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
 - Bold indicates one of five largest positive disparities.

Navy outcome disparities: All available

Outcome	Outcome type	Black	Hispanic	Female
Incident processing				
Investigated by NCIS	Unconditional 1 st observed	1.84***	1.20***	0.37***
CM outcomes by MJS phase, CM type and offense type				
CM case opened (total)	Unconditional 1 st observed	1.83***	1.09	0.34***
CM case opened (SPCM)		1.88***	1.15	0.46***
CM case opened (GCM)		1.57***	0.96	0.10***
CM case opened (drug offenses)		2.00***	0.99	0.50***
CM case opened (sex offenses)		2.02***	1.20	0.06***
CM case opened (other civilian offenses)		1.71***	1.22	0.34***
CM case opened (military-specific offenses)		1.80***	1.15	0.43***
Referred to CM	Conditional MJS	0.88	0.73	0.90
Pre-trial plea agreement		0.74*	0.97	0.87
Tried by CM		0.63**	0.62*	1.02
CM guilty finding		0.54*	1.47	0.77
CM punishment type (fine)		1.22	1.11	0.94
CM punishment type (reduction in rank)		0.74	0.83	1.00
CM punishment type (confinement)		0.75	0.86	0.56
CM punishment type (discharge)	0.62*	0.80	0.76	

- Notes:
- Statistical significance: 1, 5, and 10 percent levels indicated by ***, **, and *, respectively.
 - Shading: green ⇒ OR = 0.9-1.1 or insignificant; light red ⇒ significant OR = 1.11-1.5; dark red ⇒ significant OR > 1.51; light gold ⇒ significant OR= 0.5 to 0.89; dark gold ⇒ significant OR < 0.5.
 - Bold indicates one of five largest positive disparities.
 - There were only 115 SCM cases in the USN Wolverine/CMS extract so we did not estimate a logit model for this outcome.
 - The sample sizes for the following punishment types were too small for logistic regression analysis (the models would not converge): restriction, reprimand, and hard labor.

Coast Guard outcome disparities: All available

Outcome	Outcome type	Black	Hispanic	Female
NJP outcomes				
NJP guilty finding	Unconditional 1 st observed	1.28	1.18	0.73
CM outcomes by MJS phase, CM type and offense type				
CM case referral (total)	Unconditional 1 st observed	1.62	1.22	0.23
CM case referral (SCM)		1.17	0.75	1.65
CM case referral (SPCM)		1.62	0.86	0.51
CM case referral (GCM)		0.25	1.56	0.72
CM case referral (drug offenses)		2.49	0.72	0.60
CM case referral (sex offenses)		0.58	1.15	0.76
CM case referral (other civilian offenses)		0.90	0.81	0.19
CM case referral (military-specific offenses)		1.39	0.94	1.46
CM guilty finding		Conditional MJS	1.19	1.03
CM punishment type (fine)	1.05		0.33	1.28
CM punishment type (reduction in rank)	0.70		1.03	1.24
CM punishment type (restriction)	0.63		0.85	0.00
CM punishment type (reprimand)	0.70		0.96	0.00
CM punishment type (confinement)	0.19		1.37	0.00
CM punishment type (discharge)	0.27		1.04	0.00
CM punishment type (hard labor)	1.05		0.00	0.00

Notes:

- **These are unadjusted disparities measured by DIs**; they are not adjusted disparities measured by estimated ORs.
- Shading: green $\Rightarrow 0.9 \leq DI \leq 1.1$; light red $\Rightarrow 1.1 < DI \leq 1.5$; dark red $\Rightarrow DI > 1.5$; light gold $\Rightarrow 0.9 < DI \leq 0.5$; dark gold $\Rightarrow DI < 0.5$. DIs of 0.00 indicate that no one in the indicated REG group experienced the indicated outcome.
- Bold indicates one of five largest positive disparities.

There are no accepted criteria to establish bias

- Bias and discrimination cannot be captured with administrative data: outcome disparities are *imperfect proxies* for bias
 - Multiple factors contribute to MJS outcomes
 - There are multiple points at which bias may be introduced
 - Laws and rules are open to interpretation
 - Decision-makers face competing priorities and incentives
 - **Administrative data capture behavioral outcomes, not underlying intent**
- **Key question: *At what level does disparity equal bias?***
- Social science answer
 - Statistical significance matters, but varies with sample size
 - The selection of any cutoff level is arbitrary—guessing at the unknowable
- Legal answer regarding “disparate impact” **in the civilian justice system**
 - Courts **have** generally accepted social science standards of statistical significance to make determinations about causation
 - Courts **have not** drawn clear lines about what size of disparity constitutes evidence of unlawful discrimination

Conditional outcomes in the MJS

- The MJS is sequential \Rightarrow
 - Each successive outcome is **conditional** on the previous outcome
 - **It is important to capture as many outcomes as possible to identify where disparities arise**
- Illustration: conditional movement from one outcome to the next for members of two groups in a hypothetical population and system

Members of total population experiencing **Outcome 1**

①	11	②①
2	12	22
③	①③	23
④	14	②④
5	15	25
6	16	26
⑦	17	②⑦
8	①⑧	28
⑨	①⑨	②⑨
10	20	30

Members experiencing **Outcome 2** among those who experienced Outcome 1

①	①③	27
③	18	②⑨
4	①⑨	
⑦	②①	
9	24	

Members experiencing **Outcome 3** among those who experienced Outcome 2

①	①③
③	①⑨
7	21
	②⑨

TAB B



Command Climate Assessment Support Tools: 2023 DEOCS Annual Fielding Window and the DOCP Survey

Prepared for:

DACODAI Business Meeting

MAY 2024

H&R

Health & Resilience Division

WHO WE ARE: OFFICE OF PEOPLE ANALYTICS

Our Mission

“Provide the go-to expertise for scientific assessments, data analytics and outreach to improve the lives of the DoD community”

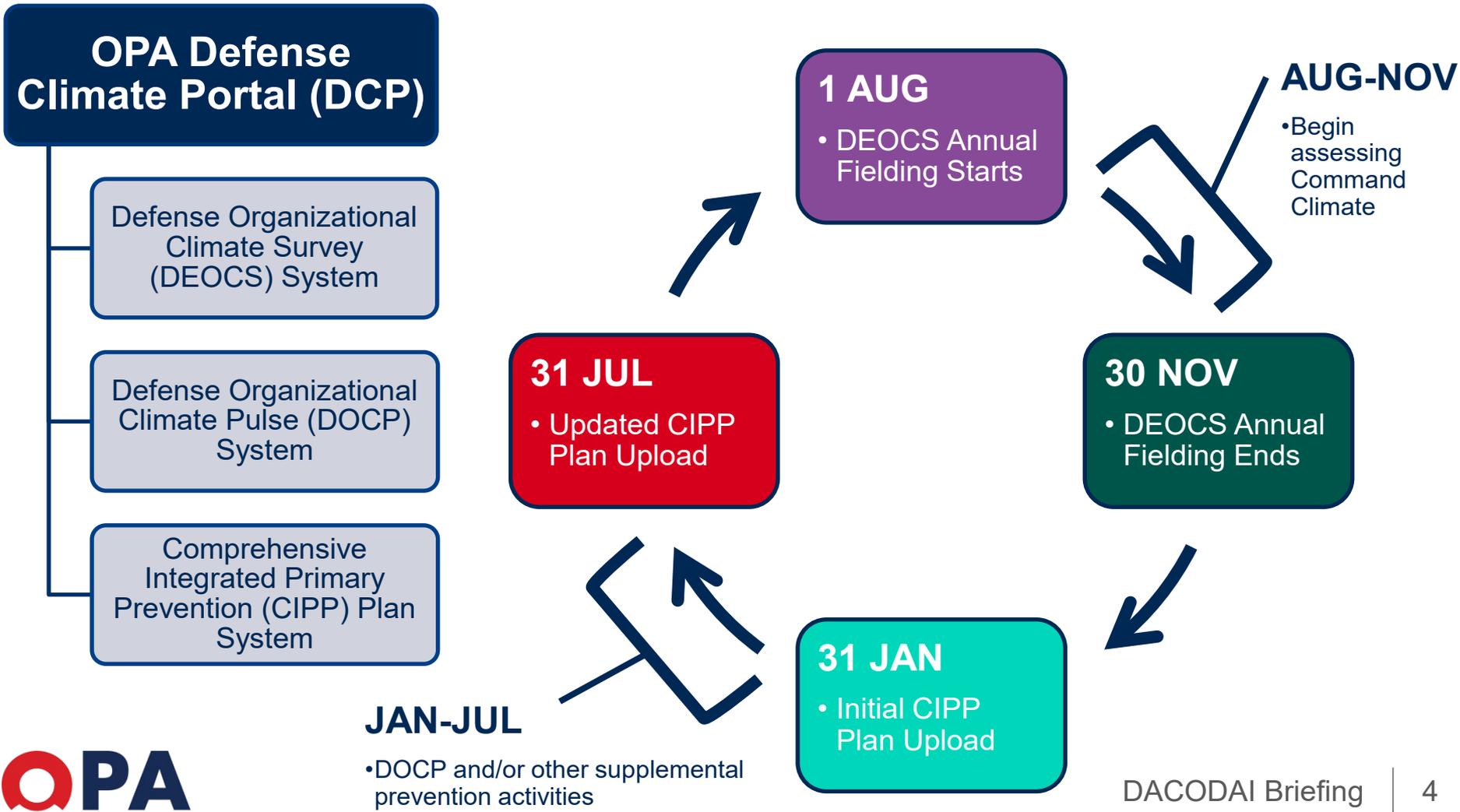


- **OPA was established in 2016 for the DoD community**
- **Tasked with advancing Command Climate research**
 - Expanding the OPA Defense Climate Portal (DCP)
 - Enhancing Defense Organizational Climate Survey (DEOCS) System
 - Developing and launching two additional tools:
 - Defense Organizational Climate Pulse (DOCP) Survey System
 - Comprehensive Integrated Primary Prevention (CIPP) Plan System

WHO WE ARE: OFFICE OF FORCE RESILIENCY – VIOLENCE PREVENTION CELL

- **Use integrated primary prevention to prevent multiple harmful behaviors – including sexual assault, harassment, domestic abuse, child abuse, and suicide**
 - Focus on shared risk and protective factors
 - Foster healthier command climates and promote well-being, leading to enhanced readiness and mission execution
- **VPC was established in 2020 to advance integrated primary prevention efforts for the Department**
- **Policy and oversight for Command Climate Assessments**
 - Department of Defense Instruction 6400.11, “DoD Integrated Primary Prevention Policy for Prevention Workforce and Leaders”

CCA TOOLS AND THE COMMAND CLIMATE CYCLE



HOW DO THE DEOCS, DOCP, AND CIPP PLANS FIT INTO COMMAND CLIMATE?

- The DEOCS is a **prevention tool** for unit commanders, providing reliable and actionable information on risk and protective factors that allow commanders to take immediate steps to improve the climate in their unit.
- The DEOCS should serve as a check-engine light in the CCA process enabling commanders to **take targeted actions** to address climate problems before these problems escalate.
- The DOCP is a **prevention tool** for unit commanders, providing targeted information on topics selected by commanders to better understand or follow-up on climate issues identified in their unit CCA.
- Ultimately, the DEOCS and DOCP should serve as tools to **prevent problematic outcomes and bolster desirable outcomes** by informing the development of CIPP Plans.





OPA DCP: DEOCS System

DEOCS SURVEY STRUCTURE

- **Designed to be user-friendly for survey administrators and survey takers**
 - Survey is mobile-optimized, can be completed anywhere on any device, does not require a CAC
- **How DEOCS is fielded:**
 - Typically fields for 4 weeks during the annual fielding window
 - Roster representing a census of individuals in a unit
 - Includes each unit member’s first and last name and at least one additional piece of information
 - Rosters must have at least 50 members in a unit
 - **Within two weeks of the DEOCS closing, survey admin, commander, and commander’s supervisor receive an email with instructions for accessing results**
 - Must have 16 participants complete at least 50% of their survey to receive results

Tailored Design

Population Specific Survey

- Military
- Civilian
- MSA Students

Other tailored features

- Piping, skip patterns, and dynamic programming

Core Survey Items

Core factor items

- Measured with 4- and 5-point Likert-type scales (e.g., agreement)

Self-reported demographics

Open-ended comments

Customization

Unit-level

- 10 close-ended and 5 short-answer locally selected questions

Service-level

- Up to 10 questions for each Service

DEOCS FACTORS

- **Measures 19 protective and risk factors associated with outcomes prioritized by the DoD**

- Serve as early-warning indicators for one or more outcome of strategic importance: racial harassment/discrimination, sexual assault, sexual harassment, suicide, reduced retention, and reduced readiness



ANNUAL FIELDING WINDOW (AFW) OVERVIEW: 2023 DEOCS

- **Successful administration of the DEOCS 5.1 instrument during the 2023 first annual fielding window (AFW)**
 - Department wide engagement
 - Consistent personnel participation
- **Consistent communication and collaboration with the Services throughout the AFW**
 - Increased buy-in and engagement with the field
 - Bi-weekly status updates to key stakeholders during the annual fielding
 - Monthly DEOCS registration tracking data sent to DEOCS Service POCs for monitoring and promoting unit/organization participation
- **Strong Departmental support for implementing the annual fielding and the DoDI 6400.11**

DEPARTMENT SUPPORT FOR CCAS

- **Collaboration**

- Monthly Command Climate Assessment Working Group co-chaired by OPA and VPC with participation from 4th Estate/Service reps and relevant DoD policy offices
- Guidance for implementation of DoDI 6400.11
- Briefings at Service prevention meetings

- **Outreach**

- Secretary Austin directed Service strategies to encourage Service Member participation
- Transition and redesign of Assessment to Solutions website on prevention.mil and consolidation of Defense Climate Portal
- Integrated Primary Prevention Workforce (IPPW) recruitment support (e.g., Taking the Pentagon to the People, LinkedIn)
- Promotional materials, including SEAC video, one-pagers, and invite templates

- **Training**

- Live webinars on CCA administration and CIPP plan creation
- Asynchronous trainings on CCA administration and CIPP plan creation
- How-to guides and templates hosted on prevention.mil
- Integrated Primary Prevention Leadership Toolkit

ACTING ON CCA RESULTS

- **Comprehensive Integrated Primary Prevention (CIPP) plans detail a community's integrated prevention needs and targeted actions to address those needs**
 - Developed by IPPW in collaboration with other prevention stakeholders
 - Cover a 4th Estate/Service-defined community (installation, command, agency, etc.)
 - Contain a needs assessment, integrated prevention goals, desired outcomes, prevention activities, and evaluation plan
- **CCA results incorporated into CIPP plans as part of needs assessment**
 - Must address any DEOCS factors that do not meet scoring benchmarks
 - Must assign actions to unit leaders at every echelon in the community
 - Additional data supplements and contextualizes CCA results
- **Combine universal and targeted research-based/research-informed prevention activities across the social ecology**
 - Resources include external databases, such as CDC, and the Factor Improvement Toolkit, which compiles resources from across the Department
 - Continue to update and share quality prevention activities as evidence base grows



OPA DCP: DOCP System

DOCP SURVEY STRUCTURE

- **Fielding a DOCP is voluntary for commanders/leaders**
- **Intended to be fielded once annually outside of the DEOCS annual fielding window**
 - Used to update or check progress after an annual CCA
 - Used during a change of command CCA
- **Designed to be user-friendly for survey administrators and survey takers**
 - Survey is mobile-optimized, can be completed anywhere on any device, does not require a CAC
- **How DOCP is fielded:**
 - Typically fields for 4 weeks
 - Roster representing a census of individuals in a unit
 - Includes each unit member's first and last name and at least one additional piece of information
 - Rosters must have at least 50 members in a unit
 - Within two weeks of the DOCP closing, survey admin, commander, and commander's supervisor receive an email with instructions for accessing results
 - Must have 16 participants complete at least 50% of their survey to receive results

CUSTOMIZATION IN THE DOCP

A quick, customizable survey to assess organizational climate.

Quick and low burden, the DOCP takes less than 10 minutes to complete.



Each DOCP contains up to:

15 Closed-ended Questions

1 Open-ended Question



DOCP Keywords

- Alcohol/Substance Use
- Cohesion
- Connectedness
- DEOCS
- Domestic Abuse
- Engagement and Commitment
- Fairness
- Gender Issues
- Harassment/Discrimination
- Inclusion
- Leadership
- Leadership Support
- Mental Health
- Morale
- Passive Leadership
- Race/Ethnic Issues
- Readiness
- Safe Storage for Lethal Means
- Safety/Well-being
- Sexual Assault
- Stress
- Suicide
- Toxic Leadership
- Transformational Leadership
- Work-Life Balance
- Workplace Hostility

DEFENSE CLIMATE PORTAL RESOURCE CENTER LINKS

- **Defense Climate Portal Resource Center Welcome Page**
 - <https://www.prevention.mil/Climate-Portal/>
- **Latest News and Updates**
 - <https://www.prevention.mil/Climate-Portal/#topNews>
- **Survey Resource Center (DEOCS & DOCP)**
 - <https://www.prevention.mil/Climate-Portal/Defense-Climate-Portal-Survey-Resource-Center/>
- **CIPP Plan System Resource Center**
 - <https://www.prevention.mil/Climate-Portal/Defense-Climate-Portal-Comprehensive-Integrated-Primary-Prevention-Plan-System-Resource-Center/>
- **Factor Improvement Toolkit**
 - <https://www.prevention.mil/Climate-Portal/Defense-Climate-Portal-Factor-Improvement-Toolkit/>

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Backup Slides: Preview of Registering a DOCP



Survey Administrator: Sela Harcey
Survey Commander:

[Discard Draft](#) [Save Draft](#) [Save And Exit](#) [Register](#)

Previous Registrations

- 2 Unit/Organization Details
- 3 Leadership Information
- 4 Participant Information
- 5 Survey Builder
- 6 Survey Window

Previous DEOCS Registration Information

All required fields are noted with a red asterisk (*) and must be filled out before you can continue creating your registration.

You can pre-populate registration information for your DOCP if the unit/organization you are registering for has completed a DEOCS previously within the past two years.

Do you want to use a previous DEOCS registration to pre-populate information for this DOCP? *

- Yes
- No

[Continue](#)

Discard Draft

Save Draft

Save And Exit

Register

Previous Registrations

- 2 Unit/Organization Details
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Previous DEOCS Registration Information

All required fields are noted with a red asterisk (*) and must be filled out before you can continue creating your registration.

You can pre-populate registration information for your DOCP if the unit/organization you are registering for has completed a DEOCS previously within the past two years.

Do you want to use a previous DEOCS registration to pre-populate information for this DOCP? *

- Yes
- No

To fill in information from a previous DEOCS registration, select from the DEOCS IDs below or search for the DEOCS registration in the field below.

Search **completed** DEOCS Registrations:

Showing all available results

DEOCS ID ▾	Unit/Organization Title ▾	Unit/Organization Identification Code ▾	Administrator ▾	Commander ▾
------------	---------------------------	---	-----------------	-------------



Survey Administrator: Sela Harcey
Survey Commander:

Discard Draft

Save Draft

Save And Exit

Register

1 Previous Registrations

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Previous DEOCS Registration Information

All required fields are noted with a red asterisk (*) and must be filled out before you can continue creating your registration.

You can pre-populate registration information for your DOCP if the unit/organization you are registering for has completed a DEOCS previously within the past two years.

Do you want to use a previous DEOCS registration to pre-populate information for this DOCP? *

Yes

No

Why do you not want to use information from a DEOCS for this DOCP? *

I do not have access to the DEOCS registration

There is no previous DEOCS for this unit/organization

This DOCP is for more than one previous DEOCS registration

Other (specify)

Survey Administrator: Sela Harcey
Survey Commander:

Discard Draft

Save Draft

Save And Exit

Register

✔ Previous Registrations

🔍 Unit/Organization Details

③ Leadership Information

④ Participant Information

⑤ Survey Builder

⑥ Survey Window

Unit/Organization Details

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

Service Component

Component Type *

Service Branch

Population

Unit/Organization Information

Unit/Organization Identification Code (UIC/RUC/PAS/OPFAC) *

There are many ways in which units and organizations are identified. In this field, enter the UIC, RUC, PAS, or OPFAC code that identifies the level at which you are registering your unit or organization's DOCP. Use the full 5- or 6-digit UIC code, 5-digit RUC, 8-digit PAS code, or 5-digit OPFAC code assigned to your unit or organization.

If needed, [more Service-specific instructions are available.](#)

Command Level

Unit Type

Unit

Unit/Organization Title *

Your unit or organization title will appear in e-mails as entered here, so please ensure it is written exactly as it should appear.

Unit/Organization Title *

Your unit or organization title will appear in e-mails as entered here, so please ensure it is written exactly as it should appear.

Unit/Organization City ***Unit/Organization State *****Unit/Organization Zip *****Installation/Base/Ship/Location ***

Use the searchable drop-down menu below to identify the installation, base, ship, or other location where the majority of your survey participants currently work. You can search by entering text into the field or view all options by clicking on the field and scrolling through the list. If your installation, base, ship, or location is **not** listed, manually add it by typing the full, official name directly into the field or select "Does not apply" if applicable. Do not use acronyms. For National Guard, Reserve, or other (e.g., recruiting stations) units/organizations where the majority of your survey participants are not located at a military installation or base please search and select "Does not apply".

Is Your Unit Deployed? *

- Yes
 No

Reason for DOCP *

Please enter a reason for DOCP

[Back](#)[Continue](#)

Survey Administrator: Sela Harcey

Survey Commander:

Discard Draft

Save Draft

Save And Exit

Register

✔ Previous Registrations

❗ Unit/Organization Details

📝 Leadership Information

④ Participant Information

⑤ Survey Builder

⑥ Survey Window

Leadership Information

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

Commander/Leader Information

The unit commander or organizational supervisor leader name will appear in e-mails, so please ensure the rank/title and name are written exactly as they should appear.

First Name*	Last Name*	Service*	Rank/Title*
<input type="text"/>	<input type="text"/>	<input type="text" value="Select"/>	<input type="text" value="Select"/>
E-mail*	Phone Number*	Date Commander Assumed Command	
<input type="text"/>	<input type="text"/>	<input type="text" value="📅"/>	

Commander/Leader Supervisor Information

The unit commander or organizational supervisor leader name will appear in e-mails, so please ensure the rank/title and name are written exactly as they should appear.

First Name*	Last Name*	Service*	Rank/Title*
<input type="text"/>	<input type="text"/>	<input type="text" value="Select"/>	<input type="text" value="Select"/>
E-mail*	Phone Number*		
<input type="text"/>	<input type="text"/>		

Equal Opportunity Advisor (EOA)/Command Climate Specialist (CCS) Information

If you are the EOA/CCS for this unit or this unit *does not* have an EOA/CCS, please click the box below. If you are not the EOA/CCS for this unit, please include the EOA/CCS's information below.

I am the EOA/CCS for this unit or this unit *does not* have an EOA/CCS.

First Name*	Last Name*	Service*	Rank/Title*
<input type="text"/>	<input type="text"/>	<input type="text" value="Select"/>	<input type="text" value="Select"/>
E-mail*		Phone Number*	
<input type="text"/>		<input type="text"/>	

Integrated Primary Prevention Workforce (IPPW) Personnel

If the unit *does not* have an IPPW personnel assigned, click the box below. If the unit does have an IPPW personnel assigned, include their information below.

This unit *does not* have an IPPW personnel assigned.

First Name*	Last Name*	Service*	Rank/Title*
<input type="text"/>	<input type="text"/>	<input type="text" value="Select"/>	<input type="text" value="Select"/>
E-mail*		Phone Number*	
<input type="text"/>		<input type="text"/>	

[Back](#)[Continue](#)

- ✓ Previous Registrations
- 1 Unit/Organization Details
- 1 Leadership Information
- 2 Participant Information**
- 5 Survey Builder
- 6 Survey Window

Participant Details

Import Participants
Participant List

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

Import Participants

Upload the roster for your unit or organization below. The participant list requirements are detailed below, but a [template is available](#) and recommended for use.

After uploading the roster, you will have the option to edit the list of participants in the "Participant List" tab above. DOCP rosters can also be re-uploaded prior to submitting the DOCP registration for approval.

Participant List Requirements

- DOCP rosters must contain a minimum of 16 participants but not exceed 12,000 participants.
 - **Note:** To receive reportable DOCP results, you must have at least 16 completed surveys, therefore, small units or organizations should register with caution or combine with another unit or organization. If your unit or organization has more than 12,000 individuals, you will need to create multiple registrations.
- You have the option to identify subgroups in your unit or organization.
 - **Note:** At least 5 participants must be assigned to a subgroup. Any participants not assigned to a subgroup will only be included in the overall unit or organization DOCP results.
- DOCP rosters should not include either DoD contractors or DoD civilians under the age of 18.
- DOCP rosters must include the first name and last name for every participant AND at least **one** additional piece of information (DoD ID, Primary E-mail, and/or Secondary E-mail) for all unit or organization members.
 - Mobile Phone Number is optional to include. If it is included, it must be at least 7 digits, and must be accompanied by at least one additional piece of participant information (DoD ID, Primary E-mail, Secondary E-mail).
- The list of participants that you upload has a fixed structure, containing 7 columns, although not all columns require information for all participants. A participant list template is [available for users](#). When you upload your participant list, ensure that it is saved as a .csv file with all 7 columns listed below.
 - First Name
 - Last Name
 - DoD ID Number
 - Primary E-mail Address
 - Secondary E-mail Address
 - Mobile Phone Number (optional)
 - Subgroup Name (optional)

Import File(s)*

File(s) supported: [.csv]

Import File

Browse or drag and drop

Discard Draft

Save Draft

Save And Exit

Register

✓ Previous Registrations

! Unit/Organization Details

! Leadership Information

! Participant Information

🔗 Survey Builder

6 Survey Window

Instructions

1. Closed-Ended Questions

2. Open-Ended Questions

3. Review Question Selection !

How to Build your DOCP Survey

The DOCP is a fully customizable survey that you can build to tailor to your unit's or organization's needs. Below details each step in the process for building your unit's or organization's DOCP Survey.

Step 1: Select Closed-Ended Question(s)

- Closed-ended questions are questions that have pre-determined response options for respondents. You may include a minimum of 1, and a maximum of 15, closed-ended questions in your DOCP survey.
- To help you locate the right question(s) for your survey, you can search the full bank of questions in 3 ways.
 1. Use the questions text search bar to search for a word or phrase, or add multiple together by pressing the "+" symbol and specifying whether your search terms should include all (i.e., look for questions containing both "unit" **and** "organization") or either (i.e., "unit" **or** "organization"). Press the "x" button to remove text search(es).
 2. Use the keyword search bar to select one or more keyword(s) that identify the topic areas you want to include. There are 26 total keywords, and you can use the drop-down menu and scroll bar to see and select them. Check and uncheck the box to add/remove keyword(s).
 3. The response options are listed to the right of the questions. There are 4 response option types: Agreement, Frequency, Quality, and Yes/No. You can filter by response option.

Step 2: Select Optional Open-Ended Question

- Open-ended questions are questions that allow respondents to type in their response, with no pre-determined options. You may include 1 optional open-ended question in your DOCP survey, or none.

Step 3: Review and Confirm Question Selection

- To finalize your DOCP survey content for fielding, you must review and confirm the questions you selected.
 1. Review the selected questions to verify the DOCP content meets your expectations.
 2. Use the "Preview Survey" button to view a version of the DOCP survey as participants will see it.
 3. After you review your question selection, check the box to confirm these are the questions you want to field on your DOCP.
- DOCP question selection must be confirmed before the registration can be submitted.

- ✓ Previous Registrations
- ! Unit/Organization Details
- ! Leadership Information
- ! Participant Information
- Survey Builder
- 6 Survey Window

Instructions 1. Closed-Ended Questions ! 2. Open-Ended Questions 3. Review Question Selection !

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

! You must have at least one closed-ended question selected.

Search Question Text:

Search Keywords:

Search Reset Search

Separate word(s)/phrase(s) by commas or pressing "Enter" on your keyboard.
Refer to the Instructions tab for more details.

0 Selected, 15 Available

<input type="checkbox"/> Questions ↕	Response ↕	Keywords ↕
<input type="checkbox"/> Overall, how would you rate the current level of morale among the people you work with in your unit/organization?	Quality	DEOCS, Morale
<input type="checkbox"/> Overall, how would you rate your own current level of morale?	Quality	DEOCS, Morale
<input type="checkbox"/> My leadership views mental health and physical health as equally important.	Agreement	Leadership, Mental Health, Safety/Well-Being
<input type="checkbox"/> I take pride in beating a deadline.	Agreement	Connectedness, Engagement and Commitment, Morale
<input type="checkbox"/> My family and time with my family is viewed as important by my Command.	Agreement	Morale, Leadership, Engagement and Commitment
<input type="checkbox"/> I can easily communicate with my supervisor.	Agreement	Leadership, Engagement and Commitment

- ✓ Previous Registrations
- ! Unit/Organization Details
- ! Leadership Information
- ! Participant Information
- Survey Builder
- 6 Survey Window

Instructions 1. Closed-Ended Questions ! 2. Open-Ended Questions 3. Review Question Selection !

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

! You must have at least one closed-ended question selected.

Search Question Text:

Separate word(s)/phrase(s) by commas or pressing "Enter" on your keyboard. Refer to the Instructions tab for more details.

0 Selected, 15 Available

<input type="checkbox"/> Questions ↕
<input type="checkbox"/> Overall, how would you rate the current level of morale among the pe unit/organization?
<input type="checkbox"/> Overall, how would you rate your own current level of morale?
<input type="checkbox"/> My leadership views mental health and physical health as equally imp
<input type="checkbox"/> I take pride in beating a deadline.
<input type="checkbox"/> My family and time with my family is viewed as important by my Com

Search Keywords:

Search Reset Search

- Select All
- Alcohol/Substance Use
- Cohesion
- Connectedness
- DEOCS
- Domestic Abuse
- Engagement and Commitment
- Fairness
- Gender Issues
- Harassment/Discrimination

Response ↕	Keywords ↕
by	DEOCS, Morale
by	DEOCS, Morale
ment	Leadership, Mental Health, Safety/Well-Being
ment	Connectedness, Engagement and Commitment, Morale
ment	Morale, Leadership, Engagement and Commitment

- ✔ Previous Registrations
- ❗ Unit/Organization Details
- ❗ Leadership Information
- ❗ Participant Information
- ✔ Survey Builder
- ⑥ Survey Window

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

0 Selected, 1 Available

Questions ↕	Keyword ↕
<input type="radio"/> If you have any thoughts that you would like to provide about sexual assault, sexual harassment, and/or sexist behaviors in your unit/organization, you may share them in the space below.	<i>Sex/Gender Issues</i>
<input type="radio"/> If you have any thoughts that you would like to provide about racial/ethnic harassment or discrimination in your unit/organization, you may share them in the space below.	<i>Racial/Ethnic Harassment/Discrimination</i>
<input type="radio"/> If you have any thoughts that you would like to provide about suicide, personal safety, and/or the safe storage of lethal means (i.e., firearms, medicine) in your unit/organization, you may share them in the space below.	<i>Suicide/Safe Storage for Lethal Means</i>
<input type="radio"/> What role has leadership played in your decision to stay or leave your unit/organization? What could be done to retain people in your unit/organization?	<i>Retention</i>
<input type="radio"/> How can your leadership improve your unit/organization's ability to perform its mission/function?	<i>Readiness</i>
<input type="radio"/> How would you describe leaderships' efforts and commitment to creating and fostering an environment of respect and dignity? Are harassment and discrimination an issue in your unit/organization? Please explain.	<i>Harassment and Discrimination</i>
<input type="radio"/> If you have any information that you would like to provide about policies, practices, and procedures within your unit/organization that either promote or undermine fairness and inclusion, you may share them in the space below.	<i>Fairness and Inclusion</i>
<input type="radio"/> If you have any thoughts that you would like to provide about morale or cohesion in your unit/organization, you may share them in the space below. What could leadership do to improve morale or cohesion?	<i>Workplace Morale</i>
<input type="radio"/> If you have any thoughts that you would like to provide about stress or work/life balance in your unit/organization, you may share them in the space below. What could leadership do to reduce stress or to improve work/life balance?	<i>Stress and Work/Life Balance</i>
<input type="radio"/> How serious of a problem do you think alcohol use is in your unit/organization? Please explain.	<i>Alcohol Use</i>
<input type="radio"/> If you have any information that you would like to provide about your experiences with hostile, harassing, and/or discriminatory behaviors in your unit/organization, you may share them in the space below.	<i>Workplace Hostility</i>
<input type="radio"/> How would you describe leaderships' efforts and commitment to creating and fostering an environment of respect and dignity? If you have any thoughts that you would like to provide about people in leadership roles in your unit/organization, you may share them in the space below.	<i>Leadership</i>

Discard Draft

Save Draft

Save And Exit

Register

✔ Previous Registrations

❌ Unit/Organization Details

❌ Leadership Information

❌ Participant Information

🔍 Survey Builder

⑥ Survey Window

Instructions 1. Closed-Ended Questions 2. Open-Ended Questions 3. Review Question Selection 1

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

Review DOCP Question Selection

4 Selected

Closed-Ended Questions

Response

<input checked="" type="checkbox"/>	Creativity and innovation are rewarded. Keywords: Morale Leadership Engagement and Commitment	Agreement
<input checked="" type="checkbox"/>	My present assignment motivates me to continue my career within the DoD. Keywords: Engagement and Commitment Morale	Agreement
<input checked="" type="checkbox"/>	My commander/leader shows a genuine interest in the welfare of single Service members. Keywords: Leadership Support Inclusion Leadership	Agreement
<input checked="" type="checkbox"/>	I receive routine feedback on my performance from my immediate supervisor. Keywords: Leadership Support Leadership	Agreement

1 Selected

Open-Ended Questions

<input checked="" type="checkbox"/>	How would you describe leaderships' efforts and commitment to creating and fostering an environment of respect and dignity? Are harassment and discrimination an issue in your unit/organization? Please explain. Keywords: Harassment and Discrimination	
-------------------------------------	---	--

Preview Survey

Confirm DOCP Survey Content *

- I confirm that the questions listed above are the survey items I want on the DOCP survey for this registration.
❌ The box must be checked before the registration can be submitted.

Back

Continue

[Home](#) → Survey Registration

Survey Administrator: Sela Harcey

Survey Commander:

Discard Draft

Save Draft

Save And Exit

Register

- ✓ Previous Registrations
- ! Unit/Organization Details
- ! Leadership Information
- ! Participant Information
- ✓ Survey Builder
- Survey Window**

DOCP Survey Fielding Window

All required fields are noted with a red asterisk (*) and must be filled out before you can submit this registration for approval. You can save a draft of the registration by clicking "Save Draft" or continue to the next step by clicking "Continue."

Due to differences in time zones, allow additional time when selecting start and end dates.

Survey Window

Start Date *

04/03/2024



Available at 12:01 AM CT

End Date *

05/01/2024



Closes at 11:59 PM CT

Survey Window Automatic Extension

 Automatic Extension Opt Out

The system will monitor response rates for your survey. Three days before your scheduled end date, if your response rate is less than 30% or there are less than 16 participants, the system will automatically extend your survey end date by one week. This automatic extension will happen up to 2 times. [Click here](#) if you DO NOT want your survey to automatically extend.

Please note you cannot reopen your survey once it closes.

[Back](#)

TAB C

Not Used

TAB D

UNCLASSIFIED



2024 – 2027 CIA DEIA Strategy

DEIA Enables Mission

UNCLASSIFIED

Path to Development



The New DEIA Strategy (2024–2027) Builds Upon the Previous D&I Strategy (2020–2023)

NEW DEIA Strategy (2024–2027) Key Objectives

KEY OBJECTIVE 1



Equitable DEIA Structures and Resources

2

4

KEY OBJECTIVE 2



Workforce Investment

3

KEY OBJECTIVE 3



Equitable and Inclusive Processes/ Procedures

1

2

3

4

KEY OBJECTIVE 4



Accountability

1

2

3

4

KEY OBJECTIVE 5



Continued Agency Education and Development

1

2

3

4

The 2020–2023 D&I Objectives are in the DNA of the 2024–2027 DEIA Strategy

Previous D&I Strategy (2020-2023) Key Objectives

1

Weave Diversity and Inclusion Throughout the Talent Lifecycle

2

Become an Employer of Choice

3

Increasing Diversity of Leadership

4

Create a Culture of Inclusion

T A B E

Population Benchmarking for the U.S. Department of the Air Force:

Impact of Eligibility Requirements and Propensity to Serve on Demographic Representation

Lou Mariano, Ph.D.

3 May 2024



Bottom Line Up Front – Study Conclusions

- Eligibility requirements favor female representation, but they have less propensity to serve
- Eligibility requirements limit racial/ethnic minority representation
 - Racial/ethnic minority groups get a boost in representation from greater propensity to serve
- Examining eligibility by considering gender concurrently with race and ethnicity reveals important differences not otherwise observed when assessing these groups separately
- Among enlisted, USAFA, and ROTC/OTS accessions, at least one accession deficiency relative to benchmarks is present for each racial/ethnic and gender minority
- The largest barriers to eligibility are BMI, height, education, and aptitude requirements
 - These requirements affect the eligibility of gender and racial/ethnic groups differently

DAF's Structure of Internal Advancement Establishes Accessions as a Crucial Point to Examine Diversity

- A lack of diversity at accession limits the potential for diversity at higher DAF ranks
- In this study we examined racial/ethnic and gender diversity among FY 2020 accessions
 - Three separate accession sources were examined: enlistment, USAFA, & ROTC/OTS
 - Part of a broader study considering “Data-Enabled Talent Management Through Targeted Benchmarks, Best Practices, and Partnerships.”
- Diversity of accessions is placed into context by considering how eligibility criteria partitions the U.S. population
 - Understanding differences in propensity to serve adds further context to accession diversity
- We use a “benchmarking” method to understand how eligibility requirements and propensity to serve impact demographic representation

Benchmarking is the Process of Comparing Representation in One Group to Other Relevant Groups

For each accession source, we consider diversity relative to three relevant comparisons:

1. The U.S. population who meet age requirements to serve
 2. The U.S. population who meet all DAF eligibility requirements
 3. The U.S. population who meet all DAF eligibility requirements & have a propensity for military service
- Because not everyone is eligible or inclined to serve, comparing accession diversity to all three populations provides a fuller understanding relative to what is achievable
 - The first comparison is fairly straightforward to construct
 - Understanding the impact of eligibility requirements and propensity to serve takes multiple data sources to carefully consider each requirement

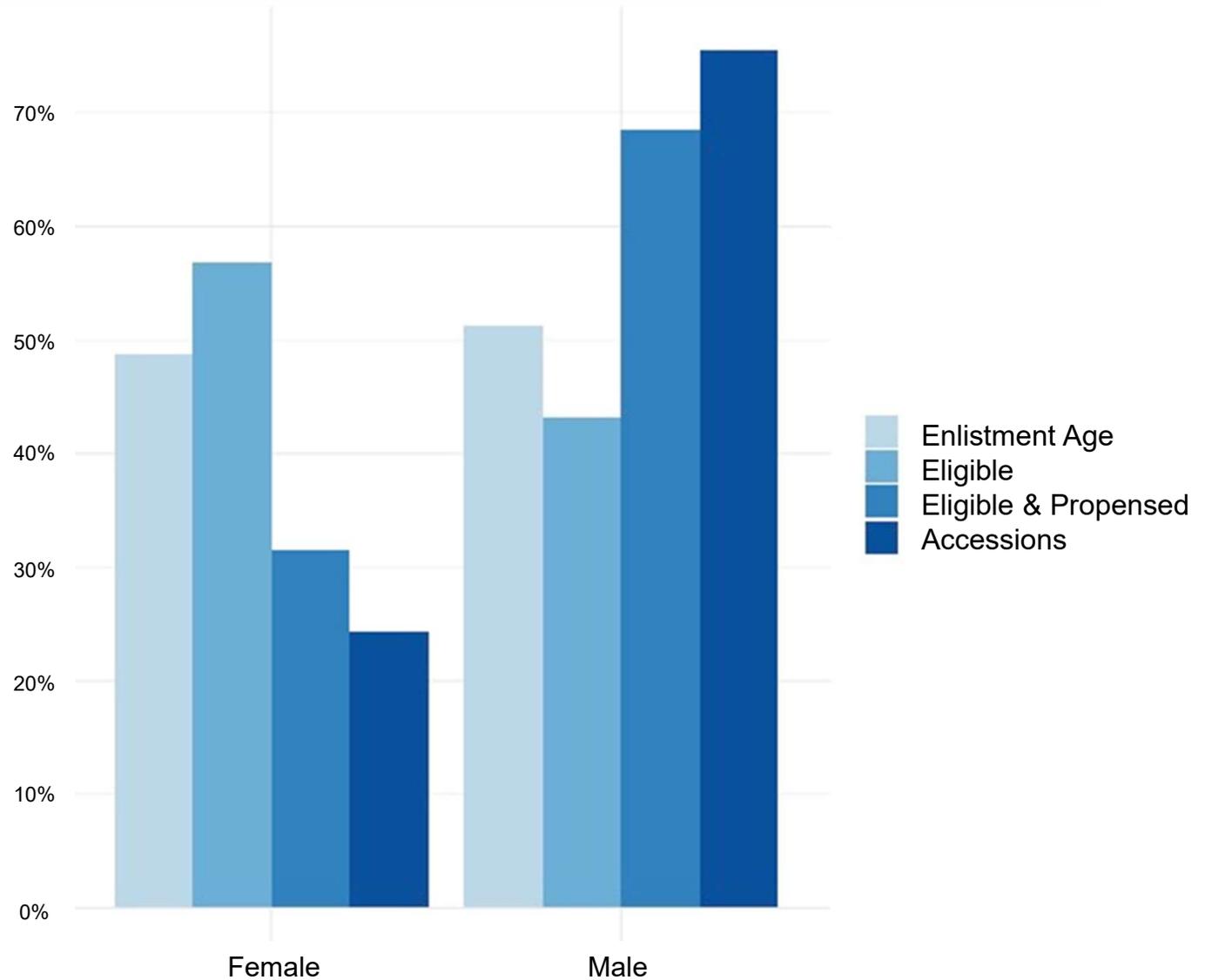
To Create a Benchmark, the Population is Sequentially Filtered

Example: Enlisted Accessions

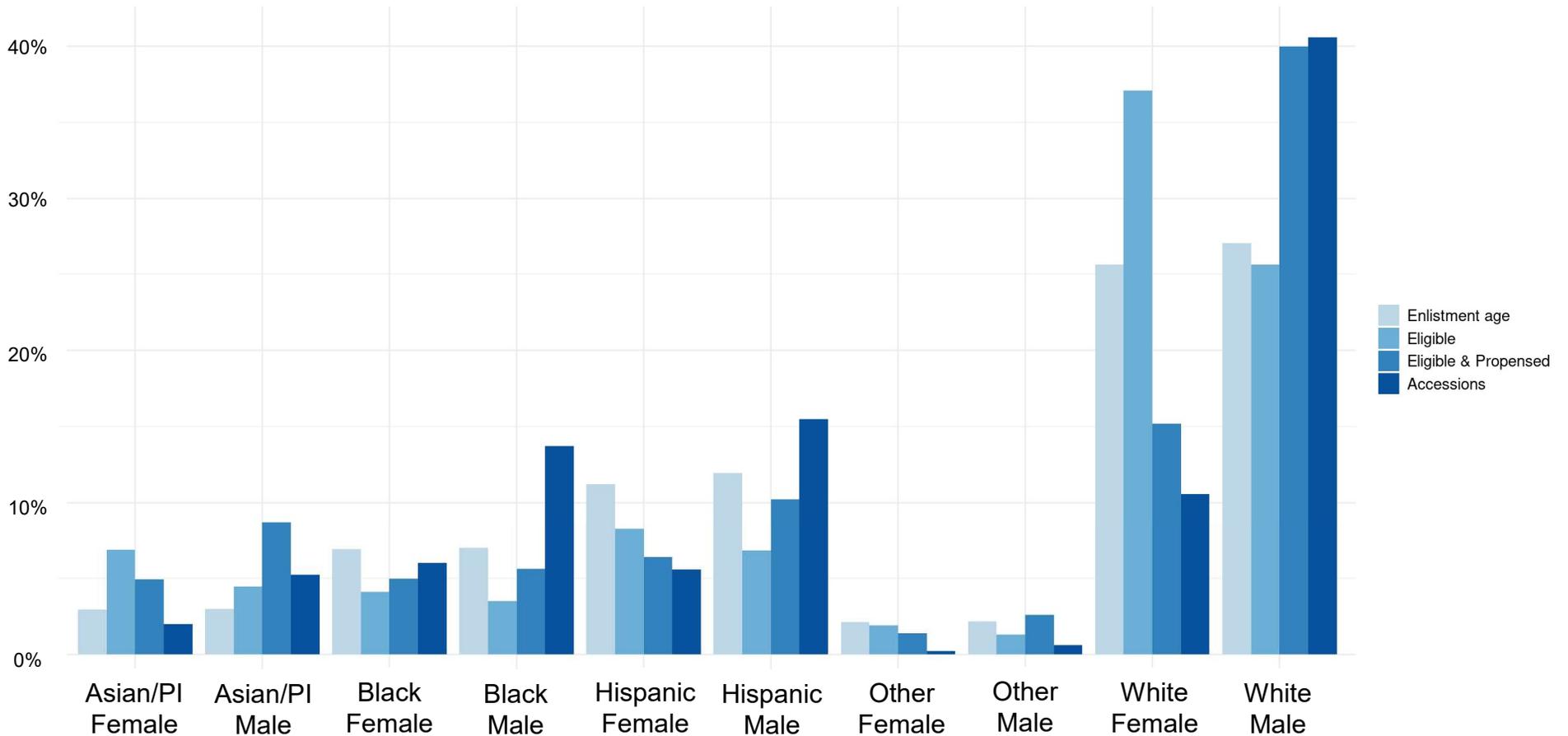
Characteristics	Enlisted Eligibility Requirement	Data Source
Age	Age 17 through 39	American Community Survey 2019
Dependents	No more than 2 dependents & not a single parent	American Community Survey 2019
Body Composition	Within DAF height/weight requirements	National Health Interview Survey 2018
Medical	Does not have asthma, diabetes, heart disease, functional limitations, or a disability	National Health Interview Survey 2018
Education & Aptitude	Meet one of: <ul style="list-style-type: none"> i. High school diploma & AFQT \geq 36 ii. GED & AFQT \geq 50 iii. No high school diploma but AFQT \geq 65 	American Community Survey 2019 & National Longitudinal Survey of Youth 2005 and 2017
Moral Character	No felony convictions	National Longitudinal Survey of Youth 2005 and 2017
Drug Use	No drug/alcohol dependence or abuse	National Survey on Drug Use and Health 2019

Propensity to serve data is accessed through the Monitoring the Future Survey. The JAMRS Youth Poll could also be used to consider propensity to serve.

Enlisted FY 2020 Accessions vs Benchmarks by Gender



Enlisted FY 2020 Accessions vs Benchmarks by Race/Ethnicity & Gender



Summary of All FY 2020 Accession Sources vs Benchmarks

Race/ Ethnicity	Gender	Enlisted Accessions Versus		USAFA Accessions Versus		ROTC/OTS Accessions Versus	
		Eligible	Eligible & Propensed	Eligible	Eligible & Propensed	Eligible	Eligible & Propensed
Asian/PI	Male	188	-879	18	-29	24	-70
	Female	-1221	-731	-11	3	-218	-148
Black	Male	2542	2016	35	28	32	-26
	Female	472	261	0	-4	-62	-77
Hispanic	Male	2163	1312	-32	-55	115	95
	Female	-668	-198	-48	-35	-169	-101
Other	Male	-175	-494	32	21	7	-31
	Female	-423	-284	1	5	-61	-39
White	Male	3740	153	164	25	549	447
	Female	-6619	-1156	-158	40	-1073	-229

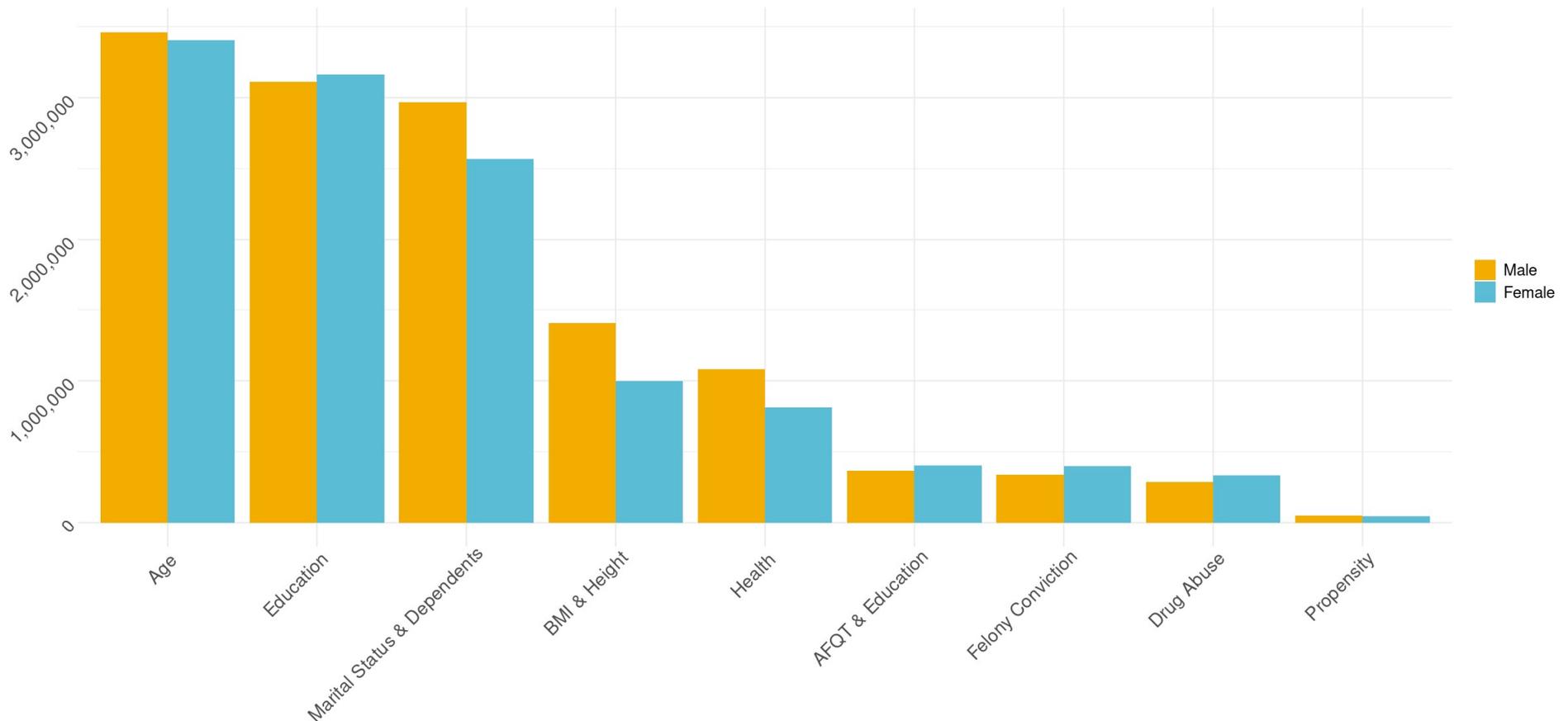
Above Benchmark

Below Benchmark 0% to 5%

Below Benchmark More than 5%

Examining the Impact of Individual Eligibility Requirements can Help Highlight Barriers

Reduction in Enlistment-Eligible Black Population as Each Eligibility Criterion is Applied



BMI & Height and AFQT & Education are common barriers across all racial/ethnic and gender groups

An Individual Racial/Ethnic and Gender Group may Relatively More/Less Likely to be Impacted by a Barrier Requirement

Enlisted Requirement	More Likely to Impact	Less Likely to Impact
Marital Status & Dependents	Black Women Hispanic Women	White Men
BMI & Height	Black Women Hispanic Men White Men	Asian Women White Women
AFQT & Edu	Black Women & Men Hispanic Women & Men	Asian Women & Men White Women & Men

Group-level relative differences in barrier impact are also present for USAFA and ROTC/OTS accessions

Links to Further Reading

- Full Rand Report:

**Population Benchmarking for the U.S. Department of the Air Force:
Impact of Eligibility Requirements and Propensity to Serve on
Demographic Representation**

https://www.rand.org/pubs/research_reports/RRA988-1-v2.html

- Research Brief:

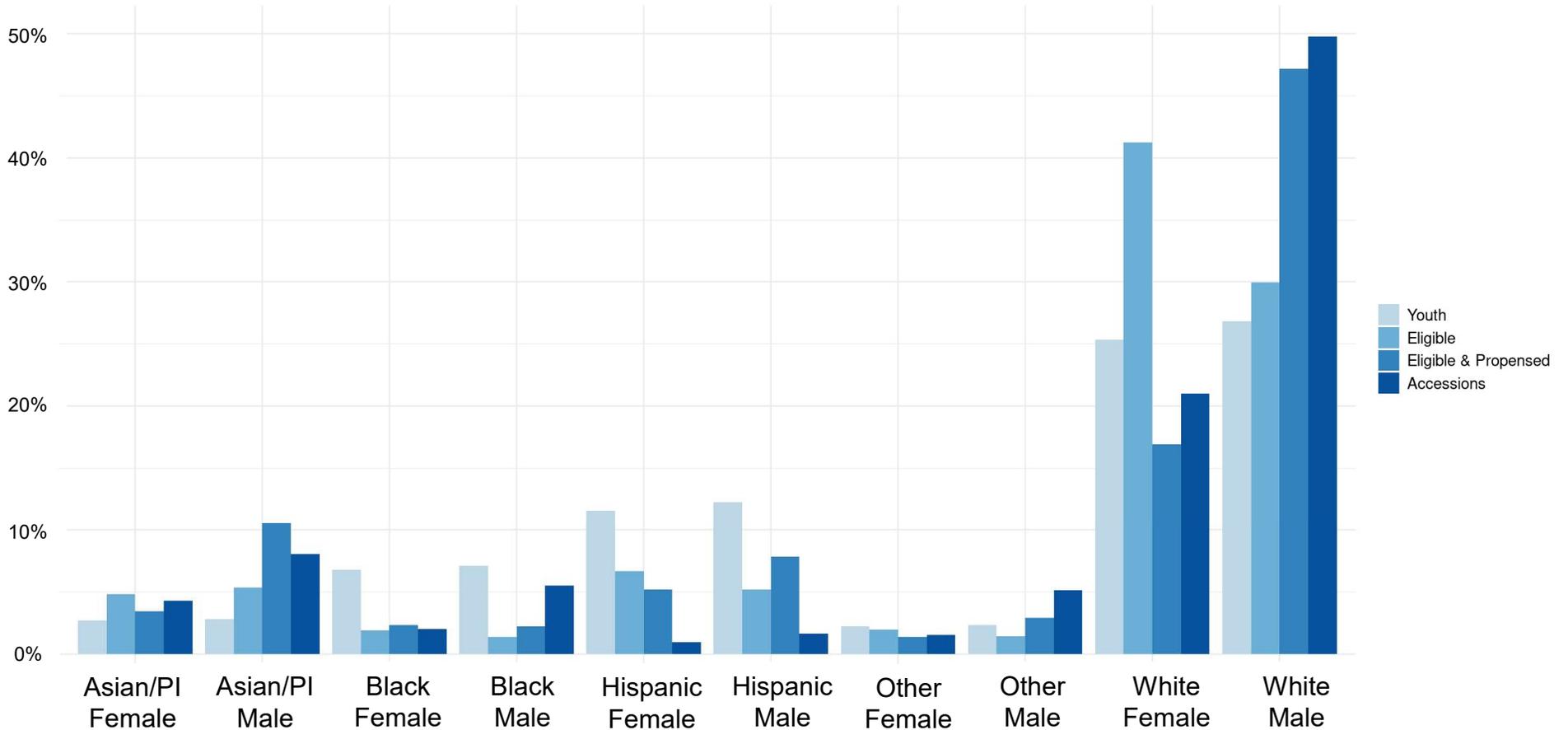
**Impact of Eligibility Requirements and Propensity to Serve on
Demographic Representation in the Department of the Air Force**

https://www.rand.org/pubs/research_briefs/RBA988-1.html

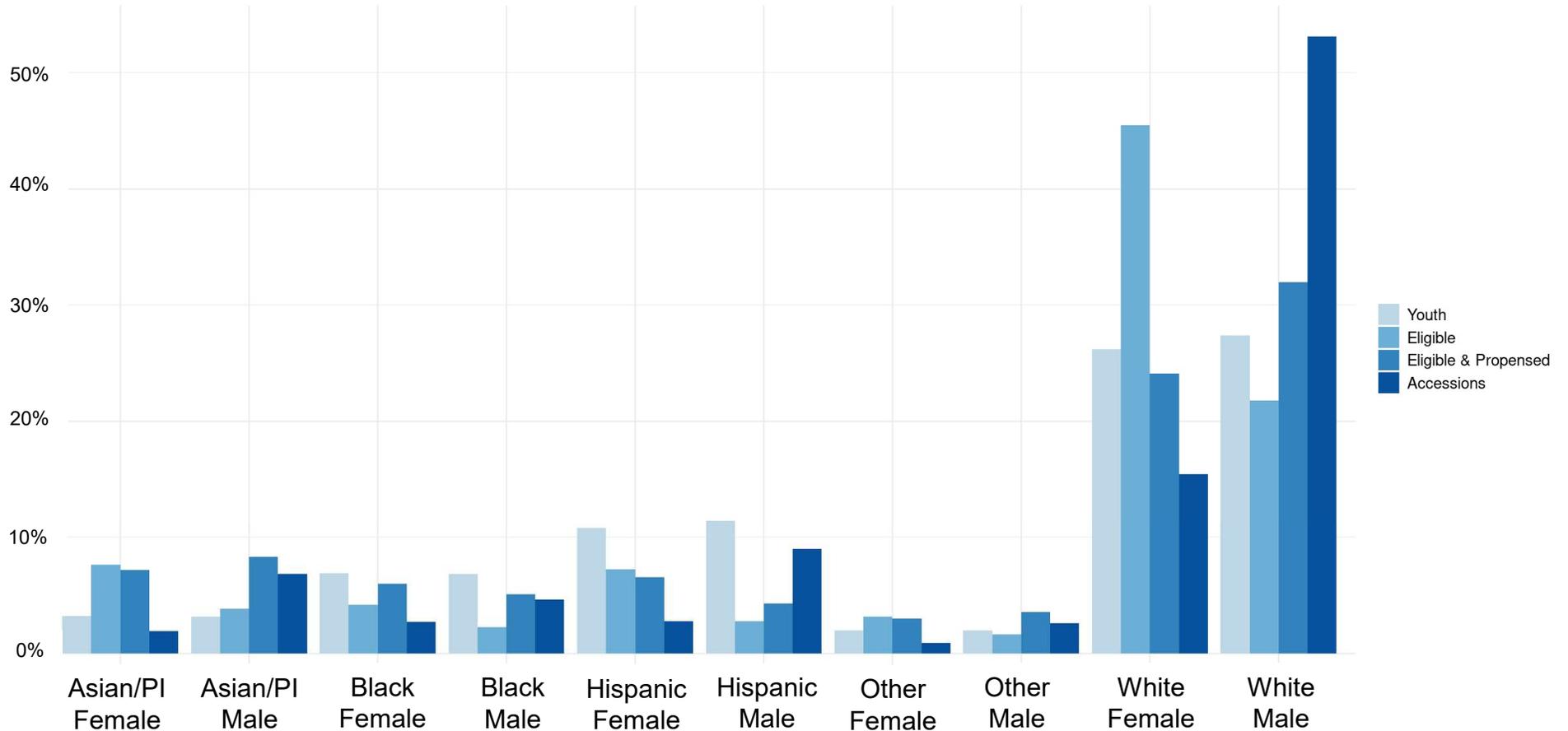


PROJECT AIR FORCE

USAFA FY 2020 Accessions vs Benchmarks by Race/Ethnicity & Gender



ROTC/OTS FY 2020 Accessions vs Benchmarks by Race/Ethnicity & Gender





Envisioning a New Racial Grievance Reporting and Redress System for the United States Military

Focused Analysis on the Department of the Air Force



PROJECT AIR FORCE

Dr. Dwayne Butler

3 May 2024

Bottom Line Up Front – Underpinnings of the Study

- History matters and circumstances leading to the need for an MEO Program have not changed.
- Being a commander-centric organization is appropriate for many circumstances; however, commanders must be equipped with the best possible tools and operating parameters to be successful, and there must be oversight for when commanders are part of the problem.
- The design of the racial grievance reporting and redress system is inadequate to ensure leadership's consistent execution and compliance.
- The MEO system is too narrowly focused on individuals having to file complaints about the behavior of other individuals, missing the need for top-down approaches, and addressing problems with groups, culture, broader patterns of discrimination and systemic issues.

Bottom Line Up Front – as Stated in the Final Report

- This report informs military efforts to improve diversity, equity, and inclusion (DEI) in the armed forces through an examination of policies and structures that constitute the racial grievance system.
- Racial and ethnic bias, abuse, prejudice, harassment, discrimination, and injustice threaten the military's ability to meet its mission, and they create vulnerabilities that adversaries can exploit.
- Negative impacts could span military recruitment, retention, unit cohesion, readiness, performance, leadership, talent management, and the health and welfare of the force.
- Thus, it is imperative that racial grievances are brought swiftly to the attention of military leaders and that leaders address the issues fairly, effectively, and in a timely manner.
- This report identifies gaps, ambiguities, inconsistencies, and reported problems in the military racial grievance system and offers recommendations for improvement and further evaluation.

- I. Our Approach**
- II. The Need for a Racial Grievance Reporting and Redress System
- III. A Closer Look: Racial Grievance Reporting and Redress System
- IV. Summary of Thematic Gaps and Recommendations
- V. Closing Thoughts
- VI. Back Up Slides – More Detailed Findings

- **Reviewed**

- DoD and Air Force policy
- Government reports and statistics
- Related research

- **Conducted**

- Expert panels with service members, veterans and other subject matter experts at RAND
 - 57 participants diverse in their military experiences and demographic characteristics

- **Synthesized** and analyzed the findings

The DOTMLPF construct provides a useful framework to assess the racial grievance reporting and redress system

	Key Lenses Through Which the System Can Be Assessed
Doctrine (and Policy)	<ul style="list-style-type: none"> • Review doctrine/policy for key roles/responsibilities/relationships • Identify strengths, gaps, conflicts, and mismatches on processes and language
Organization	<ul style="list-style-type: none"> • Assess current organizations, organizational positioning and rank of key players
Training	<ul style="list-style-type: none"> • Assess training effectiveness and opportunities for improving as required (time) • Identify barriers to training implementation
Materiel	<ul style="list-style-type: none"> • Review program resourcing • Assess IT system used to report and track MEO grievances processes to identify trends and areas of concern before they become a problem, and track repeat offenders, commander response, victim redress, etc. (common report items) • Examine assessment tools that can be used to gauge attitudes and unconscious bias and train to EO and greater needs
Leadership	<ul style="list-style-type: none"> • Evaluate commanders authorities and the basis of those authorities • Examine how leaders are held accountable, and what checks & balances are in place regarding their management of complaints • Determine if leadership is providing consistent guidance and execution across all commands and echelons
Personnel	<ul style="list-style-type: none"> • Examine role of culture in promoting/detracting from how racial grievances are handled • Assess if offices handling complaints and are properly staffed/trained/empowered (number, rank, etc.)
Facilities	<ul style="list-style-type: none"> • Identify adequacy of facilities and infrastructure to support the processes

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How we defined “Racial Grievance,” “Reporting System,” and “Redress System” for this study

Racial Grievance

- Perception or evidence of bias, discrimination, harassment, favoritism, or other types of disparity based on race, color, or ethnicity
- May be against individuals, groups, policies, processes, climates, or cultures
- May or may not formally register a complaint

Reporting System

- Channels for initiating a formal or informal complaint (e.g., report to MEO, hotlines, surveys, drop boxes on base)
- Recordkeeping of the complaint, parties involved, investigation, outcomes, etc.

Redress System

- Response = Investigation of the complaint; adjudication process; process for appeal
- Resolution = Steps taken to fix the problem, hold people accountable, prevent retaliation and recurrence
- Oversight and monitoring of complaints, response, resolution

Subject matter experts (SMEs) described diverse examples of racial grievances that can occur in the military

Institutional	<ul style="list-style-type: none">• Bias in selection of senior leaders• Racially insensitive Service policies (e.g., forbidding hair styles such as twisted locks, cornrows, afros)• Medical care biases (e.g., who receives pain medication)
Unit	<ul style="list-style-type: none">• Bias in assignment and opportunities• Unequal administration of justice• Hostile command climate• Relative lack of mentoring• Leadership failure to address individual-level transgressions• Exclusion of minorities from social activities• Unequal/inequitable application of rules, regulations, policy
Individual	<ul style="list-style-type: none">• Bias in writing performance evaluations• Offensive jokes, comments• Display of offensive signs or symbols (e.g., noose, swastika)• Racist social media posts, online associations with hate groups• Microaggressions (e.g., assumptions about preferences or abilities based on race or ethnicity)

The military's racial grievance system must be able to detect and address a wide range of issues

- Behaviors, policies, cultures
- Individual and institutional/systemic
- Superior to subordinate, but also peer to peer
- Involving multiple types of bias (e.g., racialized sexual harassment)
- Intentional, unintentional, based in ignorance
- Repeated, persistent, perpetuates injustice
- Offender, bystander, and leader failing to take action
- Overt vs. subtle or covert
- Easy vs. difficult to prove
- Actions that have a long-term career impact
- On- and off-duty behavior, in person and online behavior
- Favoritism for one group as well as negative/hostile against another
- Involving service members, but also family members

DoD and Air Force policy describe prohibited behaviors, responsibilities, and programs to prevent and address racial grievances

- **DoD Directive (DoDD) 1020.02E**, *Diversity Management and Equal Opportunity in the DoD*, June 8, 2015, as amended
- **DoD Instruction (DoDI) 1020.03**, *Harassment Prevention and Response in the Armed Forces*, February 8, 2018
- **DoDI 1350.02** *DOD Military Equal Opportunity Program*, September 4, 2020
- **DoDD 1440.1**, *DoD Civilian Equal Employment Opportunity (EEO) Program*, Change 3, 17 April 1992
- **Air Force Instruction (AFI) 36-7001** *Diversity and Inclusion*, 19 February 2019
- **AFI 36-2710** *Equal Opportunity Program*, June 18, 2020
- **Air Force Policy Directive (AFPD) 36-27**, *Equal Opportunity (EO)*, 18 March 2019
- **AFI 90-301** *Inspector Generals Complaints Resolution*, 30 September 2020
- **SAF/IGQ** *Commander Directed Investigation Guide*, 18 February 2016

Outline

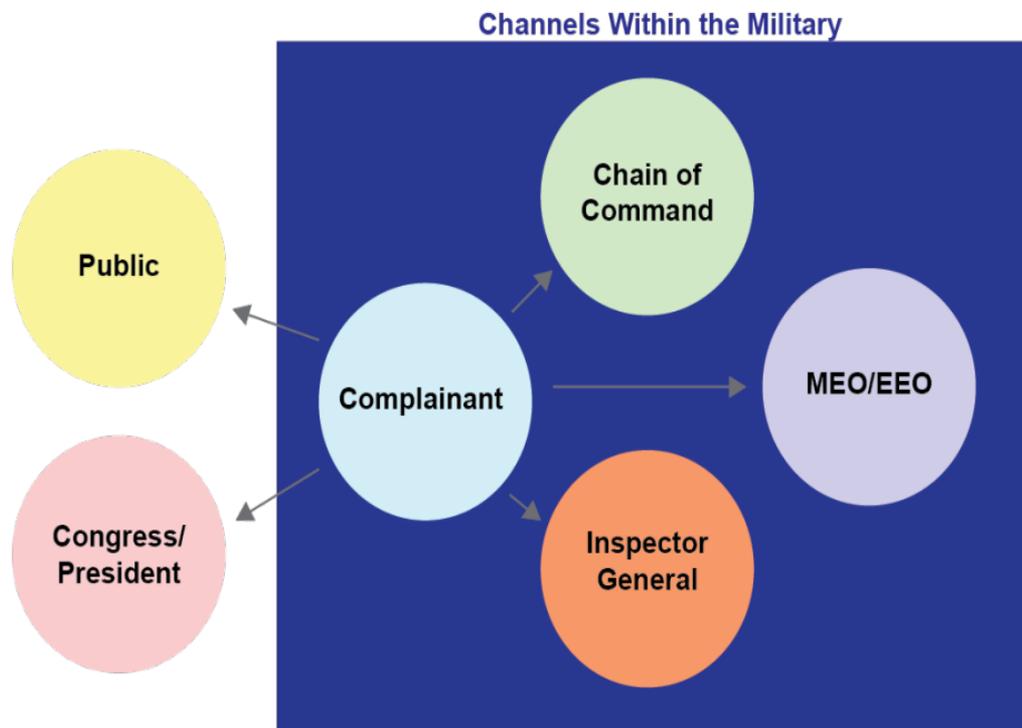
- I. Our Approach
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No single document or policy holistically describes racial grievance reporting and redress system

- We collected and reviewed the main DoD and Air Force policies relevant to the military racial grievance reporting and redress process (e.g., MEO) and searched for program products
- We found no manual or guidebook to lead stakeholders through the process, unlike those that exist for sexual assault and harassment
- For a potential military complainant, there is little transparency into the scale and scope of the system
 - The documentation is complex and time consuming to review

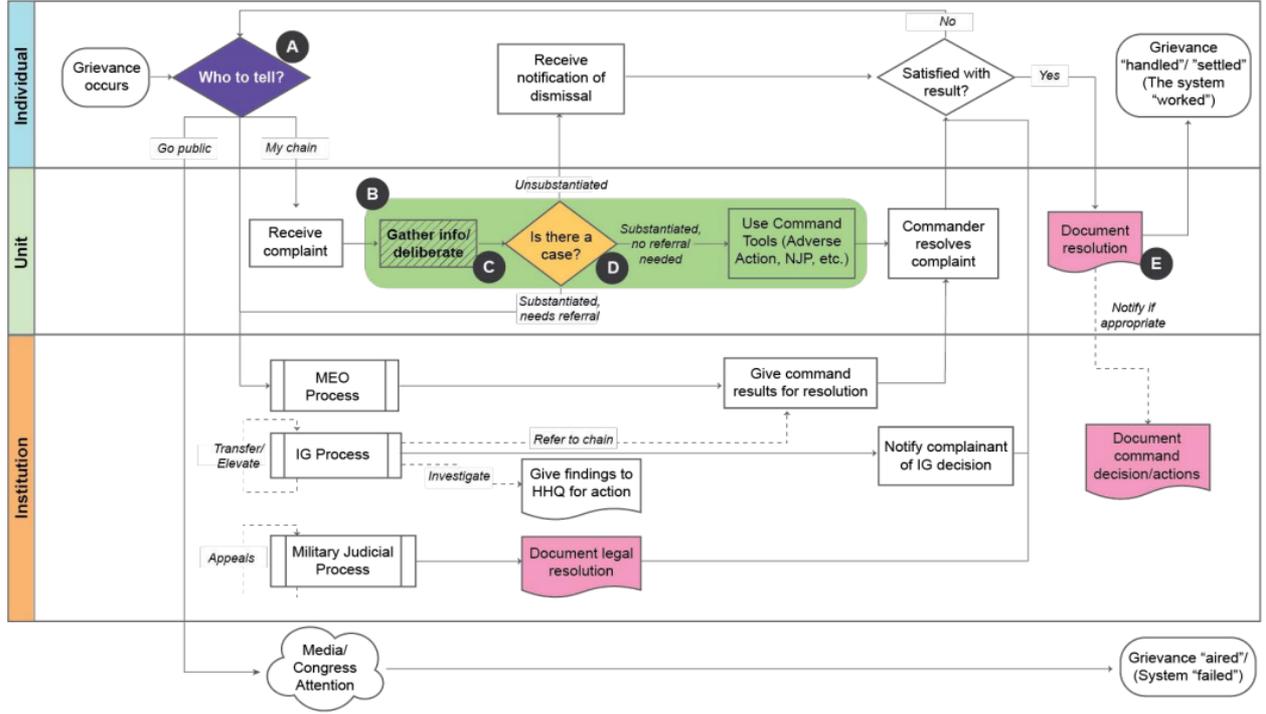
From the perspective of the aggrieved, primary visibility is on potential reporting channels

Figure 4.1. Racial Grievance Reporting Channel Ecosystem



Visibility is lacking on the processes, actors, decision-makers, timelines, protections and possible outcomes

Figure 4.2. Landscape Map of the Military Racial Grievance Reporting and Redress Process – to demonstrate complexity



NOTE: (A) At the individual level, the complainant has little clear guidance regarding to whom a particular complaint should be made (purple step). (B) At the unit level, multiple substeps (green box) are involved in the chain-of-command process; every new individual and handoff increase the potential for bias, inattention, loss of context, and other obstacles to a fair resolution. (C) During investigation (hashed step), there is little transparency regarding who in the chain of command has a touch point with the complainant (e.g., will the subject of the complaint be involved? Will those involved in performance evaluations or other career-related decisions be involved?). (D) Many complainants end up in the chain-of-command process (amber step); however, a commander might be perceived to be part of the problem, might not care, might be unwilling to take action, and/or might not have the skills or knowledge necessary to take appropriate action. (E) At the institutional level, not all decisions are documented, and documented (i.e., final) decisions (pink steps) generally lack detail regarding the individuals and deliberations that were part of the investigation and decisionmaking. Without these data, senior leaders cannot effectively understand more-systemic challenges.

A variety of factors can contribute to a complainants' willingness to report

Examples:

- Reporting channel awareness and access
- Command attitudes and actions regarding previous complaints and DEI more broadly
- Ease or difficulty of using the reporting system
- Recognition of behavior as a problem, rather than “that’s just how it is in the military”
- Degree of trust complaint will be handled appropriately
- Beliefs about whether reporting is beneficial or detrimental to unit cohesion, teamwork, mission, other military priorities
- Perceptions of potential consequences for reporting
 - E.g., stigma, retaliation, ostracization
- Whether peers, mentors, others encourage or discourage reporting
- Other complainants also willing to report same offense/offender
- Seriousness of incident, and/or whether it involves repeat offenses
- Sense of duty to report, mandated reporter

There are three ways the MEO system manages complaints

Informal MEO Complaints

Submitted to: lowest level appropriate

Includes: Alt Dispute Resolution, intervention, notice to cease, or CDI

Standard of Proof: Preponderance of Evidence (more likely)

Appeal: If the complaint can't be resolved within 30 duty days or the complainant is not satisfied with the outcome, the complainant may file a formal complaint

Formal MEO Complaints

Submitted to: Commander, IG, or staff designated by the military; referred to a MEO professional for processing

Includes: CDI (conducted by EO practitioner)

Standard of Proof: Credible Evidence (less likely)

Appeal: Installation Commanders, MAJCOM/CV & SAF/MRB

Anonymous MEO Complaints

Submitted to: AFPC/EO, IG, Hotline, etc.

If complaint contains sufficient info (e.g., name, date, unit) to permit an investigation, the investigation will be initiated by the commander or supervisor in accordance with DoDI and applicable Service regulations.

It is possible that a complainant's identity would be discovered or deduced during the investigation

The aggrieved may share racial grievances outside of the MEO/EEO channel

Internal	External
The transgressor	Social media
Chain of command	Journalists
IG	Opinion Editorials, Blogs
Board for Correction of Military Records	Professional association or advocacy groups
Legal counsel/judge advocates	Congressional complaint
Unit and organizational climate surveys	Special task force/commission
Unit leadership comment boxes	Peers
Union: American Federation of Government Employees (civilian wage grade)	Family members
Peers or mentors	
Counselors or chaplains	

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Table S.1. Summary of Thematic Gaps and Recommendations to Improve the Racial Grievance Reporting and Redress System in the U.S. Military

Thematic Gaps	Recommendations
<p>1. Historical patterns of disparities are embedded in policy and practice.</p> <ul style="list-style-type: none"> a. There is a willingness to appreciate problems but less willingness to identify and address root causes. b. The services' ability to identify, monitor, and evaluate racially motivated misconduct, military equal opportunity (MEO), complaints, and equal employment opportunity (EEO) complaints varies. c. Minorities lack trust in the chain of command's willingness or ability to address racial grievances. 	<p>1. Address historical disparities in policy and practice.</p> <ul style="list-style-type: none"> a. Identify and address the root causes of disparities in discipline. b. Standardize reporting data and implement oversight for documentation to ensure quality and consistent data to support trend analysis and reporting of results. c. Promote services to support the aggrieved (e.g., chaplain or counseling) and provide alternative reporting channels.
<p>2. A proficiency gap exists in the commanders' role in the racial grievance reporting and redress system.</p> <ul style="list-style-type: none"> a. Commanders are not experts in diversity, equity, and inclusion (DEI). b. Commanders have much decision authority with limited accountability. c. Execution and compliance across commanders and across cases are inconsistent. 	<p>2. Incorporate checks and balances on commander decision authority.</p> <ul style="list-style-type: none"> a. Ensure that commanders have appropriate education and training to address DEI issues. b. Consider an objective, independent body consisting of equal opportunity and DEI SMEs to investigate racial grievance reports and recommend options for redress to commanders.^a c. Document, monitor, and evaluate MEO, EEO, and DEI SME advice and commander actions.

¹ The research team used the DOTMLPF framework to identify gaps and needs in the racial grievance and redress system in order to determine solutions and recommendations to address DEI and MEO and redress system shortfalls to help the DAF achieve the professed goals of a DAF grounded in equality and justice. (See Air Force Instruction [AFI] 10-601, 2013, p. 52; and Chairman of the Joint Chiefs of Staff Instruction 5123.01H, 2021.)

Thematic Gaps

Recommendations

- 3.1. Cultural barriers present obstacles at all levels.
- a. The current application of DAF core values might reinforce hostile culture at the individual and unit levels.
 - b. Perceptions of risk to one's professional career might outweigh willingness to report.
- 3.2. The policy language is vague.
- a. Suggestive rather than directive language allows for subjective interpretation and application of the racial grievance reporting and redress process.
 - b. The DAF's definition of diversity might not address all racially motivated misconduct.
- 3.3 The system's organization is complex.
- a. Organizational positioning is at the three-letter support staff level, and no single organization has the necessary investigative authorities.
 - b. There is a lack of policy or guidance that holistically describes the racial grievance reporting and redress system.
 - c. There is little transparency into the racial grievance reporting system for potential complainants.

- 3.1. Mitigate cultural barriers at all levels.
- a. Publicly commit to changing institutional culture, and assess individual attitudes and unit cultures.
 - b. Improve education on retaliation and hostile work environment to set expectations.
- 3.2. Strengthen policy language.
- a. Set standards for fair, equitable, and nondiscriminatory behavior, and use an accountability mechanism in the event of failure to meet those standards.
 - b. Encompass a broader variety of problems, including unit-level issues, and change language to say that violations *will* (rather than *may*) result in disciplinary action.
- 3.3. Reduce organizational complexity.
- a. Adopt an organizational framework that is similar to the Secretary of the Air Force, Inspector General, which includes oversight by an independent investigative authority.
 - b. Provide guidance that holistically describes the military racial grievance reporting and redress system, as well as the available reporting and support channels.
 - c. Increase transparency; notify the General Court-Martial Convening Authority when necessary; and, in egregious cases, share information publicly.

NOTE: The thematic gaps in the left column correspond to the recommendations in the right column.

^a As of September 30, 2022, the DAF revised its Equal Opportunity Program instruction, specifying that MEO and EEO data collection is to be managed within the DAF Equal Opportunity Information Technology System. Notably, the updates to Department of the Air Force Guidance Memorandum (DAFGM) to the Department of the Air Force Instruction (DAFI) 36-2710 (2021) from previous renditions provides increased insight into use of the data.

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Closing Thoughts

- The Department of the Air Force made changes during our time supporting their root cause analysis of disparities and subsequently to the time of the study, including:
 - Updates to policies
 - Updates to practices
- The negative impacts of the root causes of racial grievances ARE spanning military recruitment, retention, unit cohesion, readiness, performance, leadership, talent management, and the health and welfare of the force.
- The evidence is there for continued focus on making changes for an improved service experience by ALL who volunteer to serve.
- Contact Information: dbutler@rand.org, 703-413-1100



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Overview of Key Issues

Lens	Issue	Description
Doctrine (and	Language & Program Design	<ul style="list-style-type: none">• Ambiguous, conflicting, and weak language; no UCMJ Article banning discrimination, and high bar of proof of offense• Full range of source of racial grievances not reflected in language• No established standard for holding offenders accountable• No system to monitor for/ensure compliance
Organization	Structure and Visibility	<ul style="list-style-type: none">• MEO org positioning is 3-letter staff in Support avenue (AF/A1Q); compared to D&I which is now elevated to SAF-level• Can be taken as symbol of DAF priorities, weaken program• GS-12, E5-E7, no Officers run program at base level
Training	Training Guidance, Exposure	<ul style="list-style-type: none">• Policy on reduced training times and training delivery modes hinder discussion/learning (e.g., computer-based training)
Materiel	Inconsistent Data Reporting	<ul style="list-style-type: none">• Lack of sufficient standardized, centralized data reporting makes tracking, trend analysis impossible, hides systemic patterns
Leadership	Checks & Balances	<ul style="list-style-type: none">• Commanders have decision authority w/no expert guidance or standards for appropriate and effective accountability• Lack of accountability/transparency on Commander actions• Allows for inconsistent execution and compliance that can destroy faith in command and process
Personnel	Culture	<ul style="list-style-type: none">• Perceptions that risk to professional life from reporting incidents is very high compared to rate of success of grievances being addressed.• Faith in the culture and system as meritocratic and fair can blind members to bias

Summary of Recommendations

Recommendation	Description
Strengthen Policy Language and Program Design	<ul style="list-style-type: none">• Encompass a broader range of problems, including unit level issues [D]• Establish accountability standards tied to range of behaviors; include minimum requirements [D]• Change language to say that violations <i>will</i> result in disciplinary action, rather than <i>may</i>
Incorporate Checks & Balances on Decision Authority	<ul style="list-style-type: none">• Provide alternate reporting channels. Consider objective, independent body including EO SMEs to investigate and determine whether grievances are substantiated [O, L]• Use/Document EO SME Advice & CC Actions in AF EO Net [D]• Increase transparency; notify GCMCA & share info publicly on egregious cases [D]
Streamline & Elevate Structure	<ul style="list-style-type: none">• Adopt org structure like AF/IG that reports directly to CC [O,L]• Resource w/appropriate rank/grade commensurate w/DAF priorities [O,P]
Provide Support Train Team	<ul style="list-style-type: none">• Promote services to support the aggrieved (chaplain, counseling), ensure providers have appropriate education and training to address such issues [D,O,M]• Better education on retaliation/hostile work environment to set expectations [T]
Resume Training & Increase Training Time	<ul style="list-style-type: none">• Assess individual attitudes/knowledge and unit cultures to ID problems & train to gaps in knowledge/skills [T,L,P]• Increase MEO training time, quality and delivery methods to facilitate meaningful discussions/learning. [T,M]
Standardize Reporting Implement Oversight	<ul style="list-style-type: none">• Standardize reporting data in AF EONet & implement oversight for documentation to ensure quality/consistent data to support to tracking, trend analysis and reporting in the future. [D,L]

TAB F

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INSPECTOR GENERAL

U.S. Department of Defense

MAY 1, 2024

DoD OIG BRIEFING

REPORT FOLLOW-UP PROCESS FOR THE DOD OIG AND STATUS OF DOD OIG REPORT NO. DODIG-2022-144

PRESENTED BY: MICHAEL GUAGLIANO

SUPERVISORY REPORT ANALYST

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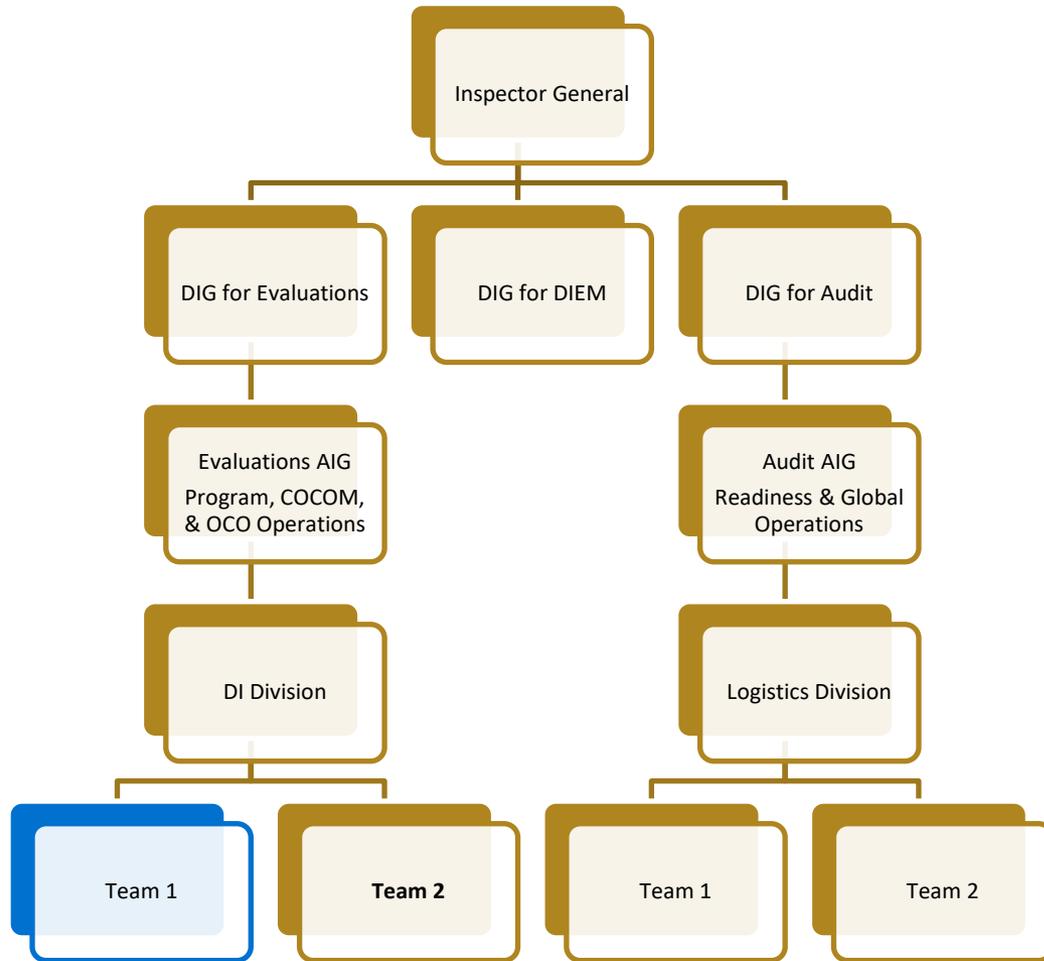
AGENDA

- Evaluations
- Audit Follow-up Roles
- Audit Follow-up Process
- MLDC Project
- Status of MLDC Project
- Discussion and Questions

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DoD OIG STRUCTURE FOR EVALUATIONS



Acronyms:

AIG – Assistant Inspector General

COCOM – Combatant Command

DI – Diversity and Inclusion

DIEM – Diversity, Inclusion, and Extremism in the Military

DIG – Deputy Inspector General

OCO – Overseas Contingency Operations

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ROLE OF REPORT FOLLOW-UP

Follow-up is an integral part of good management and is a responsibility shared by DoD managers and auditors. Follow-up fulfills requirements outlined in the IG Act, Office of Management and Budget, and DoD policy.

The DoD OIG, Report Follow-up Branch:

- Records, tracks, and closes recommendations
 - Includes tracking unresolved recommendations and those recommendations where the project team is conducting a follow-up review
- Provides input for congressional inquiries and testimony before Congress
- Prepares and issues Compendium of Open Recommendations to the DoD and Congress
- Provides status reports to IG Leadership, SecDef/DepSecDef, OSD, Combatant Commands, and DoD Field Agencies/Activities

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ROLE OF AUDIT FOLLOW-UP

Inspector General Act

- Each Inspector General shall prepare semiannual reports summarizing the activities of the Office during the immediately preceding six-month periods ending March 31 and September 30. Such reports shall include, but need not be limited to:
 - An identification of each recommendation made before the reporting period, for which corrective action has not been completed,
 - Information regarding each audit, inspection, or evaluation reporting issued during the reporting period including a listing of each audit, inspection, or evaluation

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ROLE OF AUDIT FOLLOW-UP

- **OMB Circular A-50 Revised**
 - Implementation of DoD OIG recommendations in a timely manner is essential to the DoD improving efficiency and effectiveness of programs and operations
 - Agencies must provide complete records of action taken for monetary and non-monetary findings and recommendations
 - Followup is an integral part of good management and a shared responsibility between management officials and auditors

- **DoD Instruction 7650.3**
 - Implements OMB Circular A-50 for DoD and prescribes DoD OIG followup roles and responsibilities
 - Requires the DoD OIG to evaluate corrective actions taken by DoD Components



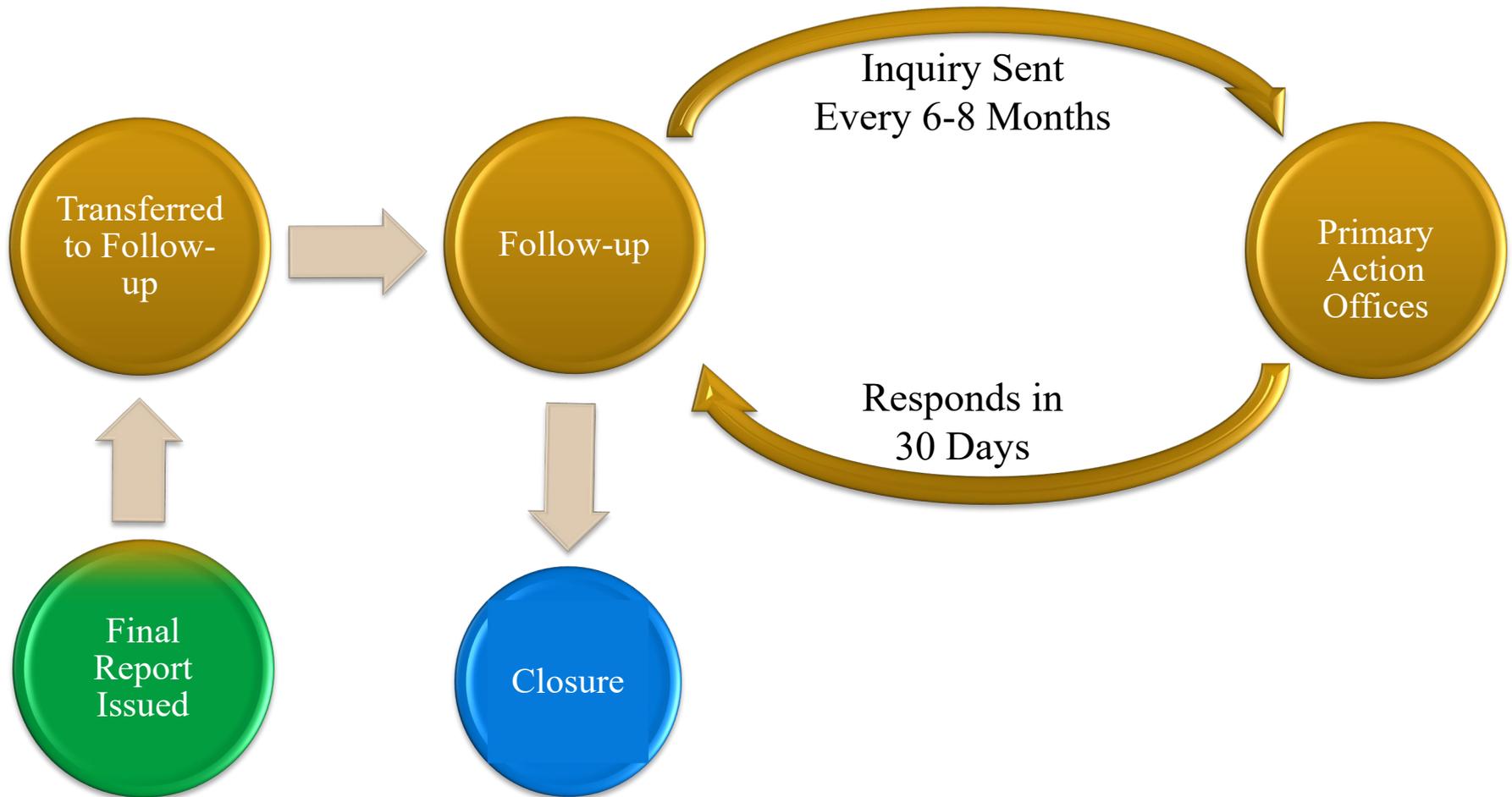
ROLE OF AUDIT FOLLOW-UP

DoD Instruction 7650.03

- It is DoD policy that:
 - Timely decisions and responsive actions will be taken and documented on audit findings and recommendations to reduce costs, manage risks, and improve management processes.
 - An effective, credible decision process will be maintained to: (1) Resolve disputes on audit findings and recommendations. (2) Prevent preemptive actions, such as proceeding with activities questioned in undecided audit reports. (3) Provide prompt and well-documented decisions consistent with statutes and regulations.
 - Follow-up systems will provide for a complete record of action taken on findings and recommendations.



FOLLOW-UP PROCESS



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DoD OIG REPORT No. DoDIG-2022-144

Evaluation of the DoD's Implementation of the Military Leadership Diversity Commission's 2011 Report Recommendations and the DoD Diversity and Inclusion Strategic Plan for 2012 to 2017, September 30, 2022

DoD OIG determined the DoD and the Services implemented 6 of the 18 recommendations identified in the 2011 MLDC report. We also found that the OUSD(P&R) and the Service-level diversity and inclusion offices did not fully implement the remaining 12 recommendations. We also found that the DoD and the Services had fully addressed the three goals identified in the 2012-2017 Diversity and Inclusion Strategic Plan.

The recent DACODAI report recommendation 3 sustains the need to take actions to fully implement the 12 recommendations the DoD OIG determined were not fully addressed from the Military Leadership Diversity Commission's 2011 final report

Where Stand Today. Of the 43 recommendations, 35 recommendations have been closed.

- **Reason Action Not Completed:** The OUSD(P&R) is assessing how to address barriers preventing Reserve Component members from fulfilling joint requirements and addressing weaknesses in the personnel and finance systems that affect transition between Active and Reserve Components. The Navy and National Guard Bureau continue to develop and implement a plan to address the goals outlined in the DoD Diversity and Inclusion Strategic Plan. Estimated completion date is December 31, 2027.
- **Principal Action Office:** OUSD(P&R), Navy, National Guard Bureau

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DoD OIG REPORT No. DoDIG-2022-144 STATUS

- The following 8 recommendations remain open as of April 24, 2024:

Rec.	Service	Last Follow-up Inquiry	Last Response Received	Next Follow-up
A.2.e.4	National Guard Bureau	Apr 2024	Response Due May 2024	TBD
A.2.j.2(a)	National Guard Bureau	Apr 2024	Response Due May 2024	TBD
B.1	National Guard Bureau	Apr 2024	Response Due May 2024	TBD
A.2.d.1	Navy	Dec 2023	Response Overdue Jan 2024	TBD
A.2.1.4	Navy	Dec 2023	Response Overdue Jan 2024	TBD
B.1	Navy	Sep 2023	Nov 2023	May 2024

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DoD OIG REPORT No. DoDIG-2022-144 STATUS

Rec.	Service	Last Follow-up Inquiry	Last Response Received	Next Follow-up
A.2.h.1	OUSD(P&R)	May 2023	Jan 2024	Jun 2024
A.2.h.2	OUSD(P&R)	May 2023	Jan 2024	Jun 2024

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WHO DO WE ALERT?

If you want to close out your open recommendations, who do you contact?

Audit Follow-up:

Supervisory Follow-up Analyst

Michael.Guagliano@dodig.mil

MLDC Report:

Aimee Hughes, Supervisory Program Analyst

Aimee.Hughes@dodig.mil

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DISCUSSION AND QUESTIONS

- Thank you for participating in discussion.
- We encourage you to share with us any suggestions you may have for future evaluation projects and improvements to the evaluation process.
- Questions?

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