

UNITED STATES COAST GUARD

U.S. Coast Guard Academy

Comprehensive Climate and Culture Optimization Review Effort



C³ORE Task Force Study

C³ORE TASK FORCE

CORE VALUES are set of values which provide fundamental guidance for Coast Guard members, both on duty and in private lives, and which challenge those members to live up to the high standards of excellence expected of them. These values are:

Honor.

Honor demands uncompromising ethical conduct and moral behavior in all of ones personal and organizational actions. Honor requires loyalty and accountable to the public trust.

Respect.

Respect requires that all members of the Coast Guard treat each other and those they serve with fairness, dignity, and compassion. It requires that Coast Guard members value the service's diverse work force and that they work as a team to achieve mission excellence.

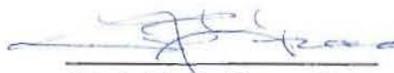
Devotion to Duty.

Devotion to duty demands that all Coast Guard members continually pursue professional excellence, seek responsibility, and accept accountability. It requires a commitment to service and the successful achievement of organizational goals.

February 2007

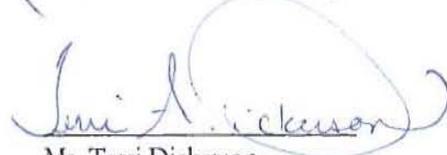
Coast Guard Academy Task Force

We, the appointed members of the Task Force to assess the overall organizational climate, leadership training and character development program at the Coast Guard Academy, do hereby submit the results of our findings and offer our best recommendations to improve the policies, procedures and climate for the Coast Guard Academy and for the Coast Guard officer workforce.

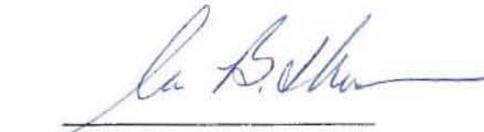

Admiral James Gracey, Mentor

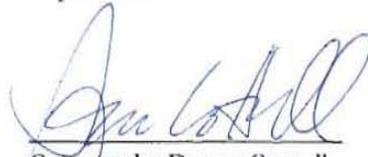

Rear Admiral Erroll Brown, Leader

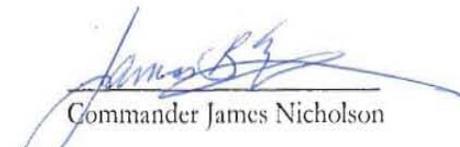

Rear Admiral Robert Parker


Ms. Terri Dickerson

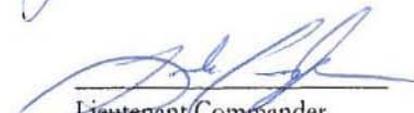

Captain Robert Desh

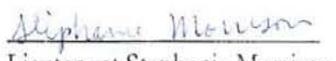

Captain Cari Thomas

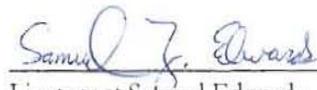

Commander Donna Cottrell


Commander James Nicholson


Lieutenant Commander
Richard Batson


Lieutenant Commander
Lucinda Cunningham


Lieutenant Stephanie Morrison


Lieutenant Samuel Edwards


Senior Chief Petty Officer
Duane Wiegardt, II

Biographic Summaries of the Task Force

Admiral James Gracey, Task Force Mentor (USCG, Retired) was the Commandant of the Coast Guard from 1982-1986. He is a 1949 graduate of the Coast Guard Academy with a Bachelor of Science in Engineering. During his four years as a cadet, he served as the Battalion Commander, captain of the baseball team, and a member of both the soccer and rifle teams. On graduation day, he was awarded the prizes for the Most Proficient in Practical and Theoretical Seamanship and Proficiency in Tactics and Drills. He remained at the Academy as Instructor in the Tactics Department until September 1949. He later served as an Academy Assistant Tactics Officer and Baseball coach until attending Harvard Graduate School, earning a Master of Arts in Business Administration. As a flag officer, he served as the Commander, Ninth Coast Guard District, Coast Guard Chief of Staff, Commander, Pacific Area/Twelfth Coast Guard District and Commander, Atlantic Area/Third Coast Guard District. As Commandant, he was an advocate for modernization; his foresight was instrumental in positioning the Coast Guard fleet into the 21st century. Under Gracey, the Coast Guard maintained its position as a national defense force including participating in military operations during the 1983 invasion of Grenada. This endeavor laid the groundwork for integration into today's homeland security and homeland defense organizations. Admiral Gracey also directed the service during high profile counterdrug operations, governmental reform initiatives, search and rescue following the loss of *Challenger* and the UNITAS program, and strengthening the service's ties with Caribbean nations which endure today. Two major initiatives while Commandant, Admiral Gracey instituted policy enforcement regarding zero tolerance for illegal substance and advanced the integration of women in the service, particularly in non-traditional specialties; Coast Guard operations today significantly benefited from these efforts. In the end Admiral Gracey states that his greatest accomplishment during his tenure as Commandant was "the ability to keep the Coast Guard afloat ... keep it on an even keel, and keep it moving forward." His contributions continue today.

Rear Admiral Erroll Brown, Task Force Leader (USCG, Retired), is a 1972 Coast Guard Academy graduate. He holds degrees from University of Michigan (M. S. Naval Architecture/Marine Engineering, M. A. Industrial and Operations Engineering), Rensselaer Polytechnic Institute (M. B. A.) and the Naval War College, M.A. (National Security and Strategic Studies). He also completed Harvard's John F. Kennedy School of Governmental Programs for Senior Executives in National and International Security. Registered as a Professional Engineer in Virginia, he co-authored a textbook, *Ship Replacement and Prediction of Economic Life*. He is a long-standing member with the American Society of Naval Engineers, Society of Naval Architects and Marine Engineers, the American Society of Engineering Educators and has held offices at various levels with these organizations. He taught Naval Architecture and Marine Engineering at the Coast Guard Academy, served on the Academy Board of Trustees, and served as a program evaluator for the Accreditation Board for Engineering and Technology.

Rear Admiral Robert Parker is a 1979 graduate of the U.S. Coast Guard Academy. He holds a Master of Arts in National Security and Strategic Studies from the U.S. Naval War College, and completed a one-year National Security Fellowship at the John F. Kennedy School of Government at Harvard in 1999. He served over twelve years of sea duty on both coasts, including three commands and the Chief, Professional Development Branch at the Coast Guard Academy. Previously, he was a member of the Junior Officer Needs Assessment study and reorganization plans of the Coast Guard in the new Department of Homeland Security. He is currently the Assistant Commandant for Operations Capabilities, and is responsible for the allocation, distribution, management and recapitalization of all Coast Guard operational forces, including aircraft, cutters, boats, shore facilities and operational command and control infrastructure.

Ms. Terri Dickerson, a member of the government's Senior Executive Service since 2000, leads the Coast Guard's Office of Civil Rights. Ms. Dickerson is a graduate of the University of Virginia (B.S. Education) and the Johns Hopkins University (M. A. Government). Ms. Dickerson analyzed and provided recommendations to the White House, Congress and the public on issues of Civil Rights, small disadvantaged businesses, and was the Executive Director/CEO for American Women in Radio and Television. She held numerous leadership positions in the public and private sectors. As an author, her articles appeared in industry and national publications. Her book, *50 Activities for Diversity Training*, was a bestseller for its publisher, HRD Press. She wrote and contributed to many reports that bear the U.S. government seal. Among many other duties, Ms. Dickerson served on many boards of directors.

Captain Robert Desh is a 35 year veteran, former Chief Petty Officer and Chief Warrant Officer. He holds degrees from the University of the State of New York (B.S. Political Science), University of West Florida (B.S. Industrial Engineering Technology), completed post-graduate study at Florida Institute of Technology, Central Michigan University and is a graduate of the Command and Staff Program at the Naval War College. He was previously the Director, Leadership Development Center at the Coast Guard Academy. In addition to his official duties, Captain Desh was a contributing author to the *Armed Forces Officer* (2006), has published several articles on leadership, and serves on the Board of Regents for the Foundation for Coast Guard History.

Captain Cari Thomas is a 1984 graduate of the Coast Guard Academy (B. S. Civil Engineering). She also holds degrees from Troy State University (M. S. Educational Leadership) and College of Naval Warfare, Naval War College (M. A. National Security and Strategic Studies with distinction). Captain Thomas was previously assigned as an Academy summer Ensign, Academy Admissions, served on the Alumni Association Board of Directors, and inducted into the Kappa Delta Pi Honor Society. As a program reviewer, she oversaw Academy modernization funding for Munro, Yeaton and Satterlee Halls. Captain Thomas previously served in speechwriting positions, is a published author and participated in other hallmark Coast Guard transformation studies.

Commander Donna Cottrell is a 1982 Ohio University graduate (B. S. Education) and holds a graduate degree the Air Force Institute of Technology (Information Resource Management). She enlisted in 1984, served as a Boatswain's Mate and Avionics Technician before attending Officer Candidate School. Rated in both the HH-65 Dolphin and TH-57 helicopters, she served as an Instructor Pilot on these aircraft. Commander Cottrell served on the Coast Guard's Logistics Transformation Project and is the Executive Officer, Air Station Detroit.

Commander James Nicholson is a graduate of the New Jersey Institute of Technology (B. S. Engineering Technology cum laude), Seton Hall University School of Law, and a member of the New York State bar. Enlisting in 1977, he served as an Electronics "A" School instructor, graduated from the Advanced Electronics Technology Program and earned advancement to Chief Petty Officer before attending Officer Candidate School. Having served in a variety of responsible judge advocate positions, currently he is the Commandant's Ethnic Policy Advisor

Lieutenant Commander Richard Batson is a graduate of Appalachian State University (B. S. Music Industry Studies), Troy State University (M. P. A.) and received his law degree (with honors) from Case Western Reserve University. He enlisted in 1989 and served as a Quartermaster before attending Officer Candidate School. Lieutenant Commander Batson has since served as a Casualty Analyst, Senior Investigating Officer, Special Assistant U. S. Attorney and is currently the Staff Judge Advocate at Coast Guard Training Center Yorktown.

Lieutenant Commander Lucinda Cunningham is a graduate of North Carolina A & T State University (B. S. Industrial Technology Electronics and Industrial Technology Manufacturing) and the University of Maryland University College (M. S. Information Technology). She began her career as an enlisted Electronics Technician in 1990. After attending Officer Candidate School, she was assigned to the Coast Guard Ceremonial Honor Guard. Currently, she is the Assistant Operations Officer at the Navigation Center.

Lieutenant Stephanie Morrison is a 1998 graduate of the Coast Guard Academy (B. S. Government). She was selected for the Instructional Technology program, and attended San Diego State University where she earned a Master of Arts in Educational Technology. She was assigned in both afloat and ashore assignments, and is currently a Human Performance Technologist at Coast Guard Headquarters. Lieutenant Morrison has participated in the Financial Management Task Force in addition to the Coast Guard Academy Task Force.

Lieutenant Samuel Edwards is a 2000 graduate of the Coast Guard Academy (B. S. Electrical Engineering) including a two year religious sabbatical while a cadet. He is a graduate of Virginia Polytechnic Institute and State University (M. S. Electrical Engineering) where his thesis dealt with statistical analysis of the USCG data network. He served as an engineer afloat, was a project officer for Rescue 21 (communications systems modernization) project and is currently a communications engineer at the Coast Guard's Research and Development Center.

Senior Chief Petty Officer Duane Wiegardt II is currently the Chief of Damage Control School for Coast Guard enlisted members at Training Center Yorktown, Virginia. After enlistment in 1986, Senior Chief Wiegardt served aboard seven operational units including five ships, a Marine Safety Detachment and an Aids to Navigation team. He participated in organizational efforts for his rating as a Damage Controlman and assisted in establishing inventory and training protocols for Chemical, Biological, Radiological and Nuclear protective equipment.

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Forward

DARE TO INSPIRE

(beliefs, knowledge, trust)

It is a noble and extraordinary challenge to mold an excited “swab” into an officer and leader of character ... but that is precisely the life changing transformation that the American public expects to occur within 200 weeks at the Coast Guard Academy.

We have arrived at a time in our effort to mold leaders of character when we must shift from focusing primarily on behaviors to instilling beliefs ... from emphasizing “not” to enhancing knowledge ... from heightening supervision to elevating trust.

Much as changing tools, technology, environment, and threats precipitated the need for and shaped the maritime transition from sail to steam, and from schooners to nuclear subs, a similar myriad of changing influences and needs form a compelling catalyst for change at the Academy.

Today’s youth find themselves awash in information and immersed in a battlefield of values and must become leaders in an increasingly complex environment of dynamically changing policy, security and interdependent domestic and international issues.

The Task Force finds strong evidence that these factors, among others, create a tipping point and signal an urgent need for the Coast Guard Academy to fundamentally shift its officer and leader development model.

While the classic structure and process recommendations included in this report are critical underpinnings to change, clearly, they alone are not sufficient to adequately address this human endeavor to nobly inspire tomorrow’s leaders. For the character we seek to instill does not reside in the organizational structure or its regulations but in its people, the professional staff, faculty, coaches and all those who bring the institution to life. Accordingly, our challenge is to implement a model for developing military professionals and implement sustainable change at the Academy which exists within a broader environment awash in youth-filled indiscretions, sliding social norms and failing business ethics¹. To accomplish this, there must exist a unity and clarity of purpose at the Academy that is indivisible among its organizational elements. Also, there must be a covenant of unequivocating coherence and an active social construct that clearly communicates this single message and purpose of the Academy.

¹ Sarbanes – Oxley Act of 2002

The complexity of this human endeavor to develop leaders of character requires the organization's full-spectrum integration of intellectual underpinnings, reinforced by experiential practicums and internalized through individual reflections and feedback. This leader development program must exist within a broader systemic strategic planning architecture that ensures consistent alignment with Service requirement, assigns organizational accountability, and validates that the desired outcomes have been achieved. The Task Force finds abundant evidence that points to an urgent need to shift from a heightened focus on behavior, regulations and oversight to implementing a model for developing military professionals, officers and leaders of character, building on shared beliefs, knowledge and enhanced trust.



The Coast Guard Academy Mission Statement

The United States Coast Guard Academy is committed to strengthening the nation's future by educating, training and developing leaders of character who are ethically, intellectually, professionally, and physically prepared to serve their country and humanity, and who are strong in their resolve to build on the long military and maritime heritage and proud accomplishments of the United States Coast Guard.

The Task Force Mission Statement

Evaluate the governance, climate, leadership, training, and character development at the Coast Guard Academy to assess its effectiveness in

- instilling Coast Guard core values and*
- building future officers who employ these values, on and off duty, in achieving mission excellence.*

Recommend improvements as appropriate.

Executive Summary

When Alexander Hamilton constructed the Coast Guard, he insisted on rigorous professionalism and irreproachable conduct, perceiving that if service members searched vessels in a condescending manner, their behavior might be construed as inappropriate, and consequently erode public support. Hamilton reminded captains to “always keep in mind that their countrymen are free men and as such are impatient of everything that bears the least mark of a domineering spirit. [You] will therefore refrain ... from whatever has the semblance of haughtiness, rudeness, or insult.”²

Hamilton’s foresight could scarcely have been more evident in 2005 after Hurricane Katrina. Race, class, and other factors intensified public scrutiny of federal response to the costliest and one of the deadliest hurricanes in the history of the United States. To coordinate and direct certain aspects of the operation, President George W. Bush ultimately put Coast Guard Vice Admiral Thad W. Allen as principal federal official of hurricane relief efforts. Of the 60,000 people stranded in New Orleans, the Coast Guard rescued more than 33,500. Congress recognized the service’s response with an entry in the Congressional Record.³

Periodic Assessment

“Rather than anchoring vessels within the harbors, it will be necessary for you to play along the coasts in the neighborhood of your station...to fix yourself constantly or even generally at one position would, in great measure, defeat the purpose of the establishment. It would confine your vigilance to a particular spot.” Alexander Hamilton, 4 July 1791

Coast Guard core values, and producing future officers who employ those values in achieving mission excellence. The charter required that “[the Task Force] will determine the extent to which [climate, leadership training, and character development programs] promote academic excellence, reinforce the core values of honor, respect, and devotion to duty; and prepare future officers who will lead by

The four-year process of developing a professional officer is one that is steeped in tradition, education, and training and has changed mightily since the Academy’s inception aboard ship. In September 2006, Vice Admiral Robert J. Papp chartered a Task Force to assess Coast Guard Academy’s effectiveness in instilling

² “Treasury Department Circular to the Captains of the Revenue Cutters,” June 4, 1791, vol. 8, p. 432, as cited in Ron Chernow, *Alexander Hamilton*, The Penguin Press, New York, 2004, p. 340.

³ “Hurricane Katrina,” http://en.wikipedia.org/wiki/Hurricane_Katrina (last accessed January 6, 2007)

example and excel in mission execution.”⁴ This document offers the findings, recommendations, and proposed courses of action for improvement stemming from that effort.

In carrying out its duties, the Coast Guard’s core values provide the character foundation upon which all members are expected to live their lives and carry out their official duties. So much of the national prosperity and global competitiveness is based on America’s robust marine transportation system which requires Coast Guard presence offshore and at home.

The Academy plays a fundamental role in providing the Nation’s supply of fleet-ready Ensigns. Daily, Coast Guard missions across the country involve recent Coast Guard Academy graduates. Traditional locations include ships involved in drug and migrant interdictions or fisheries enforcement. Other assignments include port security enforcement, search and rescue coordination and aviation training. The work for these graduates is rewarding but challenging and their commands assess their leadership skills as generally sufficient to begin their careers as officers. Overwhelmingly, the experiences earned in the various summer programs in exposing cadets to the Coast Guard are positive.

Competition for the Millennial Mind

Any worthwhile assessment of the Academy must begin with today’s high school graduates. Who are they? Starbucks, voice mail, personal computers and AIDS have been around their entire lives. Technologically savvy, they consider VCRs old fashioned. Connectivity is paramount; they nurture local and international friendships through cell phones and Internet. Having been shuttled to activities (by Baby Boomers for whom parenting is a competitive sport), they are accustomed to busy schedules. Their parents didn’t drop them off at school activities, but stayed to cheer them on. Consequently, they expect and rely on parental involvement. Unaccustomed to waiting, they grew up multi-tasking, instant messaging, and easily finding whatever they wanted online, any time of day or night.

Because of their common characteristics, and coming-of-age near the turn of the century, sociologists have termed them the Millennial generation,⁵ persons born after 1982. Like those who went before them, this generation strives to break from the previous one (Generation X, 1961-1981), wants to correct what they perceive

⁴ Vice Admiral R.J. Papp, Charter, U.S. Coast Guard Academy Organizational and Climate Assessment Task Force, September 12, p.1.

⁵ Generational research started with the Puritan generation, which founded the nation. Since then, a generation is essentially thought to comprise around 20 years. Generational theory assumes that events influence people who share common birth years. Common experiences influence commonly-held beliefs and behaviors, and form personality characteristics associated with that group of people. (See Coomes, M. and DeBard, R. “A Generational Approach to Understanding students.” *New Directions for Student Services: Serving the Millennial Generation*, summer 2004, Issue 106, 5-16.)

as problems with the current midlife generation (Baby Boomers, 1943-1960),⁶ and fills a social void left by the departing generation. The latter may explain Millennials' upbeat, optimistic, trusting attitude.

“There’s a new ‘arms race’ among today’s teens and it’s called ‘getting into college.’”⁷ Parents of millennials have prepared them from birth for college admission. Waiting lists for the right pre-school, paramount to acceptance into a gifted and talented elementary school leading to acceptance in a Magnet high school, are all familiar to the Millennial. The Academy, like other institutions of higher learning, has changed in efforts to make itself relevant and attractive to new potential enrollees. Its impetus derives not for business, but national security reasons. That is, the Academy is duty bound to ensure the Coast Guard has enough officers in the service to carry out its mission.

Millennial students are the most racially and ethnically diverse yet. Products of working parents, they were raised in America’s most affluent era. Perhaps most relevant to the Task Force’s mission, they were exposed to sexuality more than preceding generations, at school, on TV, in popular media, and in politics. They are accustomed to hearing conversations previously considered taboo, and show increasing support for gays and lesbians. They are more comfortable discussing sex than previous generations. Ambitious, achievement-oriented, and confident, they grew up earning trophies for winning or participating. They learn in groups, help each other, and are public service oriented.⁸

Findings

“Everyone at the Academy contributes to character development, so we must immerse the cadets in a sea of professionalism. Everyone here is a role model.” Rear Admiral J. Scott Burboe, current CGA Superintendent

“As you can see, this is not your normal college,” a cadet, from the class of 2009, observed, implying that the purpose for which the Coast Guard Academy exists is palpable and readily evident to visitors. The Academy is as unique as the Coast Guard and an institution of American higher education that serves an important broader

purpose. As a national asset, Coast Guard Academy graduates with undergraduate technical degrees are needed to contribute to the economic prosperity and global competitiveness of the United States.⁹

⁶ Coomes, M. and DeBard, R. “A Generational Approach to Understanding students.” *New Directions for Student Services: Serving the Millennial Generation*, summer 2004, Issue 106, 5-16.)

⁷ Howe, N. and Strauss, W., *Millennials Go to College*. American Association of College Registrars and Admissions Officers and LifeCourse Associates, 2003.

⁸ Ibid.

⁹ Spellings, Margaret. *A Test of Leadership: Charting the Future of U. S. Higher Education* (A Report of the Commission). U. S. Department of Education. September 2006. pp. ix

The Academy's population consists of cadets from 47 states, eight countries, 28% women and 13% minorities. Sexual harassment and ethnic or racial discrimination continue to decline at the Academy, but there is still work to be done. Cadets respond well to the Academy's Chief Petty Officers as mentors, perhaps a reflection of the high regard which young people place on parental figures. The leadership of the Academy, including the newly reported Superintendent, Assistant Superintendent, Commandant of Cadets and Dean of Academics are enthusiastic, cooperative and dogged in their pursuit of the mission. Demonstrating pro-action, they undertook a number of initiatives to influence cadet behaviors and social norms; it is yet too early to assess their impact, but is indicative of their drive to improve. Each wants the best for their cadets, their staffs and their Academy. The Academy's .edu web page describes their collective goals,

*"Few colleges and universities provide an environment renowned both for **academic excellence** and the **development of leaders**. Fewer still combine that environment with **rigorous professional training** that prepares students for **meaningful careers** in selfless service to others."¹⁰*

As part of a continual process of improvement, the academic program continues to earn institutional accreditation through the New England Association of Schools and Colleges, as well as other certification boards. The Task Force strongly concurs with efforts to maintain this status. In 2000, the report commended the Academy: "It is readily apparent that the Academy's admirable mission and purpose are fully supported by its institutional resources and that it provides an education of the first order."¹¹ program-level accreditation has been achieved as well; all engineering degrees are accredited by the Accreditation Board of Engineering and Technology and the management major achieved initial accreditation by the American Association of Colleges and Schools of Business.

The sports programs, whether on the 23 intercollegiate team level (described at www.cgasports.com) or seven club sports, are also enjoying national and regional recognition even with the relatively small size of the 900-1000 student body. The women's volleyball team advanced to the NCAA Division III Elite 8 for the first time in school history, the women's cross country team won their first ever New England Women's and Men's Athletic Conference (NEWMAC) Championship, the men's soccer team for the third time in four years earned a berth to the ECAC Tournament, the sailing team finished third in the first ever ICOSA Sloop National Championship, and the football team advanced to the ECAC North Atlantic Football Bowl Game.¹² At the club level, the men's rugby team captured the

¹⁰ Coast Guard Academy web site, <http://www.uscga.edu/>, Accessed 30 November 2006.

¹¹ Coast Guard Academy web site, http://www.uscga.edu/uploadedFiles/Academics/draft_course_catalog_web.pdf, pp 4 accessed 30 Nov 2006.

¹² Coast Guard Academy sports program web page, <http://www.uscgasports.com/>, accessed 30 November 2006.

Men's Division II national title; it was the team's third consecutive trip to the tournament and first national title.¹³

Nonetheless, the Task Force also found a collegiate university experience that has eroded its connection to the very things that the Coast Guard holds dear...its uniqueness as a military service and a law enforcement agency as well as membership in the national intelligence community. Both academic accreditation and the large and varied intercollegiate sports programs have, in some ways, eclipsed leadership development. As one of many examples, one of only two academic leadership courses that provide the opportunity for both an intellectual foundation and reflection was recently eliminated from the core curriculum. Rather than an integrated, "all hands on deck" approach, the Task Force found resistance to live by two principles of Coast Guard operations, Unity of Effort and Flexibility. Unlike other service academies that have both .mil and .edu addresses, the Academy communicated "leaders of character" with less prominence than athletics and academics on its web page. This is consistent with the prioritization that cadets told the Task Force influenced them when they prepared for enrollment and throughout their experiences.¹⁴

As defined by the Task Force charter, areas that guided the organization of data collection were governance, leadership training, character development as well as culture and climate. With a more balanced focus of the cadet program, gaps in some of the more pervasive areas can begin to be addressed. Although sexual assault, harassment and ethnic discrimination declined, much is left to do. Ahead of schedule, the numbers of women cadets increased, however the percentage of minority cadet population decreased in the last 15 years. Enlisted representation in the cadet barracks is a resounding success, and a refocus on the duties and cadet contact with company officers is needed. Because college students struggle with personal and professional identity as they mature, the service academy experience can magnify this struggle and lead to apathy and cynicism toward their future alma mater. Although the Academy took individual action when cadets violated honor and conduct policies, a better cadet understanding of the service's core values, personal value development and risk management should result in declines in violations over time. Not unlike colleges or other service academies, issues of wellness and stress reduction remain paramount to decrease alcohol abuse and other related disorders.

Foremost, this document reaffirms the need for the Academy to serve as a character-building institution that imbues cadets with the Core Values of the Coast Guard — honor, respect and devotion to duty. It reaffirms the need for the Academy to develop leaders and scholars who lead healthy lifestyles. Factors which contribute to or hinder leadership and character building form the basis for

¹³ Coast Guard visual image database, <http://cgvi.uscg.mil/cgi-bin/aplaunch.pl>, accessed 30 November 2006.

¹⁴ Cadet focus group results, November 2006.

the report. To that end, the Task Force offers recommendations throughout, which fall into broad categories that are designed to mirror change management principles of systems, structure and culture. In order to fully appreciate the complexity of the issues, reading the entire report is recommended.

“Out of these characteristics a certain center of gravity develops, the hub of all power and movement, on which everything depends. That is the point against which all our energies should be directed.”
Carl von Clausewitz¹⁵

There is so much that is good at the Academy; good government dictates the need to review and improve to become even better. In light of national efforts to improve higher education, “this new landscape demands innovation and flexibility from the institutions that serve

the nation’s learners.”¹⁶ Primarily, the recommendations’ central theme revolves around the need to teach and reinforce officership¹⁷ while maintaining its other achievements. The profession of being an officer demands a unique blend of skill, expertise and personal integrity in becoming a leader of character, servant of the nation, defender of the Constitution and exemplar of its ideals. As explained by Admiral Thad Allen, “It’s not [just] sportsmanship, it’s not [just] leadership, it’s [just] not scholarship...it’s officership.”¹⁸ The following main themes are identified as principal recommendations:

- Develop military professionals, through the concept officership.
- Elevate the core value of Respect in cadet development (like Honor).
- Systematically and strategically plan and support long-term requirements.
- Implement a cadet leadership and character development program.
- Create a more diverse educational environment.
- Market the Coast Guard Academy.
- Measure change through oversight and auditing.

¹⁵ Clausewitz, Carl von. *On War* (regarding Center of Gravity); http://www.nwc.navy.mil/vti_bin/shtml.dll/L1/SearchAndIndex.htm Presentation by Professor Thomas Mahnken, U. S. Naval War College, accessed 21 January 2007.

¹⁶ “Spellings, pp. viii.”

¹⁷ As applied at the Coast Guard Academy, officership requires a holistic approach where all elements of the various divisions have a shared duty to instill leadership, responsibility, accountability and discipline on cadets. As applied in the Coast Guard, it requires a systematic focus and program to develop and sustain these elements over the course of an officer’s career, including critical thinking and life-long learning. As a military officer, it requires an understanding of civil-military relations, a sustainable approach to personal readiness rigors and the appreciation of the value of diverse thought and workforce.

¹⁸ Speech to the Corps of Cadets, 09 January 2007

Call to Action

“A long habit of not thinking a thing wrong gives it a superficial appearance of being right.”

Thomas Paine
Common Sense, 1776

History

Few except the harshest critics controvert the reality that the Coast Guard Academy has much going for itself. Established in 1876 as the Revenue Cutter School of Instruction, then conducted aboard a schooner briefly in Baltimore and then New Bedford, the Academy has become an academically competitive, selective institution, which offers eight bachelor of science degrees, fields 23 varsity athletic teams, and commissions some 175 ensigns (junior military officers) at graduation every May, who accept the responsibility to support and defend the Constitution of the United States.¹⁹

Alexander Hamilton established the Academy's roots in 1790 when he proposed the formation of a seagoing military service to: enforce customs and navigation laws; collect tariffs; hail in-bound ships; inspect vessels; and certify manifests. The Academy operated as a shipboard institution until 1890 when it established its first land-based campus in Curtis Bay, Maryland. In 1910, the Academy moved to the Revolutionary War fort and Army post at Fort Trumbull in New London, Connecticut. Five years later, the Life Saving and Revenue Cutter Services merged, giving rise to the Coast Guard, and by extension, the Coast Guard Academy. In 1932, citizens of New London donated the land along the Thames River on which the Academy is now situated.²⁰

A call to action

Why, then, undertake this examination?

To paraphrase Thomas Paine's observation at the dawn of the American Revolution: though the Academy might not be at variance with common principles of right and wrong, its stewards have come to accept some of its sub-optimal practices as right. It does this in part because such practices appeal to

¹⁹ Coast Guard Academy web site, <<http://www.cga.edu/about/index.aspx>> (last accessed January 3, 2007) (hereafter cited as CGA Web Site).

²⁰ CGA Web Site, <http://www.cga.edu/about/index.aspx>, last accessed January 7, 2007

modern-day prospective enrollees, cadets, faculty, and parents. The consequences of this finding are daunting, and its effects permeate every aspect of cadet life, from how they apply the honor concept, to the respect they hold for others. Zeal to appeal may have led to the erosion of some traditional practices that reinforced core values and attitudes of character in previous generations of cadets. In the Paine vernacular, the fact that so many are pleased with enrollment goals, athletic accomplishments, military competitiveness and academic standing does not mean there is nothing amiss. This is the main point to which this report addresses itself.

During the course of this study, many of the people contacted assumed that this review was driven entirely by the recent seminal Court-Martial of an Academy cadet and the attendant discovery of undesired behavior by accused, victims and witnesses. While that event was a catalytic factor in the timing of the convening, the impetus for the work was the Coast Guard's desire to examine whether the Academy, as its sole complete undergraduate education accession program, was serving the needs of a rapidly and dramatically changing Coast Guard, and whether the existing programs were sufficient to induce cadets to apply sound individual judgment and exemplary character in all aspects of life, that is, on and off duty. The team's charter centered on the proposition that comprehensively, the culture, climate, leadership, learning opportunities, athletics, and collateral programs at the Academy, must instill Core Values and cultivate Leaders of Character in 200-week cycles.

The team came to this work with very diverse backgrounds, and some predisposed notions about the Academy, but no predisposition toward particular actions or recommendations. While most people view the same world, the lenses of their own experiences shape their beliefs and value systems. Therefore, the team openly identified their own formative experiences to the rest of the group as a means to raise awareness and caution themselves against potential biases which might affect their judgment of the Academy. The result of this early acknowledgement and adjustment lead team members to quicker and more profound acceptance of actual, not assumed, states.

What you need to do is...

The reality of seeing the world through lenses formed by dated experiences fomented other challenges, which may apply to many who read this report. For instance, during the three months in which the Task Force collected data at the Academy, it encountered alumni who invariably offered comments which began: "when I was a cadet ...," or "what you need to do is ...," or "I can't believe they don't still do ...". While almost exclusively tactical, the insights were nonetheless varied, diverse, important, and reflected thoughtfulness about the Academy. Such input did not particularly inform the study with new data points; however it did yield a great appreciation for one of the major external forces at work at the Academy: the passion, both good and bad, for the institution.

Things are the way they are because they got that way

A secondary but important finding was the Academy's propensity to take action but without engendering actual change. History offers other Academy examinations of itself. Indeed, the team found several relevant studies dating back to 1955²¹. Although those bodies of work lacked consistent longitudinal analyses, studies and surveys performed in 1991²², 2004²³, 2005²⁴ and 2006²⁵ produced useful data on climate and culture. Despite some notable improvements, these data indicate that the conditions that prompted their undertaking still exist in meaningful form. After analysis of these data and the current state, the Task Force concluded that constants may exist in the Academy that impede progressive achievement against goals, and that the improvements to the Coast Guard Academy program born from these studies were largely tactical and not wholly effective at achieving desired outcomes. One could also conclude that limits exist for how completely an institution can reasonably expect to shape the thoughts and behavior of an ever-refreshing population of adolescent learners.

The persistence of youth is perhaps the Academy's most prominent challenge. Every year, the student population—though not the faculty and staff – resets itself. While this is vexing for any undergraduate institution, it is particularly problematic at the Coast Guard Academy because the program entails so much more than conferring a degree upon its “students.” They will be commissioned and employed by the same organization that charters the institution. The introduction of new product causes the entire machinery of any developmental (or less so, compliance) model to reset to accommodate the mass graduation of a “completed” product and the associated mass introduction of new raw product. It then becomes difficult to realize any change in the program, especially in the early weeks and months of the 200 week cycle, until much later at graduation when the product is ultimately measured in service to the Coast Guard and the nation. Other elements that have slowed or impeded change are: reluctance to tamper with traditions of the service; changes in social climate and the attendant variance from service Core Values; the innate inertia of any undergraduate institution; and what appears to be a divide between the missions of an increasingly complex Coast Guard and its Academy.

²¹ *Report of a Sub-board Convened at the U. S. Coast Guard Academy*, December 14, 1955.

²² *Culture and Climate Assessment of the U.S. Coast Guard Academy*, (Princeton, NJ: Princeton Economic Research, Inc., 1992.) Commonly referred to as the PERI study.

²³ 2004 Cadet Human Relations Climate Assessment.

²⁴ 2005 Cadet Human Relations Climate Assessment.

²⁵ 2006 Cadet Human Relations Climate Assessment.

The guided tour and the extended stay

If you take the guided tour of the Coast Guard Academy, you cannot help but marvel. You are awed by bright cadets with high energy excited about the Coast Guard in which they are destined to serve. You encounter highly motivated and accomplished staff and faculty. You find multiple random acts of goodness around most every turn, and excellence and accomplishment in most every situation. You find decades of tradition and a rich service history.

If you spend a bit more time exploring, you find some things that don't quite match the brochure. You find an aging infrastructure. You may find a time-honored compliance model insufficient to the task of preparing cadets for the more complex world their employment as officers will demand. You recognize that perhaps having mostly random acts of goodness suboptimizes the collective potential of the parts of the 200 week program. You may perceive some of the weaknesses of the Coast Guard's own service culture, such as an absence of strategic planning.²⁶ You find stove-piped communities within the Academy which do not understand well, if at all, the work of their contemporaries on campus. You find people in all communities who have experienced or studied the larger present day Coast Guard and feel a compelling need to bring its Academy to a refocused state. At the same time you find enduring pockets of resistance which may not appropriately respect or appreciate the value of the larger work compared with their own small piece. You may find people who believe that their accomplishments over decades are "good enough" and have let atrophy the context of the Coast Guard Academy's uniqueness.

Thus the team's chartered call to action, to review climate and core value development, became a cause for action for the larger institution as will become evident in the following pages.

²⁶ USCG Organizational Assessment Survey data 2002, 2004, 2006

Scope and Methodology

The Task Force used a cross-cutting approach across all elements of Academy life.

In formulating a methodology, the Task Force relied on directions in its charter from the Coast Guard's Chief of Staff. Based on the charter, the team determined that its mission was to evaluate the governance, climate, leadership, training and character development at the Coast Guard Academy to assess its effectiveness in: instilling Coast Guard core values; and producing future officers who employ those values at all times, in achieving mission excellence.

The Task Force employed a cross-cutting project design to examine Leadership/Training, Character Development, Cultural Issues, and Governance across all aspects of cadet life:

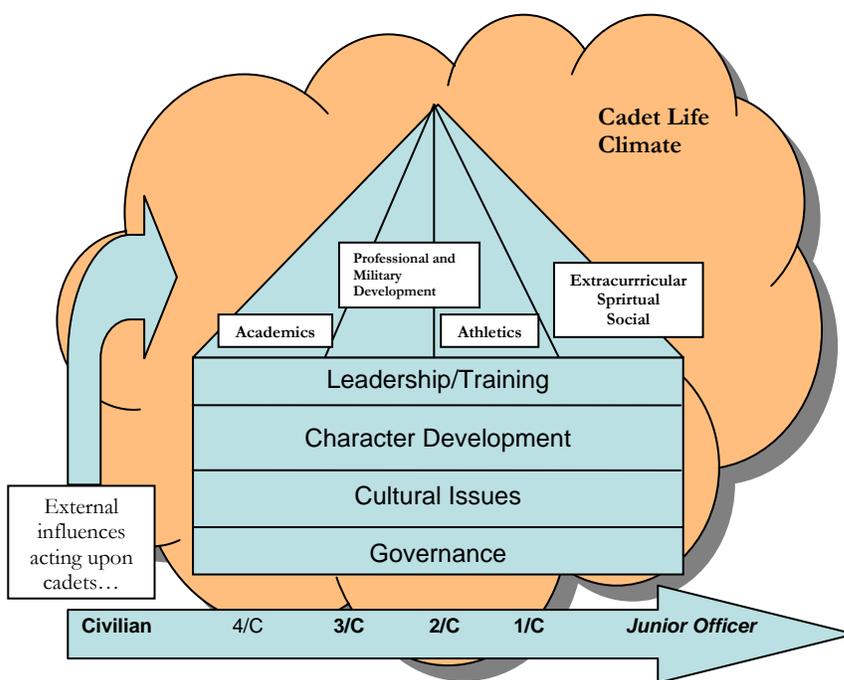


Figure 1 The team studied Leadership training, Character Development, Culture and Governance at the Academy within which it examined key components of cadet life, specifically, Academic, Professional Development, Athletic and other programs.

In order to inform itself, members examined prior studies including the *United States Coast Guard Junior Officer Needs Assessment Final Report* by Coast Guard members in 1998. The study revealed approximately 150 Knowledge, Skills, Attitudes, and Abilities (KSAA's) that Junior Officers graduating from the should possess. The Task Force culled from the existing KSAA's approximately 75 Knowledge, Skills and Attitudes

that fell within the scope of its charter. For instance, the team determined that technical skills including navigation and writing did not fall under its scope.

The Task Force made assumptions as it developed a methodology and discloses these here. The team defined areas of main relevance to its objective. The definitions it assumed are:

Governance The act of affecting and monitoring, through policy, the long-term strategy and direction of an organization. In general, governance comprises the traditions, institutions and processes that determine how power is exercised, how concerns are voiced and how decisions are made.

Leadership Development. Leadership is the ability to work through others to accomplish a task by recognizing opportunities and vulnerabilities and bringing to bear the competencies necessary to react to or exploit them. This ability is acquired through the development of values and character augmented by personal and professional experience. Leadership includes: Military/public service, Intellectual/Critical thinking, Professional, including interpersonal skills, Wellness, including psychological and physical fitness, Character, including making ethical choices.

Culture. Based on beliefs, customs and institutions shared by a group, a body of common learned behaviors which act as a template, shaping behavior and consciousness of its members.

Character Development. Moral excellence and firmness as demonstrated both on and off duty. Acting appropriately and moralistically even absent external incentive to do so and without regard to personal cost. Character is based on six principles: Trustworthiness, Respect, Responsibility, Fairness, Caring, and Citizenship.

As to other assumptions, the team focused on resident and incoming (prospective) cadets and recent graduates. It assumed the effect of the Academy experience carried into at least the first 18 months of active duty service. Additionally, the Task Force assumed that in order for the Academy to produce leaders of character, its pipeline for incoming individuals must attract young people who possess those moral characteristics that the Coast Guard values.

Finally, the Task Force made the assumption that the United States needs the Coast Guard Academy to continue its operation so that this nation possesses the requisite supply of Junior Officers.

Human Performance Technology (HPT)

This report followed the rules for systematic analysis used in Human Performance Technology. This method required the Task Force to apply visionary techniques resulting in definitions for the “optimal states” (desired outcomes) of the elements in

its scope. Having established the goal, the study team worked backward to identify specific functions which the Academy would need to undertake in attaining the optimal state. Pursuant to the method, the Task Force also examined and evaluated the efficacy of possible interventions (or solutions) which, it deemed imperative to Academy stewards in reaching end states.

HPT also requires that decision at each step be verified against evidence such as data, literature, and documents. The main elements for HPT follow ²⁷:

1. Analysis

| | |
|------------------|--------------------------------|
| Optimals | How it should be |
| <u>- Actuals</u> | How it is |
| = Gaps | The difference between the two |

2. Root Cause Analysis. For each Gap and identify the barriers to performance (typically reduced to the categories of Skills/Knowledge, Motivation, Environmental, and Incentives).

3. Intervention selection/design (finding solutions). Determine interventions or solutions are determined to remove barriers discovered during the Root Cause analysis.

4. Implementation. Implement of all interventions.

5. Evaluation. A person or team evaluates the effectiveness of the interventions and makes recommendations for necessary changes.

Analysis

The Task Force identified characteristics the “optimal” or ideal Coast Guard Academy should possess in the capacity of its Leadership and Character Development, Culture (or Climate), and Governance. It identified these optimal characteristics through Subject Matter Experts (SMEs) at the Academy and knowledge gained through benchmarking, interviews, focus groups, and extant data review.

Next, the team gathered data to determine the “actual” state of the Coast Guard Academy (within the realm of the charter). In order to identify and verify both the optimal and the actual states, the team spent approximately two months in data gathering and analysis mode culling from a vast array of sources.

Collection and Organization of Data

Members identified the extant data both within and external to the Academy. The team identified SMEs with whom it conducted interviews or queried as members of groups. It also consulted policies and procedures, previous studies, literature, web sites and other sources listed below.

²⁷ Standard Operating Procedures (SOP) for the Coast Guard’s Training System (Volume 2) Analysis. March 2004.

The Task Force spent three months at the Academy and posed questions to hundreds of cadets, faculty and staff members both individually and in groups; the team found utility in a great number of individual opinions and comments and incorporated these, where applicable, into overarching, broader themes. While the team couldn't accommodate all individual observations, it incorporated those which related to its charter and scope.

The team took seriously the responsibility to gather candid, unvarnished information from all facets of the Academy, however, possessed no legal privilege or grants of immunity. Therefore, members explained to all who participated that it would not attribute discussions to individuals, and would not name or reference group participants specifically in the report without their express permission. The Task Force also advised participants that the Task Force would not be exempt from duty to disclose illegal or prohibited information. In order to provide a means to collect information from those not specifically asked to participate, or who might have been reticent, or wished to remain anonymous the Task Force also established and widely communicated an online message board and a toll-free telephone number. (The latter will be discussed in more detail.)

Previous Studies/Reports

Task Force researched extensively to determine if previous completed studies had any bearing on its charter or were relevant to the current work. It identified and extensively used the following:

- *United States Coast Guard Junior Officer Needs Assessment* Final Report, 20 August 1999
- *Culture and Climate Assessment of the U. S. Coast Guard Academy*, July 1992 (commonly referred to as the PERI study).
- *DEOMI U.S. Coast Guard Academy Human Relations and Climate Findings and Recommendations* 2004 - 2005
- *Report of The Defense Task Force on Sexual Harassment & Violence at the Military Service Academies* (2002, 2004, and 2006).
- *Report of A Sub-Board Convened at the U. S. C. G. Academy on 14 December 1955* by order of the Superintendent, U.S. Coast Guard Academy

Surveys

The Task Force also utilized the following examinations:

Organizational Assessment Survey (OAS) data: The OAS is an annual survey administered to all members of the Coast Guard which provides quantifiable measures on numerous areas affecting many aspects of the Coast Guard Organization. The team briefly reviewed the most recent OAS data completed by the faculty and staff members

of the Coast Guard Academy and compared it with the OAS data compiled on the Coast Guard as a whole.

Coast Guard Academy Level III²⁸ Surveys and Cadet Exit Surveys: The Task Force believed value existed in examining the results of prior surveys completed by cadets who had recently left or graduated from the Coast Guard Academy, to inform itself longitudinally. The Level III surveys were completed by both recently graduated cadets as well as their supervisors and Chiefs, and provided the team with a good picture of how new ensigns were performing in the field.

The Cadet Exit Surveys--provided by the Academy's Institutional Research staff--were administered to all cadets who left the Academy prior to their graduation (either those leaving on their own accord, as well as those asked to leave for academic or conduct problems).

Cadet Human Relations Climate Survey: The Task Force participated in crafting and examined results of the Coast Guard Academy's annual climate self-assessment survey. It inserted additional questions related to its charter. In addition, the team reviewed the preceding years' climate assessment surveys. The data proved among the best, qualitatively, for assessing climate and culture. Approximately 793 out of 996 cadets completed the survey.

Nearly 800 cadets completed the human relations climate survey.

Interviews

To glean first-hand opinions from entities who, based on past and current associations, collectively offer a picture of the Academy's innerworkings the Task Force met one-on-one with Academy staff.

Staff Interviews: The Task Force identified certain subject matter experts among the faculty and staff and previous staff members who provided insight for the study whether through their unique experiences, length of tenure, or insights each individual possessed.

Focus Groups

To glean first-hand opinions from groups of related individuals who, based on past and current associations, offer their view of the Academy's inner-workings, the Task Force met with small groups of six to ten members.

Staff Focus Groups: The team conducted a series of focus groups on approximately 75 members of the faculty/staff of the Coast Guard Academy (of approximately 400), individuals from CGC EAGLE's command, and members of the Leadership Development Center to identify both aspects of the optimal and actual state at the Coast Guard Academy.

²⁸ "Level III" refers to the third level of evaluation (transfer) developed by Donald Kirkpatrick which evaluates if newly acquired skills, knowledge, or attitudes are being used in the everyday environment of the learner.

Cadet Focus Groups: The team spoke to approximately 250 cadets--more than 20 percent of the cadet corps and a statistically significant representation. Consistent with the principle of “listen, and then speak”, the surveys and interviews helped Task Force members to assemble a directed list of questions for each focus group of 9 – 10 cadets.

“Group Think Systems,” a form of focus group technology provided by the Coast Guard Performance Technology Center, allowed the Task Force to collect original responses to each of our cadet questions. “Group Think Systems” assigns keyboards to each participant. One benefit that keyboarding allows is that the responses cannot be associated with participants. All responses, as they are completed became posted to a large screen viewable by all participants and the facilitator. This process was consistent with methods of culture measurement recommended by current research²⁹. However, the culture assessment was not intended to be exhaustive, neither in scope nor depth. It is important to note that due to the nature of the focus group technology, cadets were encouraged to key quickly and disregard spelling and grammatical errors. Quotes culled from these focus groups, if directly used in this report, represent cadets’ thoughts but lack polish and proofreading.

Reviewing cadet responses to the focus group questions, one could easily pick out strong themes and common sentiments. The study team also noted that each cadet focus group displayed a varying degree of group cohesion. The Task Force observed that group cohesion was more strongly evident in focus group sessions assembled according interests (sport and clubs, ethnicity, gender, etc.) than by their military association.

Cadets’ participated with surprising willingness, despite the sub-optimal times allocated for this activity. Although each group was given the opportunity to tailor its schedule, their only meeting time choices were 0630 or 1830 for an hour and a half of virtual discussion.

External Group Participation

The Task Force believed it would be beneficial to benchmark other colleges and service academies in order to establish a baseline against which to measure Academy practices and planned visits.

Other service academy visits: The Task Force visited all of the other federal service academies: the United States Military Academy, the United States Naval Academy, the United States Air Force Academy, and the United States Merchant Marine Academy. The Task Force benchmarked other Academies’ best practices.

²⁹ Coast Guard Task Force Literature Review, “Cultural Change: School Improvement Process,” October 2006.

At the Air Force Academy, the Task Force interviewed the Academy Commandant, the Commandant of Cadets, representatives from the Dean of the Faculty, the Center for Character Development, the Athletic department, and the Policy and Planning Office. In addition, it conducted focus group meetings with all four classes of cadets as well as those participating in exchange programs from other service academies.

Similarly, at the U.S. Military Academy, Task Force members interviewed the Academy Superintendent, the Commandant of Cadets, the Vice Dean of the Academic Board, representatives from the Simon Center for the Professional Military Ethic and the Policy, Planning and Analysis office. The Task Force also conducted focus groups with West Point Cadets and other Academies' cadets.

Task Force members visited and interviewed with the Merchant Marine Academy Assistant Superintendent, the Commandant of Midshipmen, the Dean of Academics, the midshipmen psychiatrist, and various other members of the faculty and staff. The Task Force also met with and conducted focus groups with the Merchant Marine Academy midshipman.

Task Force representatives met with the U.S. Naval Academy Commandant of Midshipmen, the Dean of Academics, and representatives from the Athletics and Admissions department. In addition, the Task Force met with and conducted focus groups with three groups of midshipmen.

The group found all of the Academies extremely open, helpful and forthcoming regarding relevant aspects of their institution and their efforts to develop and refine leadership and character development. The Task Force maintained an open dialog and exchange of ideas with the Academies in areas relevant to the Task Force's work throughout the preparation of this report.

Benchmarking other colleges/universities: The Task Force researched the honor systems and leadership development processes at several well known civilian institutions. In particular, Virginia Military Institute, The Citadel (The Military College of South Carolina), Texas A&M University, Washington and Lee University, University of Virginia, and Middlebury College were examined in some detail. Less extensive supporting research was completed on Norwich University, Virginia Polytechnic Institute and State University (Virginia Tech), and Virginia Women's Institute for Leadership at Mary Baldwin College.

While many of the listed institutions may not normally be considered cohorts of the Coast Guard Academy, the Task Force found the examination of their efforts to develop the personal honor, integrity and leadership skills of their students useful and important. This research helped inform the analysis of various aspects of Academy and identified several potential "best practices."

Visits to other Coast Guard Units: The team visited Coast Guard Training Centers with the purpose of establishing a baseline for concerns common to developmental units. For example, alcohol incidents are problematic to both the Academy, as well as “A” Schools at Training Center Yorktown. The team hoped to learn best practices and commonalities between the Coast Guard Academy and other units.

In addition, the Task Force carried out a 360-degree view of how well the newly graduated junior officers were performing in the field. That is, it obtained feedback on junior officers from persons in their workplace, to gauge their performance as employees, supervisors, and co-workers; the teams conducted focus groups and administered surveys to new junior officers (from all accession points), their supervisors and subordinates (in most cases, the Chief’s Mess). The Task Force split into three 2- to 3-person teams to conduct unit visits for information from the field as depicted in Figure 2.

Task Force Coast Guard Field Unit Data Collection Teams

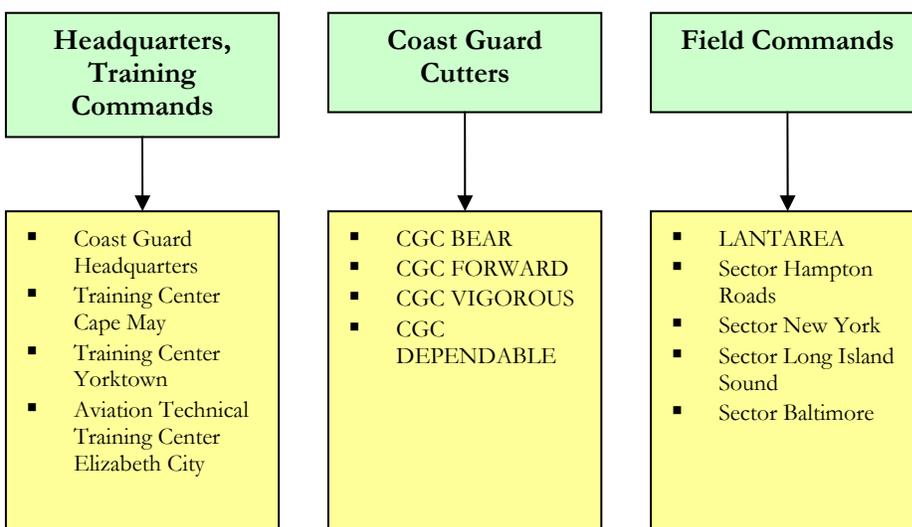


Figure 2: Task Force Coast Guard Field Unit Data Collection Teams.

Subject Matter Experts: Upon completion of the analysis phase of the report, a number of subject matter experts (SME) were asked to review the draft report for thoroughness, validity and supportability. These reviews involved noteworthy authorities in areas such as sexual harassment and assault, minority affairs, leadership, morals and ethics, alcohol abuse and generations.

Literature/Document Review

Members of the Task Force completed literature reviews on various topics to inform itself and expand the team’s knowledge of the following:

- The Millennial Generation
- Alcohol Use and College Students
- Young Adult Development
- Cultural Change: School Improvement Processes
- Underrepresented Groups at the Coast Guard Academy
- Sexual Harassment and Sexual Assault
- Service Academy 2005 Sexual Harassment and Assault Survey
- Report of the Panel to Review Sexual Misconduct Allegations at the U. S. Air Force Academy
- Excellence in Engineering Education Project
- Minority Women Officer Retention Study
- Women in the Coast Guard Study
- A Test of Leadership, Charting the Future of U.S. Higher Education

Seminars

Team members participated at consortiums as representatives of the Task Force and reported back to the larger group on their findings. The team attended the following events:

- *National Conference of Sexual Assault in our Schools* (29 Oct 06 – 31 Oct 06). Hosted by the Safe Society Zone (a consortium of public partners in academia and social interest organizations), members from colleges and service academies met to discuss institutional experiences and methods to deal with the occurrences and influences of sexual assault.
- *Service Academy Sexual Assault Prevention Conference* (13 Nov 06 – 15 Nov 06). Hosted by the U.S. Naval Academy, members from all of the service academies gathered for three days to discuss sexual assault on and off academy grounds and potential interventions to address this issue.
- *Putting it all Together Piece by Piece: 21st Annual College Conference* (03 Nov 06 – 04 Nov 06). Hosted by the Virginia Department of Alcoholic Beverage Control and the Virginia College Alcohol Leadership Council, the conference provided a venue where university, service academy, and college students, faculty, and administrators came together to solve the puzzle of high-risk and underage drinking.

Other Data

Members of the Task Force also examined all Honor Board, Cadet Conduct Board and Coast Guard Investigative Service (CGIS) cases arising from the past five years. The team did not review the legality or scope of the cases, but looked for trends and any leading or lagging indicators that might not otherwise reveal themselves.

In addition, the Task Force developed a website which offered an anonymous method of collecting views from parents, the fleet, the Coast Guard workforce, and other external entities. As part of the website, the team provided a toll-free telephone number as another means of contact. The team collected each message and incorporated these in its data collection.

In addition the Coast Guard Academy Institutional Research Department conferred additional past surveys to the team for review. Finally, Coast Guard Personnel Command, Officer Personnel Division (CGPC-OPM) provided the Task Force with information on the failure and separation data for Junior Officers.

Data Collection Library

The Task Force developed an electronic library to categorize and store the vast amounts of collected data. Members of the team filed electronic documents and scanned and filed all other hard copy documents into the library. The library contained a “search” mechanism assisting members with locating references and finding specific information for various topics.

Gap

Following the compilation of all the gathered data, the team incorporated relevant findings to compare actual state with the optimal states of the Coast Guard Academy. Where differences existed they were identified as “gaps.”

The Task Force determined the causes of each gap and reduced them to categories according to the type of barrier to performance they represented³⁰:

- Skills/knowledge³¹ – ability to behave in ways associated with successful job performance.
- Motivation – the performer’s personal desire to perform.
- Environment – Policies, procedures, processes, available time, physical space, tools, equipment, work design, etc.
- Incentives – provided by an organization to influence people’s behavior—i.e. evaluations, monetary rewards, etc.

Recommendations

The Task Force created recommendations designed to address each root cause and associated each with criteria by which its relevance could be further assessed.

³⁰ Rossett, Allison. *Training Needs Assessment: Techniques in Training and Professional Development*. Educational Technology Pubs. August 1997.

³¹ Ibid.

A team then scored the solutions based on the following criteria. (The system could be manipulated dependent on how the Task Force decided to organize the data. In other words, if the team decided there might be utility in sorting the recommendations by “Impact,” the technology used enabled it to do so.)

- Impact – Potential gain or improvement to the Academy’s mission and contribution to the Coast Guard.
- Cost – Resources or opportunity costs defined over 10 years.
- Feasibility – Ease and ability to implement.
- Risk – Resistance to change (failure costs); persistence potential; future flexibility; and potential for unintended consequences.

CGA Task Force HPT Start-to-Finish (an example)

Step One. Analysis

Optimals **Character Optimal #5: Cadets embrace and internalize Coast Guard Core Values and develop their moral courage sufficiently to apply them.**

- Actuals Actual #1. 55 percent of Cadets don't think viewing pornography disrupts good order and discipline (Source: Cadet Human Relations Climate Survey results).

Actual #2. 73 percent of cadets answered that cadets at least occasionally engage in sexual relations with other cadets in Chase Hall (Source: Cadet Human Relations Climate Survey results).

Actual #3. 34 percent of Cadets don't think underage drinking disrupts good order and discipline and 79 percent of cadets believe cadets engage in binge drinking at least occasionally (Source: Cadet Human Relations Climate Survey results).

Actual #4. The students most likely to drink across college campuses in the United States are white, male athletes in New England Universities (Source: Alcohol Use and College Students Literature Review).

Gaps **If measured by attitudes toward pornography, alcohol abuse and prohibited relationships, the majority of cadets have not fully internalized the CG Core Values.**

Step Two. Root Cause Analysis

(Each Gap reduced further to the barriers to performance)

Skills/Knowledge: Cadets don't have a developmental program to help internalize core values and typically lack skills to do so.

Motivation: Cadets don't appreciate the long-term ramifications of violating core values. Most cadets struggle with personal loyalty versus Honor/Core Values. Drinking is reinforced through local college culture.

Environmental: No gap noted.

Incentives: The Coast Guard Academy as well as the military, in general, is based on a system of behavioral conditioning which at times is incongruent with cognitive development. (i.e. Cadets lack time for self-reflection.)

Step Three. Intervention selection/design (finding solutions)

1. S/K solution: Develop program to provide cadets with a broader understanding of Coast Guard Core Values and assist them in developing the skills, knowledge, attitude and ability begin to internalize those values. This should be done as part of a larger cadet leader development program.
 2. Motivation solution: As part of a program to provide cadets with a broader understanding of Coast Guard Core Values and assist them in developing the skills, knowledge, attitude and ability begin to internalize those values, provide practical examples or case studies demonstrating long term ramifications
 - 2a. Motivation solution: Introduce guest speakers who have personal experience with the ramifications of violating core values to share their story with the cadets.
 3. Incentive solution: Behavioral conditioning alone is ineffective for helping cadets internalize Core Values and should be but one part of a larger developmental process which incorporates greater emphasis on self-analysis and reflection.
- (END OF CGA TASK FORCE SCOPE OF STUDY)

Figure 3: Provides one example of the start-to-finish analysis the Task Force followed; after identifying optimal states, it used this process to determine gaps and corresponding interventions or solutions.

The remaining steps, as required by this process are crucial in full implementation, however, exceeded the Task Force's charter. The team anticipates development of a review and implementation effort, under the direction of the Chief of Staff.

Step Four. Implementation. Approved interventions will take place by an Implementation Team.

Step Five Evaluation. A person or team will evaluate the effectiveness of the interventions and make recommendations for any necessary changes.

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Understanding Cadets as a Generation and as Young Adults

As a subtext to the examination of cadet development at the Coast Guard Academy, the Task Force believed it both relevant and important to research generational differences and young adult development—especially as they related to cadets.

The Millennial Generation

The term “Millennial” refers to a generation whose defining attribute is graduation from high school in 2000 or later. Millennials, also known as Generation Y “In general, are optimists, cooperative team players, and accept authority. They are rule-followers, the most watched-over generation in memory, smarter than most people think, believe in the future, and see themselves as its cutting edge”³². Many of these traits are a reflection of the growing impact of the digital age, “hovering” parents, and increased participation in team sports. This generation tends to display the following seven traits³³:

- Special
- Sheltered
- Confident
- Team-oriented
- Conventional
- Pressured
- Achieving

Recruiting Millennials and Life on Campus (or Academy Grounds)

Howe and Strauss³⁴ discuss various strategies that should be employed to attract the college-going members of this new generation. They mention how the mutual perception of being special by college applicants and parents emphasizes the importance of “co-purchasing” today in the choice of college that is, appeal to both the applicant and his/her parents. Recruiting materials and tours should overtly acknowledge this trend. College brochures which show more adults than before and which highlight features that are attractive to anxious parents (such as close supervision and full-spectrum medical and counseling services) appeal to this group and their parents.

³² Howe, Neil and William Strauss. *Millennials Rising: The Next Great Generation*. New York: Vintage Books, 2000. p. 7.

³³ Howe, Neil and William Strauss. *Millennials Go to College*. Life Course Associates. 2003. p. iii.

³⁴ Ibid. p. 43.

Today's young people's craving for safety and the shelter to which they have become accustomed should lead colleges and universities to emphasize safety on campus. Millennials' confidence should be embraced and a more positive message should be sent: "Tell teens about the great things that will happen if they make the right choice."

"Millennials begin with a high level of respect for institutions, but with that respect come very high expectations. They count on adults to be exemplars. An individual, professor, or administrator, who fails to live up to those expectations will lose a great deal of trust—and may find it very difficult to earn it back....Preserving academic freedom is important, but administrators who fail to remove incompetent or unprepared professors—or any faculty members who engage in sexual harassment, use drugs, or pursue fraudulent research—risk the danger of unprecedented backlash from students and parents"³⁵.

Millennials as Workers³⁶

Millennials possess both assets that may be harnessed as well as liabilities that should be countered in the classroom, in Chase Hall, on the parade ground, or on the athletic field.

Assets

- Collective Action
- Optimism
- Tenacity
- Multitasking capabilities
- Technological savvy

Liabilities

- Need for supervision and structures
- Inexperience, particularly with handling difficult people issues

Managing and Developing Millennials

A study by Susan Eisner³⁷ revealed that compared with other generations, Millennials tend to have less respect for rank and more respect for ability and

³⁵ Howe, Neil and William Strauss. *Millennials Go to College*. Life Course Associates. 2003. p. 68.

³⁶ Zemke, Ron, Claire Raines and Bob Filipczak. *Generations at Work*. New York: Performance Research Associates, Inc., 2000. p. 144.

³⁷ Eisner, Susan P. "Managing Generation Y," *SAM Advanced Management Journal* 70.4 (Autumn, 2005): 4. pp. 20.

accomplishment. Generation Y tends to value respect and wants to earn it. According to DiGilio's article:

Millennials tend to respect authority without being awed by it. Thus, it is tough to tell a Millennial not to approach a senior vice president directly with a question when he or she has had the ability to email the President of the United States since first grade. This generation tends to see leadership as a participative process and will learn best from managers who engage them in the learning process rather than just lecturing. It has been noted that this group is usually not satisfied with the old command-and-control motif. For this reason, it should be no surprise that Millennials are also likely to question long-established rules and procedures...Remember that Millennials tend to respect authority. We have been told, all too often, that respect should be a two-way street. No where is this more evident than with this new generation³⁸.

Results of a 2004 study on managing multi-generational nursing teams indicated that younger generations wanted their leaders to be knowledgeable, good communicators, and also affirmative about their performance in order for them to improve their self-confidence. The younger group desired managers with good people skills who are able to motivate others. They wanted their leaders to be supportive, approachable, and receptive. They preferred managers who are team players. They also valued honesty and a positive outlook in their leaders. They did not value leaders who were visionary or risk takers³⁹.

Bruce Tulgan, author of "Managing Generation Y," states that managers who can harness young people's energy and knowledge can turn them into peak performers⁴⁰. Managers who are defensive, reluctant to change the status quo and don't want to answer their questions will likely lose them.

According to Christopher Arterberry, Millennials benefit from specific management techniques⁴¹. Some recommendations to manage Millennials that influenced this report include:

- Build relationships. Millennials are particularly interested in relationships with authority figures, more so than the previous generation.

³⁸ Ibid. pp.18.

³⁹ Hu, Jie, Charlotte Herrick and Kim Allard Hodgin. "Managing the Multigenerational Nursing Team," *The Health Care Manager* 23.4 (Oct – Dec 2004): pp. 339.

⁴⁰ Stern, Gary M. "Managing for Success," *Investor's Business Daily*, September 18, 2006, Arts Section, National Edition.. pp. AO6.

⁴¹ Arterberry, Christopher. "Managing Millennials: Learn What Makes the Newest Generation in the Workforce Tick," *IDEA Health and Fitness* 22.3 (March 2004): p. 4.

- Be open to suggestions.
- Collaborate whenever possible. Because of their team-oriented nature, Millennials expect to be included in the decision-making process. They are also accustomed to making collective decisions at home, as they were more involved in their upbringing than previous generations.
- Be respectful. Don't be condescending. Be honest, clear, and direct in your communication--political doublespeak doesn't get far with this group.
- Start a mentor program. Because they are high achievers, Millennials appreciate being encouraged along their career paths. To help them develop professionally, be a little creative with existing resources.
- Millennials are self-directed learners. If given tools to increase their knowledge, they take advantage of them.
- Utilize multiple talents. Millennials want to know what they're going to do day to day and how they can directly impact the organization. They are confident and very capable of multitasking. Consequently, traditional roles may seem stifling to them.
- Remember that Millennials are very close to their parents and value their opinions. A survey by Yankelovich, the North Carolina-based pollster and consulting firm, showed that Millennials and their parents have "zapped the gap," meaning today's younger people seem unusually close to their elders⁴².

Young Adult Development

Chickering's theory of psychosocial development presents a model that applies to the traditional college student who attends college directly from high school. Young adults generally follow several stages, or vectors, as they mature. Progression through these stages can be affected by outside factors such as fatigue and stress. The seven stages of development are listed as follows:

- Developing competence
- Managing emotions
- Moving through autonomy toward interdependence
- Developing mature interpersonal relationships
- Establishing identity
- Developing purpose
- Developing integrity⁴³

The transformation into an effective Coast Guard leader is one that occurs over the four years cadets attend the Academy as well as over their entire career. While

⁴² Sloat, Bill. "Researchers Forecast a Sunnier Generation the Millennials," *Newhouse News Service*. August 10, 2006. p. 1.

⁴³ Harris, Laura L. "Integrating and Analyzing Psychosocial and Stage Theories to Challenge the Development of the Injured Collegiate Athlete," *Journal of Athletic Training*. 38(1). 2003. pp. 75 – 82.

all stages of the model are critical to the overall development of cadets, establishing an identity is a crucial stage typically completed during the last year of college and must be completed prior to an individual proceeding to developing purpose and integrity.

Establishing an Identity

An established identity is necessary for any college student to move into the last stages of young adult development. Only then will he or she have the ability to develop purpose by setting a plan of action for career and family goals. Concurrent with this stage, the cadets begin to develop true integrity by bringing behavior in line with their values and beliefs.⁴⁴ Two subtasks must be completed during the stage of establishing identity—a life changing experience that leads to growth and a commitment to a set of values.

Committing to a set of values - Loyalty versus Integrity

The Academy culture can affect the process of establishing identity by ensuring that the values “preached” by the command match those in practice. If a conflict exists, a cadet in this stage tends to resolve the disagreement and then prioritize the values.⁴⁵ This type of conflict is evident when cadets must choose between loyalty to a classmate and loyalty to the academy’s standards. As a result, many find it difficult to turn in their classmates.

Loyalty to peers is typical of this generational group due to the importance of peers as an individual moves away from his or her parents. Additionally, the Academy culture strengthens this peer loyalty as a direct result of the small size of the corps and the lack of support structure of freedom outside the Academy. The same institution that promotes classmates as the most important support structure available to an individual cadet asks that same cadet to turn in his or her classmate for violations. Cadets who report their classmates do so at the risk of being ostracized by the entire corps. The lack of privacy in Chase Hall also impacts loyalty since a cadet in trouble (either with peers or the command) does not have the ability to get away and “lick his or her wounds”.⁴⁶

Committing to a set of values - Ensuring the climate is consistent with advertised values

The Coast Guard Academy command structure can help cadets commit to a set of values by ensuring that the climate is consistent with advertised values. If differences arise, cadets tend to adjust their behavior to reality while maintaining the “party line.”⁴⁷

⁴⁴ Ibid.

⁴⁵ Kelly, Patrick and John Gibson, “We Hold these Truths: The Development and Assessment of Character” (paper prepared for presentation to the Joint Services Conference on Professional Ethics, Washington, DC, January 25 – 26 1996).

⁴⁶ Interview conducted with Academy staff, October 2006.

⁴⁷ Kelly, Patrick and John Gibson, “We Hold these Truths: The Development and Assessment of Character” (paper prepared for presentation to the Joint Services Conference on Professional Ethics, Washington, DC, January 25 – 26 1996).

If the system rewards behavior that is not in accordance with the espoused Coast Guard Core Values, cadets will face difficulty in establishing their respective identities.

Additional obstacles to establishing an identity. Cadets lack an ability to “try on different versions of themselves” as students often do at other colleges and universities. For example, many students change majors at least once during the four or five years at a civilian college. Most cadets avoid this and to do so is rare at the Academy due to pressure around the large number of credits necessary for graduation; finishing in four years; and conformity endemic to military Academies.⁴⁸

⁴⁸ Interview conducted with Academy staff, October 2006.

The Navigational Fix

“Past attainments have led our nation to unwarranted complacency about its future...Among the vast and varied institutions that make up U. S. higher education, we have found much to applaud but also much that requires urgent reform.” Secretary of Education, Margaret Spellings 2006

taking into account “set and drift” (other factors, such as wind and currents) in order to remain on course.

Root cause analysis requires the examiner to fully assess the desired (optimal) state against the existing one before he develops recommendations. The Chief of Staff of the Coast Guard directed the Task Force to “Take a Fix”, a nautical term for determining one’s position by its relation to known landmarks. Once a sailor determines his position, he can develop a plan for reaching his destination,

In the succeeding pages, the Task Force offers its assessment of where the Academy is “on track” or may have, perhaps in part, drifted off course from the overall voyage plan of the Academy. In keeping with structure of its methodology, it offers assessments in the following categories: governance, leadership, training, character development and climate are provided. Later in the report, the study team offers these findings grouped according to elements relevant to principals of change management; as expressed in *Leading Change*.⁴⁹ In it, John P. Kotter suggests institutions must pursue three distinct tracks systems, structure and culture, in order to assure full implementation of large changes. The latter portion of the report subscribes to the same theoretical structure.

Governance at the Coast Guard Academy

“Coast Guard Academy life is demanding, and it should be -- because you are entrusted with solemn responsibilities, in peace and in war. America counts on the Coast Guard to enforce maritime law, to secure our waterways and ports, to rescue those in distress, and to intercept illegal drugs. In this new century, we will count on you even more.”⁵⁰ President George W. Bush, at the 2003 commencement address at the U. S. Coast Guard Academy, noted that the Coast Guard would be called to act upon threats of both safety and security. Throughout the history of the service, this

⁴⁹ Kotter, John P. *Leading Change*. Harvard Business School Press. 1996.

⁵⁰ President Delivers Commencement Address at Coast Guard Academy, May 21, 2003. <http://www.whitehouse.gov/news/releases/2003/05/20030521-2.html> Accessed January 2, 2007.

unique organization, a hybrid based in a variety of authorities and jurisdictions, responded to the needs of the nation. The roots of its Academy, which began at sea aboard the cutter DOBBIN in 1876, changed with service needs. In 1915 the Life Saving Service and Revenue Cutter Service combined to form the Coast Guard. Today, the demands of the 21st century on the United States as a nation require that higher education continue to grow and adapt to an ever-complex global environment. Accordingly, as part of America's higher education system, the Coast Guard Academy must continually reassess its needs and requirements to ensure that it produces tomorrow's leaders who possess and at all times demonstrate the character, responsibility, accountability and discipline to meet future challenges.

The Academy is not alone in its affinity for introspection. Although the United States has built a substantial interest in higher education in the last 370 years as a country, Secretary of Education Margaret Spellings stated that "past attainments have led our nation to unwarranted complacency about its future." Ms. Spellings said that "Among the vast and varied institutions that make up U. S. higher education, we have found much to applaud but also much that requires urgent reform."⁵¹ One study, *A Test in Leadership*, challenges the U. S. system of colleges and universities to rise in response to their collective slip from first to 12th place among other industrialized nations in higher education worldwide. Moreover, Spellings added that as other countries grew their own education systems, "They are now educating more of their citizens to more advanced levels than we are."⁵²

Declines in literacy and gaps in access by underrepresented populations render America's education goals ever more elusive. Although the proportion of high school graduates entering college has risen substantially, the college completion rate has remained flat. Currently, one third of whites obtained bachelor's degrees by age 25-29, compared with 18 percent of blacks and 10 percent of Latinos. In the last decade, college graduates deemed proficient in literacy declined from 40 to 31 percent. Finally, "fewer American students are earning degrees in science, technology and engineering fields, medicine and other disciplines critical to global competitiveness, national security and economic prosperity."⁵³ These realities underscore the need to examine the U. S. Coast Guard Academy against current and anticipated requirements. As this report will portray, at the Academy, any evaluation must be done through the lens of the service values of honor, respect and devotion to duty. The Academy may well benefit from future focus on capacity to entice students in numbers sufficient to meet anticipated technical needs of the service.

The Chief of Staff of the Coast Guard chartered the comprehensive review Task Force to assess the overall organizational climate, leadership, training and character development program of the Academy. It examined governance using the definition

⁵¹ Spellings, Margaret. *A Test of Leadership; Charting the Future of U. S. Higher Education* (A Report of the Commission). U. S. Department of Education. September 2006, pp. vi.

⁵² Ibid., pp. vii.

⁵³ Ibid., pp. 15.

offered by educator Emil Ricci, specifically: “The distribution of authority and functions among the units within a larger entity, the modes of communication and control among them, and the conduct of relationships between the entity and the surrounding environment.”⁵⁴ As further defined by scholar Frederick Balderston, when that entity is a contemporary U.S. university, the conventional building blocks for governance within the university are its trustees, the executive administration, the faculty, and others, such as student government and alumni. In the case of a public university, the ties to executive and legislative branches of government are important as well as to a higher education coordinating agency.⁵⁵ Responsibility for the oversight of an institution of higher education typically falls to the board of trustees within the American academic system.⁵⁶ Historically, governing boards have held the authority to direct operations at an institution, functioning as the principal overseers and policy makers. Recently across the country, faculties and students have become more involved in institutional matters and pressuring the administration to give them a stronger voice in governance; the balance of power is being challenged on many campuses.⁵⁷

The Task Force examined and defined areas of governance: meeting the needs of the nation and Coast Guard, operating under the principles of clear objective and unity of effort, ensuring that policies and processes supported institutional effectiveness and providing a talented and diverse staff and faculty that meets the needs of the service and institution. As dictated by its methodology, the study team defined optimal states of each. Furthermore, it developed, verified and modified its definitions during interviews, by reviewing service guidance and other literature, examined speeches, strategy documents, and other sources.

Optimal States: Governance

Optimal State: The Academy performs the mission consistent with the needs of the Nation and the Service. As the Coast Guard updates the results of its 2003 “Project Evergreen” and undertakes its successor, Long View, it must clearly link its future needs with those of its eventual leaders. To paraphrase Ms. Spellings, the Academy should produce leaders who contribute to creating new knowledge, economic prosperity even under circumstances of a rapidly changing economy, and competitiveness in a world altered by technology, changing demographics and globalization.

⁵⁴ Ricci, Emil A., *College and University Governance in the United States: An Historical Survey*, 1999. <http://home.comcast.net/~crozycki/HEGovernance.html>. Accessed 02 Jan 2007.

⁵⁵ Balderston, Frederick. *Managing Today's University: Strategies for Viability, Excellence, and Change*, 2nd ed. (San Francisco: Jossey-Bass Publishers, 1995), pp. 55.

⁵⁶ *Ibid.*, pp. 56.

⁵⁷ Geiger, Roger, The Ten Generations of American Higher Education, in *American Higher Education in the Twenty-first Century: Social, Political, and Economic Challenges*. ed. Philip G. Altbach, Robert O. Berdahl, and Patricia J. Gumpert, 38-69. Baltimore: The Johns Hopkins University Press.

Optimal State: Academy stakeholders clearly understand the mission.

The task force found plentiful guidance documents. Various mission statements exist, among them, separate assertions for: the overall institution, the cadet program, the Leadership Development Center, Officer Candidate School, the Center for Advanced Studies and the Institute for Leadership. The Academy intends its over-arching statement to encompass the spectrum of learning programs on base. It was developed after the Academy stood its Leadership and Development Center; that action brought all officer accessions to New London in 1998, and centralized several professional development courses under this single division. The predominant mission statement reads:

"The United States Coast Guard Academy is committed to strengthening the nation's future by educating, training and developing leaders of character who are ethically, intellectually, professionally, and physically prepared to serve their country and humanity, and who are strong in their resolve to build on the long military and maritime heritage and proud accomplishments of the United States Coast Guard."

Framers of the Cadet Program mission statement focused foremost on the 200-week program of transformation. The statement is based on tradition and history since its development and is largely unchanged since its creation in 1929 (except to accommodate women cadets). It reads:

"To graduate young men and women with sound bodies, stout hearts and alert minds, with a liking for the sea and its lore, with that high sense of honor, loyalty and obedience which goes with trained initiative and leadership; well grounded in seamanship, the sciences and amenities, and strong in the resolve to be worthy of the traditions of commissioned officers in the United States Coast Guard in the service of their country and humanity."

The statement which the Leadership Development program espouses focuses on the other officer accession and professional development courses under its cognizance. Specifically:

"The Leadership and Development Center improves the Coast Guard's performance by training members to demonstrate leadership competencies, providing leadership and quality development efforts and identifying future needs through research and assessment."

Other governing bodies have responsibility as well. According to the Academy catalog of courses, "The House of Representatives and Senate remain cognizant of Academy affairs via the Congressional Board of Visitors. Through annual visits to the Academy, the members of the Board reacquaint themselves with the Academy in order to better advise the House and Senate on legislation pertaining to the Institution. The Congressional Board of Visitors is constituted under the authority of 14 USC 194.

Members of the Board are appointed by the Speaker of the House and the President of the Senate.”⁵⁸

The requirements of the Board of Trustees are also defined as providing guidance and advice, more specifically to:

- Review the mission and purpose of the Academy
- Support the Superintendent
- Assess Board performance
- Keep the strategic plan current
- Review programs that impact the Academy experience
- Ensure adequate resources are provided
- Ensure good management practices are followed
- Ensure the accreditation of the various academic curricula

Finally, The Academy also receives specific strategic direction in the form of Commandant’s Strategic Guidance, and, like other Coast Guard units, through other applicable forms such as manuals, regulations, instructions and messages.

Optimal State: All constituencies are fully aligned with, participate and continually collaborate in support of the mission.

Collaboration must be both taught and demonstrated at the accession points to infuse the culture of interagency cooperation necessary in crisis....particularly in a post 9-11 Department of Homeland Security environment that requires entities with disparate points of view and authorities to work together in an effort to prevent or respond to a safety or security threat.

Externally, deliberative bodies recognize the need for service academies including Congress and the White House. President George W. Bush offered context for the service academy experience in 2003 just following the initial U. S. action in Iraq and two years before the responses to Hurricanes Katrina and Rita, when he said to its graduating class: “I see ... idealism in the faces of this Academy class. The men and women of the Coast Guard are ‘always

ready’ to defend the security of this nation. You are ‘always ready’ to rescue those in trouble. These two commitments define your mission -- and they define America's role in history.”⁵⁹ The need for the unique experiences that the military academies provide is also expressed in Congressional testimony, “Attending one of our nation's military academies is an invaluable experience that offers a world-class education and demands the very best that these young men and women have to offer.”⁶⁰ Collaboration in an

⁵⁸ CGA web site, http://www.uscga.edu/uploadedFiles/Academics/draft_course_catalog_web.pdf Accessed January 3, 2007.

⁵⁹ President Delivers Commencement Address at Coast Guard Academy, May 21, 2003. <http://www.whitehouse.gov/news/releases/2003/05/20030521-2.html> Accessed January 2, 2007.

⁶⁰ Gilmoor, The Honorable Paul. Congressional Testimony: <http://www.thomas.gov/cgi-bin/query/D?r109:1:./temp/~r109DqELV6::> Accessed January 2, 2007.

effort which produces shared outcomes is likewise a characteristic necessary in the Coast Guard's duty to engender interagency cooperation. This is particularly the case in a post 9-11 Department of Homeland Security environment in which agencies, consigned to variegated missions and diverse authorities, must work in cooperation. Concepts of collaboration must be both taught and demonstrated at each military accession point so that all stewards become infused in the culture of interagency cooperation necessary in crisis. Internally, the need for alignment remains crucial to ensure that the effort to produce military professionals is not overshadowed by efforts to develop engineers, athletes, or sailors.

Optimal State: The Academy's strategic guidance, organizational structure, decision making processes and policies support institutional effectiveness.

All aspects of the Academy experience should be aligned to meet the mission, and contribute toward the stated outcome. The purpose of the Academy, as defined in its mission statement, includes oversight of all aspects of cadet development, the operations of producing well educated, professional and physically fit officers, and support entities in order to help cadets achieve their fullest potential. In all its undertakings, the Academy must adhere to the highest standards and appropriate actions; only in so doing does it affirm to cadets that the faith they hold in the institution is well-placed. Processes including admissions and academic decisions, cadet evaluations, and conduct and honor case dispositions should be well delineated and communicated as applied to cadets or other faculty or staff as necessary. Because cadet time is a scarce and important commodity, an appropriate balance between the competing demands on a cadet must be struck, managed and continually reassessed.

Optimal State: A talented and diverse board, administration, staff and faculty understand and fulfill their respective roles to develop officers and leaders of character.

Admissions policies and programs should be fully supported to meet future service needs as well as changing demographics and learning styles of recruited students. Competition for the "best and brightest" shows no sign of declination and aggressive techniques and marketing continue to be required to prevent stagnation or a resigned attitude, toward the incoming pool. Despite the growing gap in candidate availability, admissions personnel must continue to focus on recruiting strategies that involve the families, security, community and public service as well as a holistic developmental program, all expectations of the current generation, known as Millennials.⁶¹ The Spellings report recommends "developing new pedagogies, curricula and technologies to improve learning."⁶² Furthermore, it recommends productivity enhancements and developing performance benchmarks in order to improve affordability as limited incentives exist for improving institutional efficiency and productivity progress. Benchmarks for graduates include critical thinking, writing, problem solving skills as

⁶¹ Howe, Neil and William Strauss. *Millennials Go to College*. Life Course Associates. 2003.

⁶² Spellings, Margaret. *A Test of Leadership; Charting the Future of U. S. Higher Education* (A Report of the Commission). U. S. Department of Education. September 2006. pp 5, 20.

well as the continual upgrading of academic and practical skills are crucial. Postsecondary measures can include test scores, postgraduate degree completion, certification and licensure attainment and other germane methods to remain relevant. Diversity of thought, background and experience should be among the most valuable characteristics for an institution whose leaders will continue to pursue national safety and security in uncertain times.

What the Task Force Found in Governance

Overwhelmingly, Academy graduates and enrolled cadets found extensive satisfaction in the summer programs. In a survey conducted by the Academy of graduate junior officers six months after commissioning, nearly half said that their summer programs were most useful in preparing them for careers.⁶³ To quote an enrolled cadet, “This is the cadet’s first time first hand experience at learning why the Coast Guard is such a great organization, it seems to be one of the few things that instills a great deal of pride into cadets, is the opportunity to serve in the fleet...”⁶⁴ Unsurprisingly, that cadet’s view comports with his Millennial peers who exhibit exceptionally strong commitment to public service. Many cadets also found value in the military nature of the Academy in that it contributed to their development as leaders, “Military training is what prepares you for your future career as an officer. It is where you learn what is expected from you as a leader of character. It is where they tell you what you will need to know to be a leader.”⁶⁵

Significant progress: Women at the Academy

“If anything, I think we have one of the more bias free environments of all the service academies.” A Coast Guard Academy cadet.

Since the admittance of women to the Coast Guard Academy in 1976 and the pursuant 1991 climate assessment, significant progress has been made to engender their success. Owing largely to the commitment of the Academy and Coast Guard, leadership officials have answered many concerns regarding integration and associated change management. Specifically, women generally outperform their male counterparts in both academic and military requirements,⁶⁶ and the percentage of women attending the Academy as well as women faculty and staff has steadily increased over time. The Coast Guard exceeded its goals set in the 1990 Women in the Coast Guard study to achieve and sustain 20 percent female graduates by 2000, provide more female role models in leadership positions and attain at least 10 percent female staff and faculty by 2000. Additionally, both sexual harassment and

⁶³ Level III JO survey, CGA IR staff.

⁶⁴ Cadet focus groups, Training (Rank order the following CGA programs as they contribute to your development as a leader of character). November 2006.

⁶⁵ Ibid.

⁶⁶ Sanders, Pride L. *Study of Gender Differences in Performance at the U. S. Naval Academy and U. S. Coast Guard Academy*. Naval Postgraduate School. June 2005, pp. v.

assault numbers have declined; sexist behavior in the Coast Guard is generally lower than the other services and sexual assaults appear to remain at around the five percent level among all service academies.^{67 68} Access to women's athletic programs has reached an all-time high of nine intercollegiate sports, three coed teams and a number of club sports as well; the 2006 women's volleyball team "advanced to the NCAA Division III Elite 8 for the first time in school history by winning the NCAA Division III New England regional as well as the NEWMAC regular season and tournament championship."⁶⁹

Innovative Efforts

In response to the growing attention to college-age drinking and related sexual assaults around the country nearly a decade ago, the Academy initiated innovative rape crisis protocols and instituted a cutting-edge policy that allows victims to choose whether or not to report their perpetrators while ensuring they receive the necessary treatment. Additionally, cadet sexual assault victim advocacy groups attempted to reach cadets in modern communication and presentation styles through a program called, "Sex Signals." The Academy leadership and program presenters eventually modified the program for the military culture in an effort to blend service values with the reality of 21st century pop culture for the college-age population at the Academy.

*"This is where I know
I belong." A
current Coast Guard
Academy cadet.*

The Task Force found an extensive and realistic strategic recruiting plan, which focused on efforts to continually improve. For example, the Coast Guard Recruiting Initiative for the 21st Century program yielded 88 percent graduates (21 of 25) entered the Class of 2010, all of whom completed Swab Summer successfully. "The strong success of this program is credited to more extensive communication with the Admissions Office, three Super Saturday open houses, Eclipse, spring and summer orientation programs, and the contributions of the Faculty Advisor and Ombudsman."⁷⁰ Yields from the Naval Academy Preparatory School were also strong (87 percent) as an alternative method to provide a year of academic developmental progress primarily for minority, athletic or active duty members who show promise in achieving officer status. Research shows that at least 50 known high schools produce a high number of Coast Guard enrollees, including the MAST Academy, a magnet program in Key Biscayne, Florida that runs an ROTC-like program for high school students who have an interest in the marine science and technology fields.

⁶⁷ Report of the Defense Task Force on Sexual Harassment and Violence at the Military Service Academies, June 2005.

⁶⁸ Coast Guard Academy Climate Assessment Survey results, administered October 20, 2006.

⁶⁹ <http://www.uscgasports.com/content/blogcategory/18/37/> accessed January 2, 2007.

⁷⁰ U. S. Coast Guard Academy Recruiting Plan 2006-2007 (draft).

Innovative methods for funding margins of excellence⁷¹ items (those not already supplied by appropriated funding methods) provide maximum value of the limited dollars available for the Coast Guard Academy. It has progressed in reducing redundancies by establishing centrally managing systems such as the Academy's computer server, in an effort to redirect funding to other priorities. Recent improvements to some major athletic programs included the installation of artificial turf and improvements to the outdoor track and soccer fields, through a combination of appropriated funds and other donations from the Academy Alumni Association and Coast Guard Foundation. It also constructed an Alumni Center on grounds, sourced primarily with private donations by graduates and other alumni. These two sources continue to provide significant value to the cadet programs as identified through a "Margins of Excellence" needs list.

Academics: Tough and Robust

Curricula in eight majors across five departments provide cadets a variety of experiences that help shape their future development in critical thinking, problem solving, time management, ethics, and project management skills. As one cadet told the Task Force, "Getting work done is almost like leading people...in the sense that you have a task and it's your responsibility to get it done...you have to work with other people, communicate and abide by timelines..."⁷² The extensive four year curriculum, allows minimal electives so as not to detract from the concentrated course load of 18-21 credit hours per semester. Capstone projects and internships focus on relevant Coast Guard issues. The curriculum does allow, for example, "an opportunity for the cadets to put into practice what they have learned in the classroom...work with project sponsors to define the problem to be investigated and to use the appropriate statistical, operations research and computer techniques to solve the problem. These projects continue to benefit the Coast Guard at large by attacking problems encountered across the fleet and by strengthening the connectivity between the Academy and the service."⁷³

The Academy has been working alongside the Department of Homeland Security's Human Capital office to continue a focus on developing interagency expertise among rising leaders. Together with the Department's Chief Learning Officer, a number of initiatives are underway that are designed to improve homeland security education and training. In order to fill some short term interagency gaps, the Academy has also worked to develop a mid-grade and senior executive series of courses designed to help further educate the interagency and Coast Guard work force in topics of homeland security.⁷⁴ A proposal to do so is under review by the Coast Guard, but demonstrates

⁷¹ Margins of excellence is a term for the types of requirements that can be paid for by non-appropriated funding resources. Items that should be paid for by appropriated funds are termed sufficiency needs.

⁷² Cadet focus groups, Training (Rank order the following CGA programs as they contribute to your development as a leader of character), November 2006.

⁷³ Coast Guard Academy web site, http://www.uscga.edu/academics/majors_computer.aspx, accessed January 2, 2007.

⁷⁴ Electronic interview with CGA faculty, January 3, 2007.

the flexibility and initiative that can be fulfilled by Academy professional educational staff.

Also the Science department, in order to both assist Coast Guard needs and teach cadets the rigors of data development, exploration and application, developed a Geospatial Information Systems (GIS) program. Using financial support from government agencies, this effort brought significant value to graduates, particularly those assigned to Sectors.

A Sports Program Worthy of Bragging Rights

“Athletics by far probably has contributed most to my development as a leader.” A current Coast Guard Academy female cadet.

The Academy offers an astounding 23 athletic programs consisting of eleven men’s, nine women’s and three coed sports. This included the women’s cross country team, which won its first ever New England Women’s and Men’s Athletic Conference (NEWMAC) Championship, the men’s soccer team for the third time in four years earned a berth to the

ECAC Tournament, the sailing team finished third in the first ever ICSA Sloop National Championship, and the football team advanced to the ECAC North Atlantic Football Bowl Game.⁷⁵ At the club level, the men’s rugby team captured the Men’s Division II national title; it was the team’s third consecutive trip to the tournament and first national title.⁷⁶ These programs which hold both regional and division rankings are made possible by a variety of coaches, both paid (appropriated as well as non-appropriated) and volunteer efforts.

Finally, in an effort to develop well balanced cadets the Academy offers a significant number of other extracurricular outlets. This includes 14 sports and special interest clubs, seven separate fellowship and diversity organizations, 14 vocal or instrumental musical groups and pride activities. In a 2005 online journal by a 1/c cadet, the opportunity to participate was well explained to potential recruits, “In addition to academics I am involved in several extracurricular activities; I am a member of the Outdoors Club and Captain of the Windjammers Drum and Bugle Corps. With the Windjammers I have travel all over the East Coast, including one trip to Montreal. This past season we competed at the Inter-Service Academy Drum and Bugle Corps Competition at the US Naval Academy and took third place. I have thoroughly enjoyed my involvement with the Windjammers because it is an excellent venue for musically inclined cadets. If I was not busy enough already, I am also Co-Captain of the Men’s Club Volleyball team. This is an intercollegiate club team that competes in the New England Club Volleyball League against other colleges in Southern New England.”⁷⁷

⁷⁵ CGA sports program web site, <http://www.uscgasports.com/>, accessed November 30, 2006.

⁷⁶ Coast Guard visual imagery web site, <http://cgvi.uscg.mil/cgi-bin/aplaunch.pl>, accessed November 30, 2006.

⁷⁷ CGA web site, http://www.uscga.edu/cadetlife/journal_05_oct.aspx, accessed January 3, 2007.

What the Task Force also Found about Governance: In Contrast

The gaps in governance that the Task Force discovered were not due to intentional activity, but more often due to benign neglect.

Despite the successes that occur daily across the campus and in the field during the 200-week transformation process, room exists for improvement. Most acknowledge this point, hold an opinion, and everyone seems to want Academy graduates to succeed. Much beyond this position, however, opinions and solutions are formed out of

the individuals' various perspectives and experience bases. The gaps in governance that the Task Force discovered were not due to intentional activity, but more often to benign neglect. These variances were found after measuring the optimal state against the actual state of affairs in the assorted elements, as discovered in the research efforts (focus groups, surveys, literature review, interviews, etc.).

Diversity issues discovered during Task Force work require an understanding of the history of integration of the Academy. During World War II, the modern-day Coast Guard commissioned its first minority officer, African-American Joseph C. Jenkins, as an Ensign in 1943 through its Reserve Officer program.⁷⁸ Although this was nearly a full year before the Navy commissioned its first African American officers,⁷⁹ another 19 years passed before the Coast Guard would commission its second minority member. This occurred when Kwang P. Hsu fulfilled the educational requirements of the United States Coast Guard Academy upon graduation in 1962 and the Coast Guard commissioned him an Ensign.⁸⁰

President Harry Truman signed Executive Order 9981 in 1948 and ordered the armed services to provide equal treatment and opportunity for African-American members of the military. Under this edict, the Coast Guard Academy admitted its first African-American, Jarvis L. Wright, into the Corps of Cadets in 1955.⁸¹ However, Cadet Wright later resigned for medical reasons.⁸² Although a minority cadet graduated in each of the years 1962 and 1963,⁸³ it wasn't until 1966 when Cadet Merle J. Smith became the first African-American to graduate from the Academy.⁸⁴ Cadet Smith's appointment in 1962 resulted from an observation by President John F. Kennedy of an all-white unit

⁷⁸ U.S. Coast Guard Historian's Office, "African Americans in Coast Guard History: A Historical Chronology," April 2001, http://www.uscg.mil/history/AFRICAN_AMERICANS_CHRONOLOGY.html/ Accessed December 1, 2006.

⁷⁹ Stillwell, Paul, *The Golden Thirteen: Recollections of the First Black Naval Officers* (Annapolis, MD: Naval Institute Press).

⁸⁰ U.S. Coast Guard Academy, "Accumulated Minority Statistics", (New London, CT: U.S. Coast Guard Academy, 2006).

⁸¹ Office of the Secretary of Defense. *In Defense of Our Nation: A Pictorial Documentary of the Black American Male and Female Participation and Involvement in the Military Affairs of the United States of America*, (Washington, DC: 1990), 274.

⁸² Ibid.

⁸³ U.S. Coast Guard Academy, "Accumulated Minority Statistics", (New London, CT: U.S. Coast Guard Academy, 2006).

⁸⁴ *In Defense of Our Nation: A Pictorial Documentary of the Black American Male and Female Participation and Involvement in the Military Affairs of the United States of America*, (Washington, DC: Office of the Secretary of Defense, 1990), 274.

from the Coast Guard Academy marching in his 1961 inaugural parade. Accompanying Cadet Smith that year was Cadet Anthony Alejandro, the first Hispanic to graduate from the Academy.

The history of women in the Coast Guard, while rich since the origins of the Coast Guard in 1790, is much more recent in terms of women being fully integrated into the service and the Officer Corps. Women had previously been relegated to the Reserves and were not fully integrated into the Coast Guard until 1973. Later that same year, the Coast Guard was the first of the armed services to admit women to an Officer Candidate School.⁸⁵ Public Law 94-106, signed into law in 1975, required each of the federal military academies, the United States Military Academy at West Point, the United States Naval Academy, the United States Air Force Academy, the United States Merchant Marine Academy and the United States Coast Guard Academy to admit women. The Coast Guard Academy was the first of these academies to comply.⁸⁶ The Coast Guard's first women reported for "Swab Summer" in July 1976 and the first woman, Ensign Jean M. Butler, graduated along with 13 other women in 1980.⁸⁷ The first minority woman, Ensign Monyee Smith, an Asian-American, was among the women who graduated that year followed by the first African-American, Hispanic, and Native American women, Ensigns Angela Dennis, Deborah Winnie, and Tracie Parr respectively in 1983.⁸⁸

Governance Gaps: Systems

The Task Force found the planning, policies, guidance and strategic communication regarding the core values of honor, respect and devotion to duty inadequate. Many faculty and staff were unfamiliar with the prevailing strategic guidance for the Academy. Coast Guard Headquarters relies on the Academy to draft its own strategic guidance and its clearance process typically does not involve program managers outside Human Resources. The oversight roles of the Congressional Board of Visitors and Board of Trustees (BOT) are not being used to their full potential in governance. As one example, the Academy Board of Visitors has not been to New London since April 2002, despite the requirement to annually visit and make recommendations.⁸⁹ Although there have been various BOT members very involved in subcommittee work and took their responsibilities very seriously, the Task Force found the strategic planning effort as a work in progress, with ongoing initiatives lost during a recent series of transfers. Standing documents such as the organization manual, position descriptions, web sites and correspondence lacked focus on core values and based on

⁸⁵ U.S. Coast Guard Historian's Office, "Women in the Coast Guard: Moments in History," April 2001, [http://www.uscg.mil/hq/g-cp/history/Women percent20Chronology.html/](http://www.uscg.mil/hq/g-cp/history/Women%20Chronology.html/), accessed December 1, 2006.

⁸⁶ Holm, Jeanne, *Women in the Military: An Unfinished Revolution*, (Novato, CA: Presidio Press, 1993).

⁸⁷ U.S. Coast Guard Historian's Office, "Women in the Coast Guard: Moments in History," April 2001, [http://www.uscg.mil/hq/g-cp/history/Women percent20Chronology.html/](http://www.uscg.mil/hq/g-cp/history/Women%20Chronology.html/), accessed December 1, 2006.

⁸⁸ U.S. Coast Guard Academy, "Accumulated Minority Statistics", (New London, CT: U.S. Coast Guard Academy, 2006).

⁸⁹ 14 USCA s 194

organizational stovepipes. Centralized training for new faculty members is given only once annually and does not cover the spectrum of people who deal with cadets and officer candidates including volunteer coaches and staff in various support elements on base. Certainly not all, but many of the civilian faculty and staff lack knowledge about the Coast Guard and their orientations are limited to the grounds and curriculum focused on classroom duties. Without a cohesive message centrally delivered, it is conceivable that cadets might receive mixed signals unintentionally.

Funding Challenges; Limited Resources, Many Needs

This marginalization of the ever-precious dollar leaves the graduate with the unintended consequence of teaching them the "Curse of Semper Paratus...the extension of the "do more with less" logic is doing everything with nothing."

Although briefing the Board of Trustees on concerns about funding intended to raise the visibility of the issues at the Academy, funding gaps appear to remain largely ignored when placed in competition with other service priorities. In FY 2007, less than ½ of one percent of the Coast Guard's operating budget is destined for the Academy, of which 65 percent is necessary for fixed contract costs. Efforts to fund athletic coaches using appropriated funding remain outstanding; this gap includes the women's volleyball coach who led the team last season to the NCAA Division III Elite 8 championships.

The Coast Guard Academy provides tremendous value to the taxpayer, but when placed through a lens of building leaders of character, one of the values that the graduate learns is "doing more with less." This quality was among the most identified as an organizational norm at the Academy during its 1992 climate assessment. In 1999, then-Commandant Admiral James Loy gave a speech in which he challenged the service to regain its readiness after he equated the Coast Guard to a knife, "...If you take a sharp knife and work it relentlessly, the blade will also become dull—more dull even than it would get from disuse...because we perform dangerous work in a hostile environment, because our duties demand a unique level of readiness, we have an absolute obligation to maintain our edge."⁹⁰ This marginalization of the ever-precious dollar leaves the graduate having been taught the unintended lesson, the "Curse of Semper Paratus" which extends the "do more with less" value to its illogical extreme: "doing everything with nothing."⁹¹ This service value is, therefore, ingrained into the culture of the officer workforce. Other funding requests for staffing shortfalls, transitioning athletic coaches from non-appropriated to appropriated funding, boat and classroom modernization, and gaps in funds for exposure to the operational Coast Guard during the summers typically do not vie with other field requirements. The operating shortfall, according to the Academy exceeds \$4 million annually; the facilities modernization shortfall is substantially larger.

⁹⁰ Loy, James. State of the Coast Guard Address. May 4, 1999. <http://www.uscg.mil/history/Loy/SOCG.html> Accessed January 3, 2007.

⁹¹ Loy, James. *The Curse of Semper Paratus*. January 19, 1999. <http://www.uscg.mil/history/Loy/Carabao.html> Accessed January 3, 2007.

Challenges in Recruiting

Part of the funding gap is in the area of candidate marketing. Over time, the Academy has been successful in attracting larger numbers of female candidates. Despite these improvements for female cadets, the number of overall potential cadet recruits has declined dramatically.

Coast Guard Academy Cadet Finalists⁹²

Year Group 1980-2010 (1984 & 1985 missing)

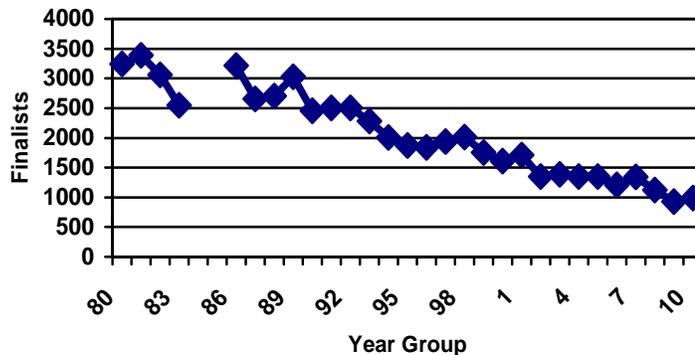


Figure 4: Coast Guard Academy Cadet Finalists

According to the Admissions department, “Since 1980 the Academy has lost over 70 percent of the Finalist pool. Thus, increasing the size and quality of the applicant pool is the central strategic focus of the Recruiting Plan. Aggressive, this year’s target (Class of 2011) is 1405 complete applicants and 1050 finalists (vs. 1340 completers - 987 finalists - last year). Our five year goal (Class of 2016) is 2000 completers.”

The number of women admitted to the Academy has gradually increased over time since their admittance in 1976; at one point, the Corps of Cadets averaged over 30 percent women. The Admissions office showed concern over a recent decline of those sworn in; for the Class of 2010, the percentage fell to 23 percent:

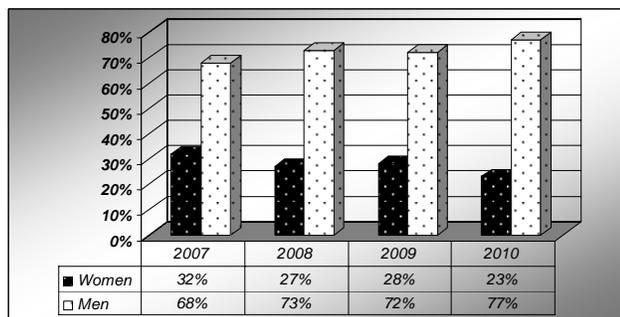


Figure 5: Percentage of Men and Women admitted to the Academy (Classes 2007-2010)

⁹² A finalist is defined as a candidate who is deemed qualified for academic admission to the Academy. A completer is defined as a candidate who finishes all portions of the application process, irrespective of qualification.

A Changing Population in the Country

Today, the Coast Guard Academy minority cadet population average for the four current classes is 13.5 percent, a noticeable decline from 16 percent since 1991.

Another subset of the decline in applicants is the associated reduction in underrepresented students. The precipitously declining rate of minority candidates works counter to the future of the nation for a diverse and fully representative Coast Guard. In the 1991 study, minorities represented 16 percent of the cadet corps (whereas minorities comprised 17 percent of all undergraduate at 4-year institutions). Today, the Academy minority cadet population average for the four current classes is 13.5 percent, a noticeable decline since 1991. The number of African American students (Classes '03-'09) sworn in at the Academy showed a disturbing downward trend. For Academy classes 03 through '09, the number of Asian and Hispanic students sworn in remained constant; however, when considered in comparison to the population growth of the two populations within the country, a gap becomes apparent.

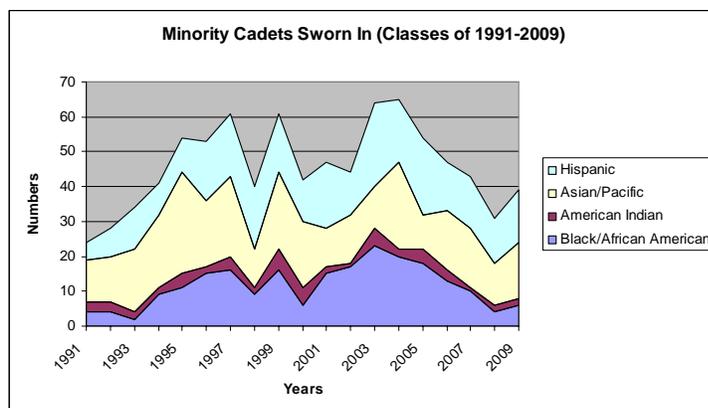


Figure 6: Minority Cadets Sworn In (Classes of 1991-2009)

Specific challenges are forecast by the Academy strategic recruiting plan, “Noting that the Hispanic population will double over the next 25 years, by 2020 about 35 percent of the U.S. population will belong to minority groups (Census 2000). With the exception of East Central Florida, and Phoenix, Arizona, none of these growth regions are currently top producing markets for the Coast Guard Academy. Hispanic students are among the least mobile college-bound grads. Our track record attracting Hispanic students to the Academy reflects this, with enrollment hovering around only 5 percent for the past five years.”⁹³ In general, some prospective cadets lack basic knowledge about the Academy and its missions, and the competition for a limited pool of qualified candidates continues to increase. According to the Academy, the number of African American high school students who are academically ready for an Academy experience, eligible and interested in military service is estimated at only 640 young

⁹³ Coast Guard Academy recruiting plan, 2006-2007, pp. 7

people per year in the nation. Finally, the Academy faculty and staff are made up of less than 10 percent minority representation.

Minority cadets often expressed they were marginalized because classmates, faculty and staff lack a full understanding of the admissions processes and policies; this impedes the creation of an environment in which diversity is valued and respected. Nearly a quarter of comments from cadet focus groups were negative regarding the admissions process, and perceived quota system. As the Task Force examined the issue, no minimum test scores or standards were waived for any incoming cadet, however the same faculty and staff members repeatedly volunteer for participation in the candidate review packages which contributed to the misperceptions.

Governance Gaps: Structure

There is wide variance in mission priority as executed by the Coast Guard Academy faculty and staff, as compared with the other service academies.

In general, the ownership of developing leaders of character was not shared holistically at the Academy. Some of the reasons for this included gaps in policy or a specific focus on a specific area of responsibility in academics or athletics without the broader overlay of core values. For example, an academic department

head reported that nothing existed within its accreditation documentation that mentioned or described a process for developing leaders of character. Maintaining Coast Guard Academy accreditation (defined by the New England Association of Schools and Colleges to establish and maintain the high standards for education through a process of systematic improvement) remains among the highest of priority, and is one with which the Task Force concurs. However, achieving and retaining academic accreditation involves a peer review with the goals of school effectiveness, improvement and public assurance designed to establish a level of acceptable quality.⁹⁴ This process requires the institution to publish its requirements and attain the standards outlined in its own documentation; thus, there appears nothing that would preclude the Academy from including these requirements as essential elements.

The Mission: It Depends Who You Ask

A wide variance in mission priority exists as compared with the other service academies. Depending on where one looks, a trifurcated message may be gleaned that the Academy either offers a physical fitness program, a rigorous academic program or a leaders of character program.⁹⁵ When the Task Force queried cadets about the purpose of the program at the Academy, it received a wide array of answers, ranging from getting a good education to developing officers. In contrast, the U.S. Military Academy asserts that its “curriculum has two principal

⁹⁴ New England Association of Schools and Colleges web site, <http://www.neasc.org/neasc/aboutneasc.htm>, accessed January 4, 2007.

⁹⁵ Coast Guard Academy web site, <http://www.uscga.edu/>, accessed November 30, 2006.

structural features. The first is a broad core of courses providing an essential base of knowledge necessary for all career Army leaders. The core curriculum, when combined with physical education and military science, constitutes the Military Academy's "professional major." The second feature offers cadets an opportunity to specialize in a discipline of their choice through the selection of a field of study or an optional major. Upon completion of the program, all cadets receive a bachelor of science degree (as directed by Congress, Title 10, USC, Section 9.02.a).⁹⁶ West Point's academic programs are accredited by The Commission on Higher Education of the Middle States Association of Colleges and Schools (in addition to technical accreditation programs).

Commandant of Cadets: An Equal Peer?

Structurally, the division of duties by the various departments at the Academy served the purpose to foster responsibility and accountability. However, this division placed significant emphasis on the institution's technical nature (70 percent of all graduates expected to be science, technology, engineering or mathematics majors) and is reinforced by strategic guidance from the Academy chain of command and Board of Trustees. There also was significant emphasis in sustaining and supporting the successful Division III varsity athletic program for men and women as an institutional goal.⁹⁷ Because of this emphasis and divisions of duty, much of the duties to teaching the tools necessary for life as a military member fell to the Commandant of Cadets division. As noted in the 2006-2007 course catalogue, "The Cadet Division develops ethical leaders and lifelong learners while producing professional career military officers for the U. S. Coast Guard."⁹⁸ When conflict existed among military, academic or athletic obligations for cadets, counterpart divisions assumed a defensive stance toward the time that the individual program would lose to accommodate a decision. As one of many examples, cadets scheduled and the Commandant of Cadets approved a core values stand-down that occurred while the Task Force was in session at the Academy. The action created much consternation as off-duty athletic programs had to be cancelled and cadets lost time to prepare for upcoming academic duties. Rather than a cohesive, unified front demonstrated toward the stand-down by the faculty and staff, a disjointed front prevailed. This was due, in part, to a lack of full strategic communications throughout the chain of command as well as a prevalent, inculcated belief that does not completely respect or trust actions another division takes.

⁹⁶ U. S. Military Academy web site, <http://www.dean.usma.edu/Curriculum/EducatingArmyLeaders/>, accessed January 4, 2007.

⁹⁷ CGA 2006-2007 Recruiting Plan, page 3.

⁹⁸ Coast Guard Academy web site, http://www.uscga.edu/uploadedFiles/Academics/draft_course_catalog_web.pdf, Accessed January 4, 2007.

Who is the Cadet's Commanding Officer?

"The system, the environment, and the operating parameters are undermining the Company Officers. While it is unrealistic to expect to remove all tension between the Cadets and Company Officers, the present state of relations requires correction." A former Coast Guard Academy Commandant of Cadets

As noted by a former Commandant of Cadets, the cadet chain of command is diffused which unintentionally undermines the Company Officers. "Paradoxically, leadership resources established outside the Cadet Division chain of command in response other needs reinforced this perception that the Company Officers are primarily "disciplinarians" in lieu of being problem solvers, advisors, and coaches. The result is an erosion of trust by the Cadets toward the Company Officers, as well as poor unit integrity or unity of command. Instead of training and reinforcing that a Cadet's chain of command is the first venue through which to work out and obtain assistance with developmental, professional, and personal problems, issues, or needs, the cadets consult other sources, and not their Company Officers. As General Colin Powell so appropriately states, "The day soldiers stop bringing you their problems is the day you have stopped leading them. They have either lost confidence that you can help or concluded that you do not care. Either case is a failure of leadership." The system, the environment, and the operating parameters are undermining the Company Officers. While it is unrealistic to expect to remove all tension between the Cadets and Company Officers, the present state of relations requires correction."⁹⁹

Even internally within the Cadet Division, the Task Force noted gaps between the cadet's view of the Company Officer and Company Chief Petty Officer; the Company Officer was more often viewed as the disciplinarian whereas a cadet perceived the Chief's role as more of a mentor.¹⁰⁰ This disparity manifested itself in some capacities through significant distain for the Company Officer by the cadets, and the misperception that Company Officers were failures in the fleet.¹⁰¹ Structurally, this occurred also because of limited guiding policy or doctrine regarding the functions of their duties. In a survey given six months after graduation, one graduate calls for change to "Desperately need to eliminate the parent/child relationship that has been fostered between the cadets and the administration---ultimately left me with a sour taste in my mouth by the time I graduated."¹⁰²

⁹⁹ Stubbs, Bruce, *Commandant of Cadets Review on the Company Officer's Role*, January 1997, pp. 8.

¹⁰⁰ Cadet focus groups, Leadership, November 2006.

¹⁰¹ Ibid.

¹⁰² Level III Junior Officer Data, Page 40 of 80.

Practitioners of the Profession of Public Service and the Profession of Arms.

“The Company Chiefs (and USCG Chiefs in general) run the Coast Guard... The Company Officers are the tools from their ol’ Academy days that see restriction and work hours as a Swiss Army Knife. Restriction is clearly the only thing that will develop good officers to them...” A current CGA Cadet

As part of the effort to explain the purpose of the service academy experience, the Academy developed a “Purpose Statement” approximately a decade ago; it said that the Academy was “about producing military leaders of character who selflessly serve this nation as practitioners of the profession of public service and the profession of arms.”¹⁰³

That purpose statement was no longer resident in any policy document that the Task Force evaluated and many of the indicators for poor support for the military program, as outlined by a former Commandant of Cadets, still existed. One noteworthy item was that, unlike some other service academies, the Coast Guard Academy offered no “service specific professional electives, sending the unintended message that such professional courses are not important, nor needed when compared with electives from other departments. Considering the Academy's purpose is to produce officers, not engineers, managers, or mathematicians, this lack of professional electives becomes even more alarming.”¹⁰⁴

Governance Gaps: Culture

In addition to the systems and structural inhibitors to the optimal state in governance, the study group also found cultural ones. Much having to do with cadet culture will be addressed later in the report, however, the governance concerns revolve around the concepts of collaboration and change.

New leadership at the senior levels infused a renewed urgency to work together, but at the deckplate level, professors explained the presence of a caste-like system, even within the faculty.

As noted earlier, collaboration must be both taught and demonstrated at the accession points to infuse the culture of interagency cooperation necessary in crisis. However, the Task Force found an environment not conducive to achieving this end state. New leadership at the senior levels infused a renewed urgency to work together, but at the deckplate level, professors explained the presence of a caste-like system, even within the faculty. Because of the strategic intent of graduating 70 percent cadets in science, technology or engineering majors, most members of the faculty and staff believe that the Academy is an engineering school; non-engineering professional educators are

¹⁰³ Stubbs, Bruce, *Commandant of Cadets Review of the Military Program*, January 1997, pp. 6.

¹⁰⁴ *Ibid.*, pp. 7.

made to feel like second-class citizens¹⁰⁵ which eventually infused its way into the cadet culture as well. Marginalization turned into competitiveness in some aspects; the tendency to save oneself over others, and competitiveness were among the most highly rated values for both staff and cadets in the 1992 cultural assessment.¹⁰⁶ In this aspect, minimal to no change was observed since that report.

The resistance to fully embrace the concept, capability and capacity of the Leadership Development Center into the cadet program remained alive and well.

The latest large cultural change to the Academy came during the creation of the Leadership Development Center (LDC), including moving Officer Candidate School and several other professional courses to New London in the late 1990s. The mission

statements, as earlier reported, were developed in an effort to meet the needs of the new constituencies as they were aligned. As outlined in a Coast Guard instruction in 1997, one of the four principal elements of the leadership development program under the eventual responsibility of the LDC was "Building core values, leadership competencies, and expectations of performance into existing resident training (e.g., "A" Schools, OCS, and the Academy)"¹⁰⁷. Today, some faculty and staff hold the perception that the LDC capability was inferior to that of the cadet program and service academy experience, and that leadership as somehow is simply a "trade school" approach to development.^{108 109} Furthermore, some did not realize the capability that exists because the program was not directly or meaningfully incorporated into the cadet leadership development program¹¹⁰ and the presence of the LDC could further interfere with the next accreditation cycle.¹¹¹ The resistance to fully embrace the concept, capability and capacity of the Leadership Development Center into the cadet program remained alive and well; implementation of the change as envisioned by then-Commandant of the Coast Guard Admiral Kramek has yet to be achieved.

¹⁰⁵ Faculty and Staff focus groups, Oct-Nov 2006.

¹⁰⁶ Princeton Economic Research Study. *Culture and Climate of the U. S. Coast Guard Academy*, July 1992. pp 21-23.

¹⁰⁷ Coast Guard Leadership Development Program, COMDTINST 5351.1, dated December 1997. <http://www.uscg.mil/LEADERSHIP/leadci/cmdtinst.html> Accessed January 4, 2007.

¹⁰⁸ Faculty/Staff focus groups, October-November 2006.

¹⁰⁹ Stubbs, Bruce, *Commandant of Cadets Review of the Military Program*, January 1997, pp. 7.

¹¹⁰ Faculty/Staff focus groups, October-November 2006.

¹¹¹ Interviews with Academy senior staff, November-December 2006.

“Now I am at a Group, soon to be Sector, and have found that I have not had enough experience in certain aspects to add value to group operations.” A recent Coast Guard Academy graduate

Remaining change implementation was found deficient as well. Although not specifically under the charter of the Task Force, two significant gaps in areas not specifically covered by the charter are recommended for further consideration. First, junior officers overwhelmingly said the Academy did not adequately prepare them for duties at Sectors. One graduate said there was no real preparation for shoreside operations (including search and rescue planning, boat forces strategy and tactics, boarding team member and officer training) as well as port, waterways and coastal security policy introduction.¹¹² Furthermore, the Academy staff reported they were temporarily stopping the practice of sending cadets to Sectors in the summer because duties were too ill defined. Secondly, the findings and solutions of the 1998 Junior Officer Needs Assessment (JONA) study included many recommendations that have yet to be acted upon either in the field or at the Academy. Some critical ones included: developing supervisor training for O-3/O-4 level, developing a feedback tool for supervisors, continued efforts in all areas to disseminate information regarding generational value differences, increasing cadet financial responsibility, re-examining professional development requirements to prepare for a career vice a first tour afloat assignment, and developing field unit links to the Academy in order to provide real-world exposure to cadets.¹¹³

Marketing shortfalls exist with both the recruiting efforts as well as external communications with the public and the media. Although a thorough strategic recruiting plan existed, it contained known gaps in funding and staffing for implementation. Because of the close connections that Millennials have to their families, marketing to communities is important in order to appeal to the “system of the student” (that is, all concerned with cadet candidate development), not just the individuals. Concepts of safety and security must be reinforced. Teamwork, the missions of the Coast Guard and the idea of the Coast Guard family are attributes that appeal to this generation.¹¹⁴ Regarding the external communications, the Task Force observed minimal proactive engagement regarding the varied and remarkable contributions of cadets, faculty, staff and graduates. The need for a strategic marketing plan was apparent.

¹¹² Level III Junior Officer Survey, pp 66/80.

¹¹³ *Junior Officer Needs Assessment Final Report*, Part 2, pp 1-5.

¹¹⁴ A guide for understanding Millennials regarding admissions, classroom and student support services is found in the Appendices, and is adapted from the Howe and Strauss book, *Millennials Go To College*.

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Leadership Development at the Coast Guard Academy

“As people began to derive inspiration from their involvement, I realized that the choice leaves your own hands. The people expect you to give them leadership. You see them growing as they move into action, and then you know you no longer have a choice, you can’t decide whether to stay in it or get out of it, you must stay in it.”
Martin Luther King, Jr. November 1956

Throughout the history of the Coast Guard Academy, the focus on leadership development remained a key ingredient in the recipe of growing cadets into officers. The convening order from the 1955 Coast Guard Academy study listed its purpose to “advance the Academy’s function of developing in cadets those traits of character, leadership, attitudes, work habits and service loyalties which have been found essential for good Coast Guard officers.”¹¹⁵

Over time, society examines and adapts theories and implementation of various leadership styles as bureaucracies, war and other influences demand they be applied to specific situations. In education today, using language to convey the various messages in leadership “does more than reflect reality--it creates reality as well... it does so in order to urge a positive tone that, not so by-the-way, legislators, superintendents of schools, college presidents and other leaders would prefer to use. The language of leadership is a “can do” language, not a punitive rhetoric.”¹¹⁶ This underscores examining the leadership and training program at the Coast Guard Academy, and is designed to constructively provide an assessment of the current status of this element of officer accessions.

As Dr. King recognized in the same timeframe as the Academy conducted the post-war study, leadership cannot happen by itself. Citizens expect leadership from the Coast Guard, in the spectrum of missions for which the service is responsible. As exemplified in a standing order from headquarters to a field commander, “Do what you have to do. Act first. Call me later,”¹¹⁷ initiative is an essential attribute, expected of a good Coast Guard leader.

As well, the need for reflection and renewal is essential. All military services are or have recently undertaken similar examinations of their leadership programs. The U. S. Air Force Academy, for example, continues to modernize its officer

¹¹⁵ *Report of a Sub-board Convened at the U. S. Coast Guard Academy*, December 14, 1955.

¹¹⁶ *The Toolbox Revisited; Paths to Degree Completion from High School Through College*. U. S. Department of Education, February 2006. pp 106.

¹¹⁷ Phillips, Donald and Loy, James, *Character in Action.: The U. S. Coast Guard on Leadership*. Naval Institute Press, 2003, pp. 83.

development program for cadets using the findings of the 1950 Stearns-Eisenhower report to the Secretary of Defense as its foundation.¹¹⁸

As part of the Task Force's charter, it examined the Academy's leadership development program. It also evaluated the extent to which any nexus existed between components of the leadership program and the Coast Guard principles of operation as listed in *Publication 1*. The study group defined and assessed six areas of leadership development: strategic guidance, leadership competencies, core values and an appreciation of the oath. It found these to be foundational building blocks in developing officers and leaders, incoming cadet candidate character is used to craft officers and leaders, who have an appreciation of the value of diversity to support mission effectiveness, Academy leaders serve as role models, the Academy instills and nurtures risk taking and facilitates learning from mistakes, officer and leader development is accomplished through a unified approach, and cadets understand "devotion to duty" even as it transcends peer dynamics. What follows is the study teams' definition of the optimal state of each facet of leadership development. The Task Force verified each during interviews, through review of service guidance, literature, speeches, strategy, and other sources during the research phase.

Optimal States for Leadership Development

Optimal State: Strategic guidance, leadership competencies, core values and an appreciation of the oath are foundational building blocks in developing officers and leaders.

The Coast Guard is responsible for establishing the competencies expected in its leaders. Currently, the foundation of leadership is built on four general categories.

- Leading Self
- Leading Others
- Leading Performance and Change
- Leading the Coast Guard¹¹⁹

Every Coast Guard operation requires the principle of Clear Objective.¹²⁰ Likewise, understanding the mission and objective in matters of human resources and higher education are equally important. "Operational requirements" for officer and leader development is a shared responsibility among all senior leaders in the Coast Guard, and its oversight and management properly placed within Coast Guard organizational construct. Using the philosophies in Coast Guard *Publication 1* and the *Armed Forces*

¹¹⁸ The USAFA provided the Task Force an extensive amount of material on their Officer Development System and its renewal efforts. From the 1950 Stearns-Eisenhower report as the foundation of the AFA mission: "Provide undergraduate instruction, experience, and motivation to students so that they will graduate with the knowledge, character, and the qualities of leadership required of a junior officer. This program should provide a basis for continued leadership throughout a lifetime of service to the Nation and a readiness for military responsibilities of the highest order."

¹¹⁹ Coast Guard web site, <http://www.uscg.mil/leadership/leadci/encl1.htm>, accessed January 16, 2007.

¹²⁰ *Coast Guard Publication 1*, pp. 49.

Officer, guiding principles are consistent, understood, resident and easily accessible by all levels of the organization.

Optimal State: The Academy builds on existing cadet candidate character in order to develop officers and leaders, who have an appreciation of the value of diversity to support mission effectiveness.

“At the most basic level, effective presence means having the right assets and capabilities at the right place at the right time.”¹²¹ Operationally, this includes sending properly trained and equipped units to scenes as well as sustaining assets over a service life. In the leadership realm, effective presence also involves a similar paradigm. Because the Coast Guard expects character and leadership qualities from cadet candidates, the evaluation system that awards appointments have sufficient methods to measure these attributes and build on existing morals and values. Admitting students who exhibit intolerance, lack of respect or maturity insufficient to handle the stressors of service academy life are recognized as maladapted to the Coast Guard and dealt with accordingly.

Optimal State: Academy leaders serve as positive role models.

In its international role in national security, the Coast Guard, as a service and its leaders, sets high standards for ethics and operations around the world. “Many of the world’s maritime nations have forces that operate principally in the littoral seas and conduct missions that resemble those of the Coast Guard. And, because it has such a varied mix of assets and missions, the Coast Guard is a powerful role model that is in ever-increasing demand abroad.”¹²² Not only abroad or at home, the need to possess, study and model as positive traits is just as critical to leadership as it is to operations. According to Admiral James Loy, former Commandant of the Coast Guard, “I maintained that a commitment to study, a conscious acquisition of needed skills, and attention to keeping that package current, form a very effective road map to successful leadership. For me, one of the most instructive of that array of influences is the study of heroes as role models.”¹²³

Optimal State: Officer and leader development is accomplished through a unified approach.

A Joint Chiefs of Staff publication, *The Armed Forces Officer*, defines the qualities of officers and leaders, “As an officer in the Armed Forces of the United States, you are a citizen-soldier, a warrior in the profession of arms, a member of a skilled profession, an unwavering defender of the Constitution and a servant of the nation. A leader of character, you accept unmitigated personal responsibility and accountability to duty, for your actions and those of your subordinates. You lead your service and defend the

¹²¹ *Coast Guard Publication 1*, pp. 50.

¹²² Coast Guard web site, <http://www.uscg.mil/hq/g-cp/comrel/factfile/Factcards/NationalSecurity.html>, accessed January 8, 2007.

¹²³ Loy, James. *Heroes and Role Models*. February 1995. <http://www.uscg.mil/LEADERSHIP/essays/essay1.htm>, accessed January 8, 2007.

nation in seamless union with officers of all services.” The Academy accomplishes this by assigning each individual involved in cadet development to specific responsibilities in building leaders of character using the principle of Unity of Effort.

Optimal State: The Academy instills and nurtures risk taking and facilitates learning from mistakes.

Coast Guard operations are dangerous by their nature. The public expects its Coast Guard to understand the hazardous of work in the maritime domain and take actions to prevent and respond to safety and security threats. As a Senator said, “We count on the men and women who serve in the Coast Guard to do dangerous yet vital work to protect our coastline.”¹²⁴ As such, one of the principles of Coast Guard operations is Managed Risk. Teaching the elements of preparation, equipping, decision making and, ultimately, accountability and responsibility for mission execution is crucial for developing officers, particularly the college-age cadets who are developing personally concurrently to their professional growth.

Optimal State: Cadets understand “devotion to duty” even as it transcends peer dynamics.

“The leader of armies is the arbiter of the people's fate, the man on whom it depends whether the nation shall be in peace or in peril.”¹²⁵ As leaders and young adults, cadets face experiences that test their mettle in decision making as the arbiter of another’s fate. These produce conflicts whose resolution helps cadets understand how adhering to the Core Value of devotion to duty can supersede loyalty to peers. Through the principle of Restraint, cadets are expected to “[refrain, therefore] with the most guarded circumspection, from whatever has the semblance of haughtiness, rudeness or insult...”¹²⁶

What the Task Force Found about Leadership Development

Graduates In Action

“Whether it is interdicting drug smugglers or migrants, or running a search and rescue case, I feel that I was more than adequately prepared to deal with all cases... There is nothing that I would rather be doing than commanding a Coast Guard cutter, and it has all been made possible because I made the decision to attend the Academy...” A Coast Guard Academy graduate, Class of 2004

Coast Guard Academy graduates serve in a variety of demanding leadership positions around the country and throughout the world. In support of Operation Iraqi Freedom, young officers serve in some of the most responsible positions including protecting Iraqi oil fields. One officer, from the Class of 2003, described the

¹²⁴ Murray, Senator Patricia, <http://murray.senate.gov/news.cfm?id=189073>, accessed January 6, 2007.

¹²⁵ Sun Tzu, *The Art of War* (undated); http://www.infed.org/leadership/traditional_leadership.htm, accessed January 8, 2007.

¹²⁶ Treasury Department Circular to the Captains of the Revenue Cutters,” June 4, 1791, vol. 8, p. 432, as cited in Ron Chernow, *Alexander Hamilton*, The Penguin Press, New York, 2004, p. 340.

duties, “You really have to stay on your toes... Sometimes Iranian boats approach the patrol boats through the still-disputed Iranian-Iraqi maritime borders. They'll come up to us and sometimes take pictures of us, but we don't show any aggression toward them.”¹²⁷ Another's collateral duty work as Chairman of the Human Relations Council and Civil Rights Officer positively affected the climate and morale at Coast Guard Sector Miami. “He served as a dedicated leader committed to educating all Coast Guard members, advising the Sector Commander and creating a forum to voice real and perceived civil right or human relations problems. As a result, the ethnically diverse unit received exceptionally high marks on the recent cultural audit and remained a quality environment in which to work.”¹²⁸

A Dedicated Faculty and Staff

Overall, every faculty and staff member, volunteer or paid, who was encountered, was motivated, enthusiastic and genuine in the desire to improve the development of cadets.

During the data collection phase of the Task Force's work, a number of very dedicated faculty and staff were observed in a myriad of efforts. Volunteer coaches, who teach during the day, dedicated hundreds of off duty hours in an effort to further enhance the cadets' development. Interviews were held with professors whose collateral duties included training cadets and faculty in the honor concept, providing advice and counsel in honor adjudication events. One academic class in the core curriculum deals with sexual harassment, taking a theoretically-based approach because of the nexus to corporate America and the concept of Quid Pro Quo. Several remedial programs in honor, respect and academics were designed to give the cadets a developmental approach to learning through intellectual endeavors, experience practicum and reflection. Athletic coaches said they were included in decisions regarding cadets and often had a voice in cadet adjudication issues.

Other noteworthy efforts included programs such as those on the waterfront, like sailing either competitively or in the summer programs. These efforts, led by outstanding volunteers from on campus, blend classroom learning with real experiences at sea which have direct applicability to post-graduation careers. Officers and staff associated with programs, such as Luders, are intent on developing the whole cadet, including both high standards of accountability with hands on seamanship in very demanding environmental conditions. Overall, every faculty and staff member, volunteer or paid, who was encountered, was motivated, enthusiastic and genuine in the desire to improve the development of cadets.

¹²⁷ U. S. C. G. in the news, http://www.defenselink.mil/news/Apr2006/20060427_4953.html, accessed January 6, 2007.

¹²⁸ Sector Miami award citation to the Federal Executive Board, awarded May 2006.

Leadership Theory

The Guide to Officer and Leader Development (GOLD) is the notional plan for building officers and leaders at the Academy. According to the Academy, “This overarching philosophy enables the Academy community to come together around a common set of principles and practices. It documents the developmental theory supporting a philosophy of individual development versus behavioral compliance. It facilitates the academic, military and athletic advisors to coordinate the individual growth and challenge needs of each cadet as they are pushed, advised, mentored to their personal growth needs.”¹²⁹ This theory, that also builds on the Commandant Leadership Competencies, uses a cognitive approach of Ryan and Deci’s Self Determination Theory. Specifically, it is based on the theory that humans “are active organisms, with innate tendencies toward psychological growth and development, who strive to master ongoing challenges and to integrate their experiences into a coherent sense of self. This natural human tendency does not operate automatically, however, but instead requires ongoing nutriment and supports from the social environment in order to function effectively. That is, the social context can either support or thwart the natural tendencies toward active engagement and psychological growth.”¹³⁰

This approach does not preclude use of compliance or coercive methods as is necessary in some aspects of a military environment, although Etzioni¹³¹ likens this method to the “major means of control over lower participants in prisons” and that achieving moral involvement has a high correlation to normative power, vice coercive.¹³² In fact, the coercive method is necessary in certain military training aspects, however, it should be only one aspect of a larger, more comprehensive model. Because teaching leadership is related to motivation, the exploration of self concept is important in addition to self determination.¹³³ The Task Force noted that the Academy neither advocated nor practiced a strict “Carrot” or “Stick” model.

The Institute for Leadership

As another element of leadership development, the Coast Guard Academy has established an Institute for Leadership. According to Academy policy, the Institute for Leadership includes the Tyler Chair in Leadership and two planned endowed chairs in Ethics and Change Management. It is envisioned that the Institute will focus efforts funded predominantly by non-appropriated funds and grants. The vision is an “Architecture of Leadership” complementing existing military, athletic, and academic holistic officer development. The plans call for the

¹²⁹ Briefing by the Commandant of Cadets division to the prospective Superintendent, December 2006.

¹³⁰ <http://www.psych.rochester.edu/SDT/theory.html> Accessed January 6, 2007

¹³¹ Etzioni, Amatai. “Organizational Dimensions and their Interrelationships; A Theory of Compliance,” in Bernard P. Indi, *People, Groups and Organizations* (New York: Teachers College Press, 1968).

¹³² Azim, Ahmad and F. Glenn Boseman, “An Empirical Assessment of Etzioni’s Topology of Power and Involvement within a University Setting.” *The Academy of Management Journal*, Vol 18, No. 4. (December, 1975), pp. 680-689.

¹³³ Heller, Jonathan D. “Motivating Optimal Performance: The Expectancy of Flow.” USCGA Leadership and Management Department, December 2003. pp. 7.

Institute to develop and deliver innovative and high impact programs to the Corps of Cadets and to design and market a generic leadership development model. Additionally, the Institute will host a variety of initiatives and programs including: leadership speaker series; sponsor cadet participation in conferences; host symposiums/conferences; sponsor faculty participation in conferences and academic endeavors; encourage publication; support cadet internships; support cadets candidacies for post graduate programs; host the Ethics Forum; and sponsor faculty release time.

Cadet Leadership

Cadet leadership was observed to be prolific in several aspects to which the Task Force was exposed. Following a cadet arrest that occurred during the course of the group's work, the cadets initiated a proposal to revise Cadet Regulations to impose more specific loss of privileges after alcohol related offenses. Cadets were responsible for coordinating the logistics and selection for the almost 200 cadets personally interviewed by the Task Force, after nearly all participated in the earlier climate and culture survey. Showing leadership and initiative, cadet committee members contacted the Task Force to initiate discussions on sensitive items such as sexual assault, eating disorders, and racial discrimination. As another example, first class (1/c---senior) cadets took responsibility for fourth class (4/c---freshman) not attending a Task Force focus group; the 4/c cadets were held accountable by personally apologizing to the senior member of focus group; the leadership demonstrated by the cadets was noteworthy.

Company Chief Petty Officers

As part of the JONA study, the Academy implemented the recommendation to provide a full time Chief Petty Officer billet to each company. Since completion, this change has been a resounding success, according to cadets. 86% of cadets said they were more likely to confide in their Company Chiefs than their company officers; reasons cited including Chiefs being more approachable or accessible, a broader range of experiences and their roles as mentors. Among the dozens of positive comments the Task Force received about this program, was this one, "We are taught to confide in chiefs very early on..."¹³⁴

¹³⁴ Cadet focus groups (Leadership), November 2006.

What the Task Force also Found about Leadership Development: In Contrast

Collectively, the lack of an approved officer and leader development plan contributed to an environment where Coast Guard core values were not consistently taught, learned or demonstrated.

Despite the dedicated staff, faculty and administration that the Task Force observed, “devotion to duty” was found only in specified individual responsibilities and not on the larger, holistic mission of developing officers and leaders of character. The

GOLD program reference earlier could be best characterized as a work in progress and was not promulgated by anyone in authority. Asked to articulate the competencies they are required to master each year, cadets could not name them. One initiative, a cadet individual development plan, similar to the requirements for junior officers in the Coast Guard, was later dropped. Cadets expressed decidedly cynical perceptions about officer leadership. Interestingly, the Command Master Chief at Atlantic Area said junior officers were his highest priority for improvement because, “They do not always understand the impact of educational services, evaluations and mutual assistance on an enlisted member.” He also asked questions regarding the junior officer that serves in today’s fleet, “Does the information access age that we live in reduce initiative for junior officers? Are they decision makers or just briefers?”

Enlisted leaders interviewed by the Task Force observed cadets and junior officers struggling to comply with military standards. At a professional development session in New London, instructors suggested to attendees that the campus is foremost a college. Furthermore, the instructor recommended that faculty members should ignore cadet infractions such as uniform regulations, customs and courtesies. Collectively, an approved officer and leader development plan contributed to an environment in which Coast Guard core values are not consistently taught, learned or demonstrated.

Leadership Development Gaps: Systems

“It is tough to tell a Millennial to not approach a senior with a question when he or she has had the ability to email the President of the United States since the first grade.”

As a generation, Millennials tend to respect ability and accomplishment over rank. “Authority is respected, but not awed; it is tough to tell a Millennial to not approach a senior with a question when he or she has had the ability to email the President of the United States since the first grade. They tend to see leadership as a

participative process and will learn best from those who engage them in the learning process rather than just lecturing. It has noted that this group is usually not satisfied

with the old command-and control motif. For this reason, it is no surprise that Millennials are also likely to question long-established rules and procedures.”^{135 136}

With this in mind, it did not surprise the Task Force to learn that cadets have a much greater regard for their Company Chiefs than their Company Officers. Cadets pointed to the Chief’s experience in the fleet, believed that Chiefs had a more real world view of problems; “I have more faith in the enlisted person who has served a time about as long as I have been alive,” one cadet summarized.¹³⁷ The paradigm of a strictly compliance-based leadership approach does not appear to be the best method for developing officers and leaders of this generation.

Millennials also crave safety and security, as they have been raised in a society that emphasizes these characteristics. This speaks positively to the mission emphasis that the Coast Guard will provide the graduates and reinforces the strong need to tie Academy experiences to Coast Guard ones in an leader development program. As an institution, the Coast Guard and the Academy are held in high regard by this generation. “Millennials begin with a high level of respect for institutions, but with that respect come very high expectations. They count on adults to be exemplars. An individual, professor or administration, who fails to live up to those expectations will lose a great deal of trust--and may find it very difficult to earn it back.”¹³⁸

Data from the October 2006 survey to cadets revealed a decline in cadet confidence in the Academy to take appropriate actions. Lacking information in cadet conduct case dispositions, cadets often then make their own assumptions about Academy actions which leads to an environment lacking in trust in their leadership. Minority cadets and faculty perceived that white students were held to a different standard than were minority students.¹³⁹ Overscheduled company officers as O-3s, with collateral duties and 100-120 cadets the size of a crew that often is not led in the Coast Guard until the O-5 level, were viewed by cadets as people who “the only time you get to see them is when you are in serious trouble and for the most part they are not very encouraging.”¹⁴⁰

¹³⁵ DiGilio, John J. and Gayle Lynn-Nelson. “The Millennial Invasion: Are You Ready?” *Outlook* 8.11 November 2004, pp. 15.

¹³⁶ Millenium Generation Literature Review, Appendices.

¹³⁷ This observation, as one of many cadets told the Task Force in focus groups, may not be fully thought through as other senior officers at the Academy have similar amount of field experiences as the Company Chiefs.

¹³⁸ Howe, Neill and William Strauss. *Millennials Go To College*. Life Course Associates, 2003. pp.68

¹³⁹ Faculty and Cadet focus groups. November 2006.

¹⁴⁰ Cadet focus groups, Leadership (In our survey, we found that cadets are more likely to confide in their Company Chiefs than company Officers. Why?), November 2006.

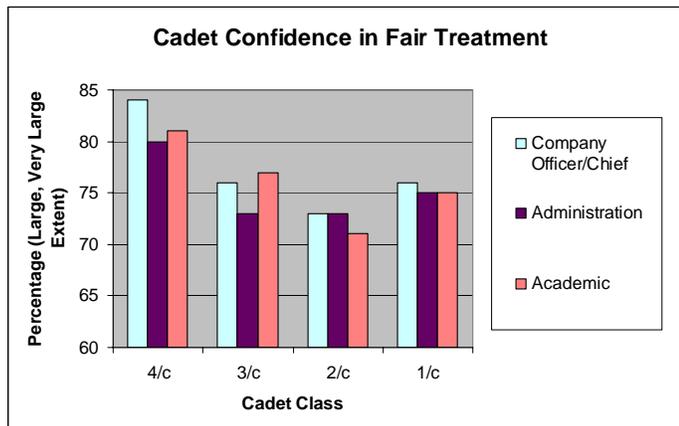


Figure 7: Cadet Confidence in fair treatment. When asked to what extent do you think (the entity) treats cadets fairly, the responses indicate cadets believe they are treated unfairly 70+ percent of the time. Their perceptions are highest in the 4/c year, declines over the next two years, and then increases in the 1/c year.¹⁴¹

Data from the November 2006 focus groups revealed a wide spectrum of opinions on how best to prioritize cadet time, particularly between the two main elements of how a cadet's class ranking is decided.

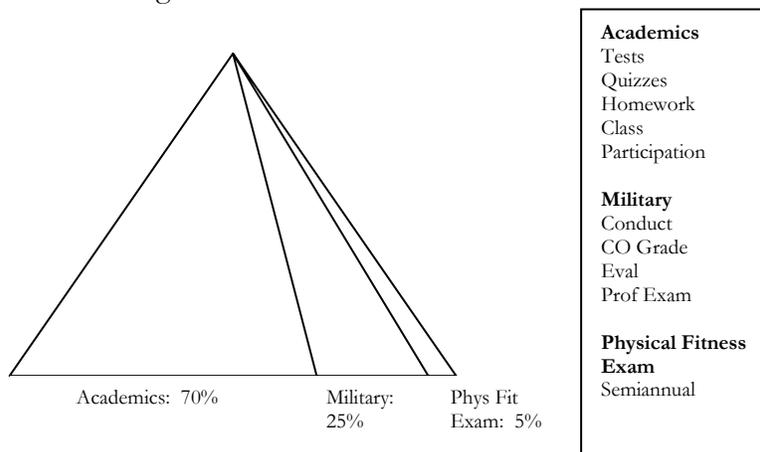


Figure 8: Class Ranking. Military Precedence List (MPL) Composition

Opportunities to demonstrate leadership are available to cadets on a daily basis, through their work in class, on the athletic field, in their extracurricular activities in addition to life in Chase Hall. Evaluation of this aspect, though, is less apparent in the complete assessment of how cadets are ranked against one another. Therefore, cadets are left to manage and prioritize their own time against however they best decide to accomplish this. In many cases, academic performance becomes their priority due to the weighting.¹⁴²

¹⁴¹ Cadet Climate Survey, October 2006, pp 218-220 (broken down by class, detailed results pp 84-86).

¹⁴² Time and focus prioritization frustrates cadets as well. The Task Force received many similar comments in focus groups, "Why should someone graduate ahead of their classmates who hasn't contributed anything to the corps, if they've just been in their room during the entire four years and 'hit the books' as opposed to someone who didn't have as much time because they were a leader..."

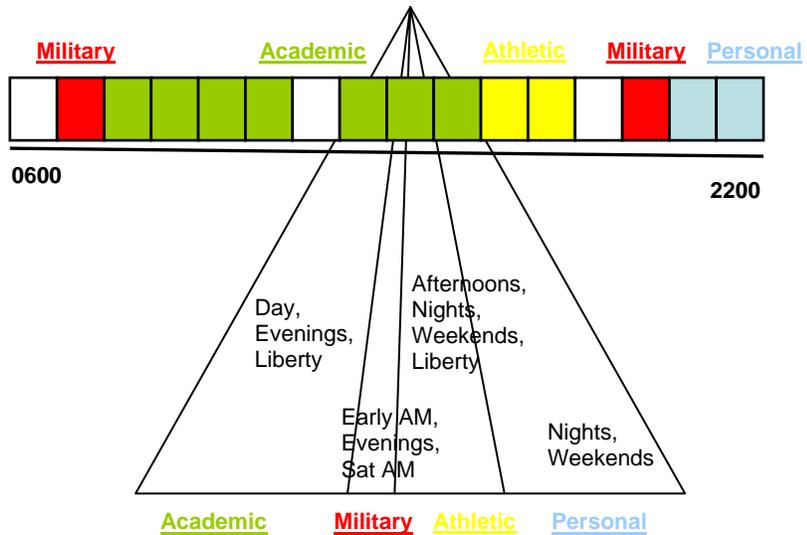


Figure 9: Cadet Time

As earlier stated, cadet time and prioritization is one of the most difficult and complex management issues that the Academy faces. It manifests itself, in the minds of many cadets, by prioritizing based on the overall impact on their class standing upon graduation. It frustrates many of them as well, “the CGA seems to place [academics] at the top of its importance list, the nerdy bookworm that couldn’t lead a thirsty man to water will be viewed as the most successful.”¹⁴³ Systematically, cadets receive mixed messages by being told that leadership and core values are important, but the presence and evaluation of these characteristics are not clearly delineated in the class ranking or cadet time allocation.

¹⁴³ Cadet focus groups, Training (Rank order the following CGA programs as the contribute to your development as a leader of character (Academics, Athletics, Military Training). Explain your Choice). November 2006.

Leadership Development Gaps: Structure

*“Still the question recurs “can we do better?”
The dogmas of the quiet
past are inadequate to the stormy
present. The occasion is piled high with difficulty,
and we must rise with the occasion. As our case
is new, so we must think anew, and act anew”
President Abraham Lincoln, December 1862¹⁴⁴*

substantive linkage to cadet development. Due to internal resistance to the organizational changes the creation of the LDC caused, the state of cohesion and collaboration has never been achieved.

Senior officials involved in cadet programs believed that the LDC was a drain on Academy resources and focus, and could potentially interfere with the accreditation of the Academy’s academic programs. In an attempt to divide responsibilities among the various resources, the LDC’s duties fall under “training;” leadership courses are separate, scholastic endeavors, and as such are part of the academic program. The divide between training and education is cavernous at times; academics often classify training as vocational. The cadet leadership development occupies some space of the divide, and falls to the Commandant of Cadet’s division to execute.

So, Who’s Job is it, Anyway?

*In an attempt to divide responsibilities among the
various resources, the LDC’s duties fall under
“training;” leadership courses are separate,
scholastic endeavors...The divide between
training and education is cavernous at times;
academics often classify training as vocational.
The cadet leadership development occupies some
space of the divide, and falls to the Commandant
of Cadet’s division to execute.*

duties best.¹⁴⁶ Interestingly, cadets have a different impression and most attribute their development toward leadership of character to athletic rather than academic or professional development experiences. The contrast in these points of view left the

As was mentioned earlier, the ad hoc nature of the officer and leader development program at the Academy led to core values not being understood or demonstrated consistently by cadets. Interestingly, the presence of the Leadership Development Center onboard the Academy appears to have little to no

As defined in the course catalogue, “The Cadet Division develops ethical leaders and lifelong learners while producing professional career military officers for the U. S. Coast Guard.”¹⁴⁵ When the Task Force asked who was responsible for best developing leaders of character, more than 60 percent said that the Cadet Division met these

¹⁴⁴ Lincoln, Abraham. “Annual Message to Congress, exhorting its members to join him in a united venture to be conducted by the executive and legislative branches of government.” December 1, 1862. http://www.isbe.state.il.us/supts_conference_05/lincoln_on_leadership.ppt. Accessed January 8, 2007.

¹⁴⁵ USCGA Course Catalogue, April 2006, Accessed November 30, 2006.

¹⁴⁶ Faculty survey, November 2006.

Task Force finding that many aspects of leader development occur around the Academy. In general, the Academy leaves the difficult, disciplinarian side of development to the Cadet Division, but Academic and Athletic divisions generally embrace other aspects of development.

This practice, when combined with daily military training periods being available for professional development occurring between 0700-0800 and 1900-2000, leaves the cadet with the signal that this aspect of their growth is less important than others. Cadets and graduates consistently stated that military classroom training sessions, particularly when conducted at 0700 were often ad hoc and ineffective; “Military training should contribute most to my development as a leader of character but it in fact does not contribute much at all. When we have military training, I do not feel like I’m learning anything about the military or learning anything about myself.” The time of the day influences cadet’s attitudes towards learning as well, “I don’t believe that we can get everything we can get out of it by one 45-50 minute morning session...not many people are going to be able to (write) it down and listen in the morning.”¹⁴⁷ In education circles, class starting times have been moved later in some locations because phase-shift in sleep cycles cause adolescents to fall asleep later and wake up later than adults; evaluated students who benefited from this change were less sleepy during the day, got slightly higher grades and were less depressed.¹⁴⁸

Since the earliest days the Academy has expected cadets to learn about being leaders. The hierarchical nature of the Cadet Corps lends itself to teaching responsibility, authority and accountability to cadets. Over the history of the Academy, various adaptations of cadet leadership and the involvement of the Commandant of Cadet’s staff have been tested as societal norms changed. As one example to further teach these principles, cadets were permitted to adjudicate demerits and make decisions regarding privileges such as short and long weekends. Following this recent policy change to require closer Company Officer oversight, the Commandant of Cadets provided briefings to faculty and other staff members.¹⁴⁹ However, with any institution the size of the Academy, change takes time and must be repeatedly communicated in many forums. When the Task Force interviewed the faculty, it found lingering misunderstanding about prevailing policy.

Leadership Development Gaps: Culture

The Need to Manage the Message

Examining the cadet culture with regard to leadership was one of the most important aspects of the Task Force’s work. They receive and internalize messages they receive

¹⁴⁷ Cadet focus groups, Leadership. November 2006.

¹⁴⁸ Young Adult Development Literature Review; Appendices.

¹⁴⁹ Faculty and staff focus groups, October and November 2006.

from many places, but primarily those who influence their daily life...professors, coaches, company officers, company chiefs, chaplains, etc. Assisting a cadet explain service academy life, the Academy posted an on-line cadet journal as follows:

A great deal can be said of life at the Coast Guard Academy, and each graduate of the Academy has a unique story to tell about his or her undergraduate experience. But key aspects of life at the Academy are shared by all cadets throughout their four-year experience.

It's challenging.

All cadets study mathematics, science, nautical science, engineering and liberal arts. There are no "easy" majors, and all cadets are expected to finish in four years.

It's physical.

Rigorous physical training is crucial to the Coast Guard mission of service above self. It's part of daily life at the Academy.

It's military.

Coast Guard cadets have a very different experience than students at a civilian college. The experience is relentless, but the rewards are invaluable.¹⁵⁰

Significantly, the message was void of leadership development or core values at the centerpiece. Instead, the reader hears that academics were hard, that the physical fitness programs were important and that the military nature of the program is demanding and rewarding; all accurate observations, but without context for attributes necessary to the military profession. Over and over, the Task Force found this message communicated to the cadets, faculty and staff alike. The Academy's home page, as it existed during the data collection phase of the Task Force work, told a similar story:¹⁵¹

¹⁵⁰ CGA web site, http://www.uscga.edu/cadetlife/cadets_life.aspx, accessed January 6, 2007.

¹⁵¹ CGA web page, <http://www.uscga.edu/>, accessed November 30, 2006.

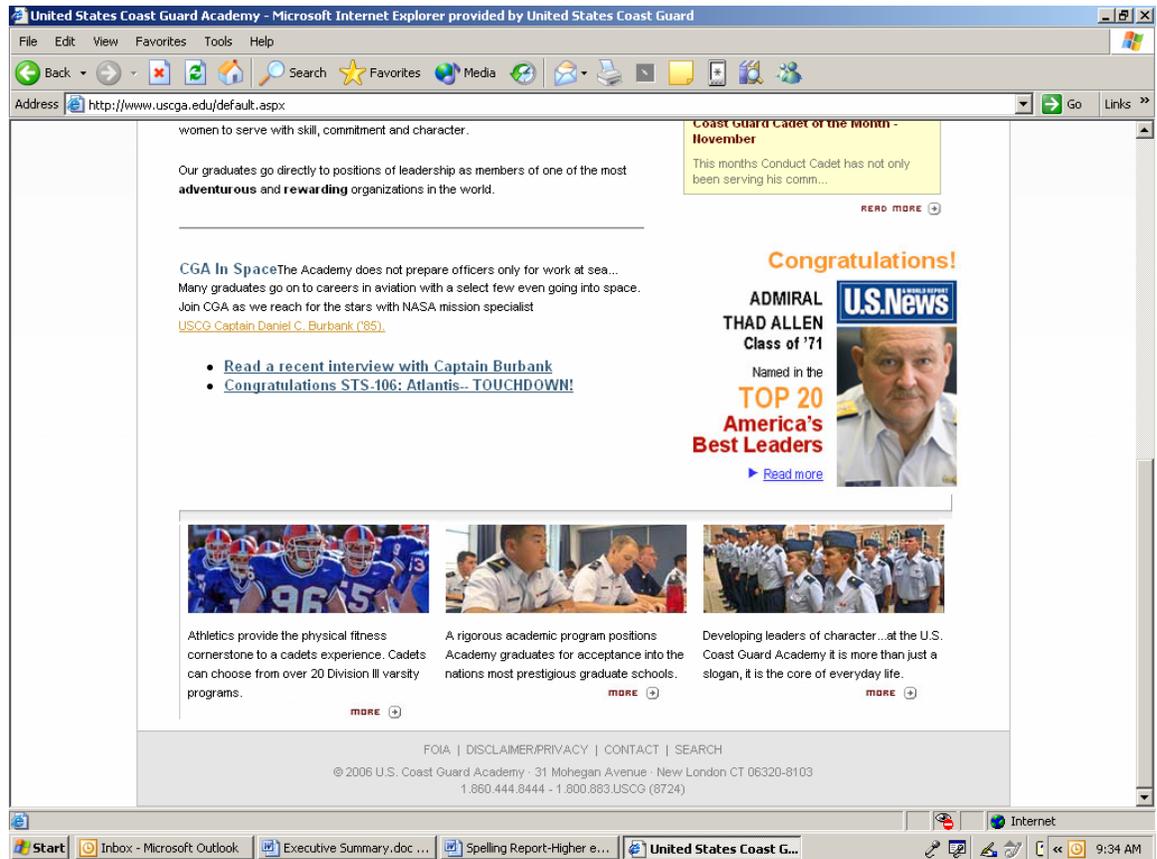


Figure 10.. This web page shows the variety of programs at CGA but leaves a message of priority with the reader: athletics, academics and military (developing leaders).

Cadet culture in leadership does not generally permit understanding all aspects of the tenants of responsibility, accountability and discipline as outlined in the *Armed Forces Officer*. This is not unexpected in a 200-week system designed to develop these aspects, however, the negative attitudes towards these elements of the military nature of being in the Coast Guard influenced how well cadets were able to internalize and take action to correct mistakes by other cadets. Again and again, cadets viewed the concept of accountability in a most negative light. To demonstrate the voracity of their beliefs, cadets made comments such, “Accountability to cadets is what holy water is to vampires. No one wants to talk about it even when we are accountable because the way the command has talked about it in the past.” Another said, “Accountability boils down to telling people to tuck their shirts in, wax their decks and tighten their racks. It has lost all contexts and is given the worst reputation.”

Is Loyalty a Core Value?

Loyalty to classmates is ingrained into the cadet culture from the earliest stages in cadet development as the concept of teamwork plays a centerpiece in Swab Summer. To a large degree, cadets view loyalty as a core value, especially early in their Academy

experience. Later, cadets become conflicted when faced with requirements to enforce standards on other cadets, most especially classmates. Generationally, this is particularly difficult on Millennials, as they grew up in a culture in which teamwork was emphasized and qualities of competition and individual success were viewed as an affront to self esteem. As was discussed in the Young Adult development section of this report, peer accountability is among the most difficult issues that cadets face in their leadership development.

Because the existing generation of students has such high expectations for its institutions, loyalty to the school through a strict set of norms is one method to help a Millennial out of the conundrum of peer accountability. In the cases of honor in higher education, a large number of colleges and universities have very strict honor systems, including many with non-toleration clauses.¹⁵²

- *"As a Member of the William & Mary community I pledge, on my Honor, not to lie, cheat, or steal in either my academic or personal life. I understand that such acts violate the Honor Code and undermine the community of trust of which we are all stewards."* - The College of William and Mary
- *"As Haverford students, we seek an environment in which members of a diverse student body can live together, interact, and learn from one another in ways that protect both personal freedom and community standards. If a diverse community is to prosper, its members must attempt to come to terms with their differences; this goal is only possible if students seek mutual understanding by means of respectful communication. By holding us accountable for our words and actions, the Honor Code acts as an educational tool, instructing us to resolve conflicts by engaging others in dialogues that yield greater awareness for all parties involved. By encouraging respectful conduct, we hope to create an atmosphere conducive to learning and growing."* - Preamble, Haverford College Honor Code
- *"A cadet will not lie, cheat, steal, or tolerate those who do."* - U.S. Military Academy Honor Code
- *"We will not lie, steal or cheat, nor tolerate among us anyone who does."* - U.S. Air Force Academy Honor Code
- *"I have neither given or received nor have I tolerated others' use of unauthorized aid."* - Valparaiso University Honor Code
- *"No member of the Caltech community shall take unfair advantage of any other member of the Caltech community."* - California Institute of Technology Honor Code
- *"On my honor as a University of Colorado student, I have neither given nor received unauthorized assistance."* - University of Colorado Honor Code
- *"To promote a stronger sense of mutual responsibility, respect, trust, and fairness among all members of the George Mason University community and with the desire for greater academic and personal achievement, we, the student members of the University Community have set forth this honor code."* - George Mason University Honor Code
- *"Because I believe that integrity is essential, I promise not to lie, cheat or steal"* -T.M.I.—The Episcopal School of Texas
- *"Students at Stanford are expected to show both within and without the University such respect for order, morality, personal honor and the rights of others as is demanded of good citizens. Failure to do this will be sufficient cause for removal from the University."* - Stanford University Fundamental Standard
- *"On my honor, I have neither given nor received help on this examination."* Woodberry Forest School Honor Code, Woodberry Forest, VA.
- *"On my honor, I have neither given nor received unauthorized assistance on this assignment."* Commonwealth Governor's School Honor Code, Spotsylvania, VA

¹⁵² Colleges with honor systems, http://en.wikipedia.org/wiki/Honor_code, accessed January 7, 2007.

Character Development at the Coast Guard Academy

Weakness of attitude becomes weakness of character.-- Albert Einstein

According to General H. Norman Schwartzkopf, “Leadership is a potent combination of strategy and character. But if you must be without one be without strategy.”¹⁵³ Character is essential to leadership in the Coast Guard. The public’s trust of a Coast Guard officer depends on his/her complete understanding that the obligations articulated in the oath of commission extend beyond the letter of the law to the spirit that inspired it. Moreover, officers must demonstrate the unwavering obligation to truly exemplify the Core Values of Honor, Respect, and Devotion to Duty: Coast Guard officers set the example. For these reasons, character development at the Academy is critical to its successful operation.¹⁵⁴

“While I recommend in the strongest terms...activity, vigilance and firmness, I feel no less solicitude, that their deportment may be marked with prudence, moderation and good temper. Upon these last qualities, not less that the former, must depend the success, usefulness and consequently continuance of the establishment in which they are included.” Alexander Hamilton

Character is choice that is demonstrated when a decision must be made. History is replete with decisions to act with courage and devotion to duty while under extreme pressure. Long before Signalmen First Class Douglas Munro or Ensign Richard A. Arrighi demonstrated their character, Aristotle described their choice: “Character is that which reveals choice, shows what sort of thing a man chooses or avoids in circumstances where the choice is not

obvious... If character is to be revealed in drama, a man must be shown in the exercise of his will, choosing between one line of conduct and another, and he must be placed in circumstances in which the choice is not obvious, i.e., circumstances in which everybody's choice would not be the same. The choice of death rather than dishonourable wealth reveals character; the choice of a nectarine rather than a turnip does not.”¹⁵⁵

In order to effectively prepare leaders of character, the Academy must give cadets two opportunities:

¹⁵³ General Norman Schwartzkopf, quoted in *Quotes for the Air Force Logistician*, Beth F. Scott et al., eds., (Maxwell AFB, AL: Air Force Logistics Management Agency, September 2001), 46, on-line, Internet, 29 April 2004, available from <https://www.my.af.mil/lgi/Quotes%20for%20the%20Air%20Force%20Logistician.pdf>

¹⁵⁴ Alexander Hamilton in a letter to the newly created Revenue Marine Service. July 4, 1791.

¹⁵⁵ Aristotle, *Poetics*, on-line, Internet, 12 January 2007, available from Gregory R. Crane, ed., The Perseus Project, <http://www.perseus.tufts.edu/cgi-bin/ptext?lookup=Aristot.+Poet.+1450b>.

- to make their choice (through character building resources and time for meditation and decision),
- to demonstrate their character under pressure (in a learning environment where such decisions can be recovered from, learned from and built upon).

Optimal States: Character

The Academy Task Force has identified several optimal characteristics. These are meant to be descriptive of the optimal state of the Academy, and are not assumed exhaustive.

Optimal State: Cadets embrace and internalize Coast Guard Core Values and develop their moral courage sufficiently to apply them. Coast Guard Academy cadets not only espouse its Core Values, but internalize them in such a way that they apply Core Values to everyday decision making. In addition, the Academy fosters the development of cadets' moral courage to a degree that supports cadets arriving at correct moral and ethical decisions.

Optimal State: The Academy has identified, successfully communicated and implemented a holistic, systemic program of character development which includes clearly-stated standards and/or rituals for ethics, diversity, core values, and honor. The Coast Guard Academy champions an approved and published character and leadership development program supported and upheld by the faculty, staff, and command structure. Ideally, the program is understood and embraced at all Academy levels. The consistent reevaluation of such a program by the Coast Guard Academy is of the highest priority. Formal rites and/or ceremonies are incorporated into the program in such a way as to increase the meaningfulness and magnitude of the development program. The defined program or process has measurable outcomes.

Optimal State: The Academy supports and rewards adherence to standards of conduct, ethical standards, the honor system and core values. The Coast Guard Academy uses both positive and negative incentives to encourage cadet character development. Simply creating and enforcing the standard is insufficient. Rather, cadets should be provided the tools to develop their character, the time to learn from experience and opportunities to be tested and evaluated. It seems that a certain degree of safety is essential to character development. The Academy should give positive, personally meaningful rewards to those cadets who adhere to Academy rules and regulations, and demonstrate a deep understanding of the Coast Guard Core Values. However, the institution should also clearly define offenses which automatically invoke a degree of punishment (i.e.-Zero Tolerance) and uniformly enforce these standards.

Optimal State: Policies on cadet conduct align with USCG policies. Cadet rights and responsibilities, including appeal procedures, are clearly stated, well-publicized, readily available and fairly, consistently, and effectively administered. Coast Guard Academy polices, rules, and regulations are in alignment with Coast Guard policies. Any disparity between the two is justified through clearly articulated rationales. Rights and responsibilities with regard to cadet conduct are stated in an accessible and easily understood manner. Consequences that may be tailored to cadet experience are also clearly articulated and administered fairly and consistently among the cadets.

Optimal State: Faculty, staff and administration ensure the integrity of the honor system and consistent application of core values. The institution works to prevent infractions as well as to deal forthrightly with instances as they occur. Faculty, staff and members of the command structure work holistically to encourage understanding and fair enforcement of any violations to the cadet honor system or core values. All members of the staff understand the cadet rules and regulations and their attendant responsibilities and provide to cadets a consistent and supportive message.

What the Task Force Found in Character

The vast majority of the Academy graduates become productive officers and citizens. More than 97 percent of Academy graduate officers succeed in the field and are promoted along with their class.¹⁵⁶ Those newly graduated Ensigns who are passed over or have their commissions revoked are most likely to have had substandard performance, or been involved in inappropriate relationships and alcohol incidents.

While many members of the faculty and staff are impressively dedicated toward the development of cadets, when forced to select between departments¹⁵⁷, 60 percent of faculty and staff believe the Commandant of Cadets office is best at instilling Core values in the cadets. The various departments each provide different developmental opportunities for cadets. For instance, many cadets value the opportunity that athletics allows to exert leadership.¹⁵⁸ In addition, almost all cadets believe the current Academy leadership¹⁵⁹ demonstrates good examples of sound moral character.

The Academy showed exceptional initiative in the area of assisting victims of sexual assault by instituting a “restricted reporting” policy. This allows victims of

¹⁵⁶ Data from Coast Guard Personnel Command, Officer Personnel Management division, October 2006.

¹⁵⁷ Cadet focus group questions, November 2006.

¹⁵⁸ Ibid. Also, unstructured feedback in the 2006 Cadet Human Relations Climate Assessment.

¹⁵⁹ 2006 Cadet Human Relations Climate Assessment, October 2006.

assault to report incidents to a contained number of people, and to receive treatment without naming the alleged perpetrator. The other alternative, “unrestricted reporting” affords the same level of treatment to victims, and subjects the parties involved to administrative or criminal prosecution using the military justice system. The new dual-reporting process for sexual assaults was installed at least in part due to recommendations given in the 2003 Department Of Defense Sexual Assault Task Force Report. Most faculty and cadets praise the policy, although a few are confused because of its complexity.

What the Task Force also Found about Character: In Contrast

Character Gaps: Systems

Policy Inconsistency

Millennials are accustomed to being held to strict standards and have little patience for managerial inconsistency. The Academy does not currently explain the outcomes of its “zero tolerance” policy with regard to discrimination, violence or harassment.¹⁶⁰ Also, Academy and Coast Guard policy (as approved by higher authority) differ on alcohol incidents. Academy graduates’ alcohol incidents are erased from their service record, a practice not found anywhere else in the service. The policy inconsistency is clearly identified in the Superintendent’s Regulations for the Corps of Cadets,¹⁶¹ and its rationale is to allow cadets time to mature without marking them throughout their careers. This may negatively influence how enlisted members view their age-peer officer counterparts, having not been afforded the same developmental opportunities.

Most cadets believe that policies are administered fairly and consistently; however, according to the 2006 HR Climate Survey, senior cadets are much less likely express their belief than were freshmen.¹⁶² Specifically, about half the cadets answering the 2006 HR Climate Survey were not confident that the procedures in place at the Academy would work when reporting sexual harassment or racial discrimination.¹⁶³

¹⁶⁰ Higgins, Paul (Acting CG-1), speaking to the Committee on Government Reform, House Subcommittee on National Security, Emerging Threats, and International Relations, June 27, 2006.

¹⁶¹ Superintendents Regulations for the Corps of Cadets (M5215.2H) 4-5-01 a. 4.

¹⁶² Cadet Human Relations Climate Survey, USCGA, Climate Detailed Section, October 2006.

¹⁶³ “There really is no way to retaliate to a racist remark when you’re surrounded by a whole bunch of white males who can rebound right back with another remark”, Cadet focus group, November 2006.

Character Gaps: Structure

Lack of Character Development Program

A clear understanding of their development program (i.e.- its objectives and their place in the program) is essential to cadets' developing competence and ultimately developing into productive members of the Corps and USCG.¹⁶⁴ While significant investments of time have been placed into developing the Guide to Officer and Leader Development (GOLD), this document which could systemize character development at the Academy, remains in draft form, not yet approved by the Superintendent or fully implemented as of the end of the data collection phase of the Task Force work.

Lack of Alignment Between Departments

Academics, athletics, professional development and the administration lack the full and consistent alignment, collaboration and active participation necessary to effectively integrate the honor system and Core Values into the corps of cadets. Such confusion manifests itself through inconsistent regulation enforcement, inefficient communication between departments and lack of the symbols that such alignment would display.¹⁶⁵ Cadets perceive the lack of alignment and withhold their trust in the institution, as will be discussed further in the climate section.

Company Officers and Company Chiefs

"I think the Chiefs role was designed to be a mentor and the Company Officer was to be more like a boss. I think it works well that way. It gives us an outlet and the perspective from someone who has a lot of years of experience." –A current Coast Guard Academy Cadet

Cadets perceive Company Chiefs as more effective than Company Officers at instilling Core Values. Cadets view interaction with Company Chiefs - with respect to Core Values and other aspects of leadership development - as more reflective of the "real" Coast Guard. Interaction of Cadets with Company Officers contributes to belief that Academy and fleet core values differ. Cadets do not view company officers as effective mentors.

In addition, core values are (most) often associated with punitive action for what cadets perceive as minor infractions. Consequently, core values often bear a negative connotation; the greater meaning of these concepts is at times lost and/or distorted.

¹⁶⁴ Young Adult Development literature review, Appedices.

¹⁶⁵ The Academy is just beginning to develop tangible ceremonies and events for reinforcing Core Values. Also because the Core Value of Respect was not adapted into the service until 1995, it is not displayed in the Academy's icons to the same extent as Honor and Devotion to Duty. Other strategic communications require alignment in order portray the significance that character and Core Values hold at the Academy to prospective students.

The roles of Company Officers and Chiefs are discussed to a greater extent earlier in the leadership chapter of this report.

Character Gaps: Culture

Loyalty Versus Integrity

Swabs, that is, recent graduates from high school follow several stages as they adjust to the Academy environment. Chickering's research (as discussed earlier in Young Adult Development section) indicates that confusion of loyalty to peers is typical of individuals who are developing their identity away from their parents' immediate presence. Additionally, the Academy culture reinforces peer loyalty due to the small size of the corps and the lack of support structure or freedom outside the Academy. The same institution that sets up classmates as the only support structure available also requires cadets to uphold common standards. Focus group interviews revealed that enforcing the regulations and shared character standards (above peer loyalty) can frequently be misconstrued as disloyalty to peers, instead of integrity to shared values. Therefore, cadets who turn in classmates frequently do so at the risk of being labeled a 'tool' and being ostracized by peers.

The Task Force chooses to refer to this dilemma as 'Loyalty vs. Integrity'. As discussed earlier in this report, cadets and junior officers both revealed that they would often choose peers when forced to decide between loyalty and integrity.¹⁶⁶ Loyalty to peers is typical of this age group¹⁶⁷: focus groups at USMA, USAFA and USNA reveal that cadets at other service academies also struggle with loyalty to classmates versus the organization. The peer-loyalty conflict is further complicated as 'swabs' proceed into the 4/c academic year. The cadet focus groups reveal that cadets do not easily navigate between the academic requirement for individual excellence and the responsibility to help their classmates.

Alcohol Abuse, Pornography, and Sex

If measured by attitudes toward pornography, underage drinking and prohibited relationships, the majority of cadets have not fully internalized the Coast Guard Core Values. However, cadets agreed during the focus groups that sexually irresponsible behavior is a problem at the Academy and is made worse by alcohol. In general, alcohol use as reported by cadets is unchanged since the PERI study.

¹⁶⁶ Loyalty is a frequently discussed theme in the cadet focus group discussions. Some supervisors in the field state that junior officers do not always demonstrate a willingness to hold others accountable. This may be corroborated by findings in the OAS survey. Also, focus groups at USMA, USAFA and USNA reveal that cadets at other service academies also struggle with loyalty to classmates versus the organization.

¹⁶⁷ Young Adult Development, Appendices.

- 34 percent of Cadets do not think underage drinking disrupts good order and discipline and 79 percent of cadets believe cadets engage in binge drinking at least occasionally.¹⁶⁸
- 55 percent of Cadets do not think viewing pornography disrupts good order and discipline.¹⁶⁹
- 73 percent of cadets answered that cadets at least occasionally engage in sexual relations with other cadets in Chase Hall.¹⁷⁰
- Only 56 percent of Cadets believe that engaging in prohibited relationships/fraternization impacts good order and discipline.¹⁷¹

Both alcohol consumption by cadets and thoughts regarding underage drinking found at the Academy are further supported by current literature dealing with alcohol use among college students. In a National Institutes for Health study (*A Call to Action: Changing the Culture of Drinking at U. S. Colleges*), 31 percent of college students met criteria for a diagnosis of alcohol abuse. It is unknown what percent of cadets would meet this criteria, however, over half acknowledged they engaged in binge drinking. The literature reveals that the students most likely to drink alcohol across college campuses in the United States are white, male athletes in New England universities.¹⁷²

Alcohol use is often cited as a contributing factor for rape and sexual assault. Anywhere from 24 – 50 percent of women report being a victim of some form of sexual assault—and at least half of the assault involve alcohol use by one or both of those involved. (College men acknowledge committing acts of sexual assault at rates lower than reported by women. In one study, 25 percent of college men surveyed admitted committing some form of sexual assault).¹⁷³

Alcohol abuse is not a new problem. Despite the perception that irresponsible alcohol use among college students has become more of a problem in the past few years, in actuality, the rate of heavy drinking among those aged 19 – 22 has shifted very little. Individuals in this age range (and especially college students) are more prone to inappropriate alcohol for a number of reasons: belief that drinking helps to cope with the stress of multiple transitions, as a form of self-medication to deal with emotional/psychological deficits, and because alcohol is believed to facilitate new friendships/relationships and social bonding. Alcohol use is also influenced by family history and parent’s behavior, individual student personalities,

¹⁶⁸ Coast Guard Academy Cadet Human Relations Climate Assessment Survey results, Coast Guard Academy Institutional Research Staff, 2006.

¹⁶⁹ Ibid.

¹⁷⁰ Ibid.

¹⁷¹ Ibid.

¹⁷² Alcohol Use and College Students Literature Review, October 2006, Appendices.

¹⁷³ Ibid.

expectations about alcohol and perceived norms, and social affiliations. Additionally, (with special application at the Academy) research has shown that students at smaller institutions tend to consume greater quantities of alcohol.¹⁷⁴

Conduct and Honor offenses

The Corps of Cadets administers the Cadet Conduct and Discipline System through a three-tiered system of conduct offenses which have different procedures for processing and disposition. All conduct offenses and procedures for their processing are found in the Regulations for the Corps of Cadets.

Class I offenses are the most severe of the violations and may call into question a cadet's suitability for commissioned service. Class II and III offenses are less serious and do not normally call a cadet's suitability into question. Class III offenses usually result in demerits, Class II offenses range from demerits to other administrative action. Class I offenses result in a wide range of punishments.

Class I offenses generally require a more rigid procedure of notification and investigation in a cadet's alleged violation of the regulations. Class II and III offenses require an entry into the ACADIST™ data base and subsequent mandatory notification to the cadet of the offense. Upperclass Cadets and all faculty and staff may assign cadets demerits via the use of an e-mail or a copy of a Delinquency Report citing the infraction and number of demerits assigned.

Exchange cadets from other service academies remarked in their focus group that the Academy places too much emphasis on regulations and shows too much tolerance for honor violations. Indeed, the Task Force found that enforcement of conduct and ethical standards focus on punitive action more than education and rewards. One compliance method that uses discipline as the primary reinforcement tool is known as "e-Bagging". Originally intended to make the demerit system paperless, "e-Bagging" (electronic awarding of demerits) as currently practiced ignores a mandatory counseling requirement and has reduced or eliminated the opportunity for personal interaction when cadets award demerits. As previously stated, the Academy's focus seems heavily weighted toward discipline at the expense of mentoring. The method of administering demerits is a subordinate concern compared with counseling and mentoring which are critical to cadet character development.

¹⁷⁴ Ibid.

Culture and Climate at the Coast Guard Academy

"The greatest discovery of my generation is that human beings can alter their lives by altering their attitudes of mind." William James¹⁷⁵

Climate and culture are very interrelated terms. Each embodies a portion of an organization's personality. Climate refers to an organization's physical structures, surroundings and the demographics of its personnel; and culture describes its set of shared attitudes, values, goals, and practices. The Task Force applied 'Climate' in its analyses¹⁷⁶ to both climate and culture to which cadets are exposed both on and off grounds.

Describing the culture of the US Coast Guard Academy is rather similar to describing the United States geography: it depends where you look.

The intense experience of Swab Summer molds swabs into classmates, ready together to confront the challenges of the 4/c academic year. They gather based on interests and participation in majors, sports, religion and other activities. Collectively, such groups account for a sub-culture which daily mixes with the larger Academy one. The mixing of cadets by their unique interests and backgrounds ensures that larger cadet groups (i.e.- sports teams) are made up of a variety of cadets with various beliefs.¹⁷⁷

The Academy is a mature organization which hosts many and diverse sub-cultures. It is likely that sub-cultures (e.g.- football team coaches, Asian minority cadets, humanities professors, etc) consciously comport to a subset of basic assumptions and beliefs. Moreover, most basic beliefs among subcultures do not deviate drastically from basic assumptions of the entire Corps of Cadets. Focus group responses verified that shared values, common understandings, and patterns of expectations exist for various groups of cadets. They also revealed that some groups of cadets (and even some faculty) have not fully adapted to the presence of minorities or women at the Academy.

At all levels, cultures are connected, distinct yet inter-dependent. Thus, any changes to one should be evaluated for indirect consequences on others.

¹⁷⁵ US Pragmatist philosopher and psychologist (1842 - 1910).

¹⁷⁶ Refers to Task Force spreadsheets outlining CGA optimal, actual, gap and root cause characteristics. Appendices.

¹⁷⁷ Staff interview, December 2006.

Optimal States: Climate and Culture

The Academy Task Force identified and defined optimal characteristics for climate and culture. These are meant to be descriptive of the optimal state of the Academy, and are not assumed exhaustive.

Optimal State: In all aspects of the cadet experience, an emotionally healthy environment exists which fosters flexibility, change, respect and trust.

“Leadership is a bond of trust. Successful leaders...especially in the military, all have an ability to gain and maintain the trust and confidence of their superiors, their peers, and their subordinates.”

The Armed Forces Officer

The developmental process that is the Academy experience is extremely challenging and the concepts of officership complex. To be successful, cadets must be immersed in an environment and climate that is simultaneously strenuous and demanding, yet nurturing. The cadets, faculty and staff must work toward a professional relationship built on mutual trust,

understanding, and respect. Vibrant communication and a pervasive sense of collaboration must permeate the Academy. The need and reasons for policies and procedures must be openly and clearly explained. Senior leadership must act with strategic intent. They must be honest and forthright about the need and reasons for any shifts or changes in rules or guidelines and always vigilant of unintended consequences. They must be open to feedback. In particular, the opinion of cadet’s must be heard, valued and respected. In return, the cadets, faculty and staff must be understanding and receptive to change and flexible with regard to shifts in policy.

Optimal State: The Academy adheres to non-discriminatory and harassment-free policies and practices in recruitment, admissions, employment, evaluation, disciplinary action and advancement. It fosters an atmosphere that respects and supports people of diverse characteristics and backgrounds.

“I have a dream that my four little children will one day live in a nation where they will not be judged by the color of their skin, but by the content of their character.”

Dr. Martin Luther King

A deep intellectual understanding of the value of diversity is an essential element of officership. The twenty-first century Coast Guard officer leads the most diverse crews in service history. The Academy must foster an atmosphere that respects and supports people of diverse characteristics and backgrounds. It must provide

clear guidance on recruitment and retention of all cadets, regardless of race, ethnicity, or gender. Evaluations and disciplinary actions must be administered fairly and equitably. Diversity must be embraced and respected. The Academy must strive to achieve “critical mass” of underrepresented minority populations in the corps of cadets.

Optimal State: All Academy facilities are accessible, safe and secure.

The demanding intellectual and physical pursuits that comprise the Academy experience cannot occur unless the basic human needs of safety and security are met. Cadets and faculty must be provided with academic, athletic, and living facilities that are properly designed, well maintained, safe and secure.

Optimal State: The Academy provides a wide range of opportunities and effective programs designed to assist and encourage cadets in successful personal and professional growth.

“The choice of a line of work can be one of the foremost ‘moral’ choices one makes...a choice about what it is worthwhile to spend one’s life doing.”¹⁷⁸ Professor William Lee Miller

The sojourn from cadet to junior officer is long, challenging and sometime obtuse. No two individuals will travel exactly the same path. As an armed forces officer, every graduate must willingly accept responsibility for execution of their oath of office, commitment to a life of

continuous study and learning, and maintenance of an exemplary personal life. This is no easy thing. To be successful in inculcating the many complexities of officership, the Academy must challenge each cadet with both common core learning experiences and opportunities for unique individual personal growth.

Optimal State: The Academy is embraced as a national asset; a military service academy that provides a professional, educational and physical experience to be proud of.

The Academy’s institutional vision states that:

The United States Coast Guard Academy is a wellspring of leadership and character for the United States Coast Guard. In serving the American public, the Academy is recognized as an exemplary institution and valued as a national asset. To earn that recognition and inspire lifelong learners, we excel in education, professional and military training and leadership development.

These are lofty goals, but the Coast Guard and the Nation deserve no less. The Coast Guard Academy graduates top-notch engineers, scientists, and scholars, but most importantly it develops leaders. These leaders serve their Coast Guard and their Nation well as professional military officers. But be it five years or thirty-five years, at some point, all graduates leave the service for other pursuits. They become leaders in industry, leaders in government, and leaders in other walks of life. The Academy has a remarkable proven record of transforming some of America’s best and brightest young people into leaders ready to serve their fellow citizens and their country. It must continue this proud tradition.

¹⁷⁸ Miller, William Lee, *Lincoln’s Virtues*, New York: Vintage Books, 2003, pp. 92.

Optimal State: The Academy embraces history and tradition and infuses it at every stage of cadet development.

...the Coast Guard's legal historical core is as a military service, originated with unique law enforcement authority and leavened with a well-earned reputation for humanitarian service. These purposeful attributes enable us to meet a broad multimission mandate from our nation. Our core values of honor, respect, and devotion to duty enable that mandate to be fulfilled. As America's Maritime Guardian, we are proud to be warriors and protectors at all time.

–Coast Guard Publication 1

Every Coast Guard officer accepts the responsibilities of his/her profession. One of these obligations is to be an enthusiastic and vigilant keeper of the culture and history of the Service. To truly understand the complexities of officership, cadets must learn the exploits and events that shaped the customs, ethos and unique lifesaver, guardian, and warrior persona of the Coast Guard. Pride in the Coast Guard is the fiber that binds the service and the officer corps together. Coast Guard history is the strength of that fiber. The Academy must ensure that every graduate knows, comprehends and appreciates that history.

What the Task Force Found in Climate

Many of the programs and policies necessary for emotional health and growth exist at the Academy. 92 percent of cadets report feeling safe at CGA.¹⁷⁹ Cadets may choose their sports, clubs and academic majors. A range of clubs catering to various interests and objectives (including opportunities for underrepresented groups to gather) are available. The Academy recently celebrated 30 years of Women in the Coast Guard; this event represents many that celebrate the diversity of the men and women of the U.S. Coast Guard.¹⁸⁰ The military training program (regarded collectively) was frequently mentioned in the 2006 Cadet Human Relations Climate Assessment as the program most likely to instill pride in the service. Indeed, cadets seemed recharged by their contact with the operational Coast Guard. Most cadets feel accepted, they hold their Chiefs in high esteem, and the new sexual assault policy is an improvement over its successor.

The Coast Guard Academy uses several techniques to improve its minority enrollment profile. The most visible is feeder programs such as the Naval Academy Preparatory School (NAPS) and others through the Coast Guard

¹⁷⁹ Coast Guard Academy Cadet Human Relations Climate Assessment Survey results, Coast Guard Academy Institutional Research Staff, 2006.

¹⁸⁰ Ethnic dedication months: Latin-American month, African-American month.

Recruiting Initiative for the Twenty-First Century (CGRIT), by which the Academy might pay a prospective student's tuition for one year at a preparatory school. Contingent on successful completion, such students may apply for Academy admission and if accepted, enroll. CGRIT students attend either the Marion Military Academy or the New Mexico Military Institute.¹⁸¹ The Academy's minority population initially improved through the use of the precursor to CGRIT, but subsequently declined. In the ten years between 1984 and 1994, 31 percent of the minority students who graduated from the Academy also graduated from NAPS. This program offers a second chance to students who upon high school graduation do not meet the minimum criteria for acceptance.¹⁸² In 2002, the Academy also conducted extensive study of the best practices in recruiting and persistent minority underrepresentation in engineering.¹⁸³ This study found that while other U.S. Service Academies produce about 12 percent underrepresented minorities in engineering, the Coast Guard Academy produces about five percent.¹⁸⁴

The blend of civilians, permanent commissioned teaching staff and rotating military creates a professionally-diverse faculty that serves the cadets intellectually, militarily, and professionally.¹⁸⁵ A diverse faculty must not only be professional but also demographically diverse. This diversity refers to the active presence and participation of people within an organization, who differ by race, ethnicity, gender, religious beliefs, national origin, age, sexual orientation, physical ability, and socio-economic status. The Coast Guard Academy's faculty make-up may be best defined as a homogeneous that is essentially 'white,' Christian, heterosexual, and male.

What the Task Force also Found about Climate: In Contrast

Climate Gaps: Systems

The Task Force found the planning, policies, guidance and strategic communication regarding staff and cadet diversity inadequate. Interviews revealed that staff and faculty

¹⁸¹ Commandant Instruction 5354.6A, Administering the Coast Guard Recruiting Initiative into the Twenty-First Century to the U.S. Coast Guard Academy, March 25, 1997.

¹⁸² *Coast Guard, Cost for the Naval Academy Preparatory School and Profile of Military Enrollment. Report to the Congressional Committees.* (Washington, DC: General Accounting Office, 1994.)

¹⁸³ J.A. Youngman and C.J. Egelhoff, "Best Practices in Recruiting and Persistence of Underrepresented Minorities in Engineering: A 2002 Snapshot," (lecture, 33rd ASEE/IEEE Frontiers in Education Conference, Boulder, CO, November 5-8, 2003.

¹⁸⁴ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002).

¹⁸⁵ R. Sanders, CDR USCG and A. Farias, "Serving Our Underrepresented Minorities by Championing a Diverse Faculty: A case Study of the Department of Science," (panel discussion, HACU Conference, San Antonio, TX, November 5-8, 2003.

do not regularly communicate about current events or the coordination possible by their various departments to accomplish the Academy's missions. This lack of communication between faculty/staff has resulted in the development of organizational stovepipes and confusion among cadets over how the departments work together. Further, the PERI study indicated that diversity was one of the least exhibited values among faculty/staff, which is particularly acute in an institution where the turn-over of faculty (esp. tenured faculty) is very slow.

The governance chapter of this report already identified barriers to communications which exist between academic, military and each of the major departments. Professors complained that they have not had a formal opportunity to discuss together the implications of recent high-profile Academy disciplinary events, including the recent courts-martial. This lack of communication leaves a majority of faculty unprepared to assist cadets. Analogously, cadets do not easily navigate between the academic requirement for individual excellence and the responsibility to help their classmates, as discussed earlier in the character chapter.

Climate Gaps: Structure

A Homogeneous Academy

Three gaps that must be addressed to overcome the lack of diversity among the Corps of Cadets, the lack of diversity among the Academy faculty and staff, and the lack of consistent value placed on the importance of diversity throughout the academic and military organizations.

One of the challenges of the Coast Guard Academy is to increase and infuse diversity within the Academy structure. Three gaps that must be addressed to overcome this challenge: the lack of diversity among the Corps of Cadets, the lack of diversity among the Academy faculty and staff, and the lack of consistent value placed on the

importance of diversity throughout the academic and military organizations. Research studies have shown that in order to increase underrepresented minority enrollment, institutions must work at strategically increasing both student and faculty populations simultaneously.¹⁸⁶

Lack of Racial Diversity among Corps of Cadets Since their first admissions to the Coast Guard Academy the numbers of underrepresented groups have grown although not always at the same rates. The rates for the growth of women have steadily increased over the years and women now comprise nearly 28 percent of the cadet population.¹⁸⁷ Minority representation within the Corps of Cadets has not kept pace with that of women, as illustrated by the graph below.

¹⁸⁶ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002).

¹⁸⁷ United States Coast Guard Academy, "About USCGA: The Academy at a Glance," 2006, http://www.uscga.edu/about/academy_glance.aspx/.

The graph demonstrates that as more minorities are admitted into the Academy, so also are more minority officers graduated. Still, the Academy has graduated an average of 27 minority graduates during the past decade and does not seem to be making significant progress toward graduating more minority cadets.

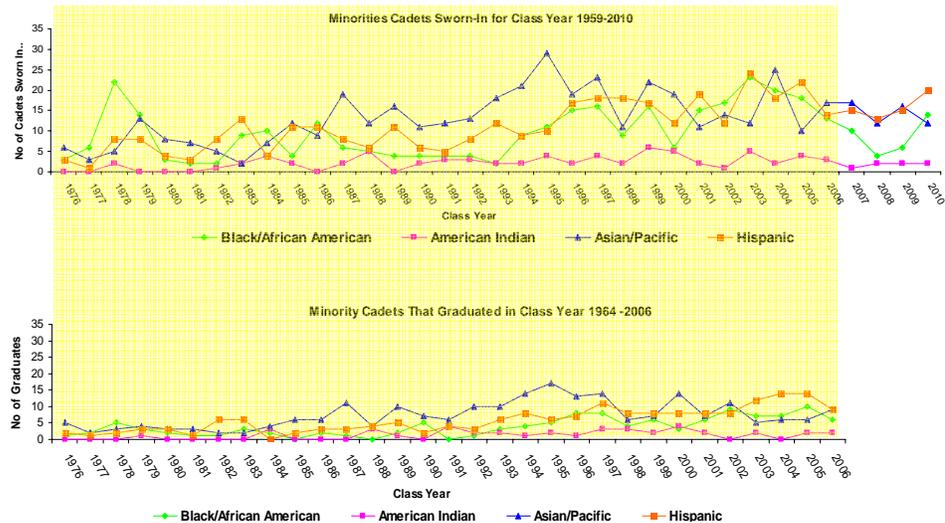


Figure 11: Minority cadets admitted and graduated by class year. Cadets admitted into the class of 1976 (for example) align with the number of cadets from the class of 1976 who graduated. Notice that more minority officers graduate when (generally speaking) more minority cadets are admitted.

Lack of Racial Diversity of Faculty and Staff Underrepresentation within the faculty of minority members may contribute to an unhealthy racial climate. For example, it fosters attitudes which exacerbate the perception among underrepresented minority cadets of disenfranchisement and marginalization. Lack of diversity also furthers unhealthy stereotypes and beliefs about underrepresented groups.

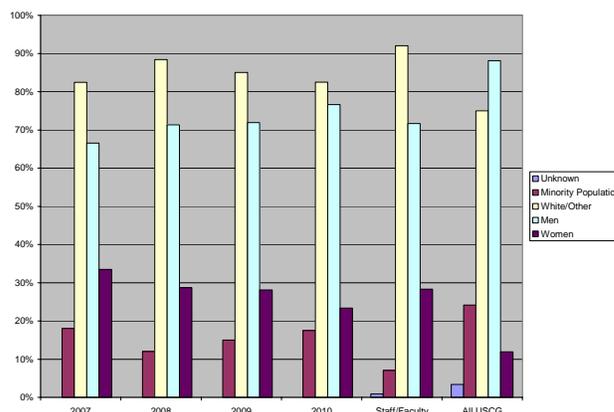


Figure 12: Demographics for Cadet classes (at swearing-in ceremonies), compared with Staff/Faculty and all USCG demographics as of 2006.

A lack of ethnic diversity among faculty and staff negatively affects cadets' trust in the administration. Approximately seven percent of the Academy staff and faculty are minority (race or ethnicity) compared with about 24 percent of the CG workforce, and 14 percent of the Corps of the Cadets.¹⁸⁸ Most research indicates that isolation, absence of other underrepresented minority faculty and students, and the lack of mentors contribute to underrepresented minority faculty members' perception of a less-than-welcoming environment on predominantly white campuses.¹⁸⁹

Similar to the make-up of the cadet corps, the female make-up of the faculty and staff more closely mirror the organization's expectations. For example, the Academy's Science Department has 19 tenured, PCTS, and rotating military faculty members which include four women, one African-American, and one Latina.¹⁹⁰ In addition, three women and one African-American serve as temporary faculty. Overall, of the Academy's 113 permanent and temporary faculty members, 24 percent are women, seven percent African-American and three percent Latina.¹⁹¹

Climate Gaps: Culture

Gender Discrimination

"Because I am a woman, I must make unusual efforts to succeed. If I fail, no one will say, 'She doesn't have what it takes.' They will say, 'Women don't have what it takes.'"
— Clare Booth Luce

The 1992 'PERI' survey of the Coast Guard Academy, data indicated that women found gender discrimination in their day-to-day environment. They cited isolated incidents such as of occasional sexual harassment, jokes and/or slurs about gender, and also systemic problems such as awareness that they live and work in an environment in

which they are never quite sure when and how they would have to prove to themselves and others that they were truly Coast Guard material.¹⁹² The survey found that women cadets were more likely than males to report stress-related symptoms for themselves or for their friends, such as excessive drinking among other symptoms.¹⁹³

¹⁸⁸ Statistics presented to HACU Conference in "Serving our Underrepresented Minorities by Championing a Diverse Faculty: A Case Study of the Department of Science" on October 28, 2006.

¹⁸⁹ National Science Foundation: Report of the Congressional Commission on the Advancement of Women and Minorities in Science, Engineering and Technology Development. *Land of Plenty: Diversity as America's Competitive Edge in Science, Engineering and Technology*, (Washington, DC: September, 2000.)

¹⁹⁰ R. Sanders, CDR USCG and A. Farias, "Serving Our Underrepresented Minorities by Championing a Diverse Faculty: A case Study of the Department of Science," (panel discussion, HACU Conference, San Antonio, TX, November 5-8, 2003.

¹⁹¹ Ibid.

¹⁹² *Culture and Climate Assessment of the U.S. Coast Guard Academy*, (Princeton, NJ: Princeton Economic Research, Inc., 1992.)

¹⁹³ Ibid.

Results of the 2006 Cadet HR Survey show that gender discriminatory attitudes (while not held by all cadets) are still commonly encountered at the Academy. Many cadets believe that men are expected to do more than women (e.g.- PFE, investigations, punishment severity, leadership opportunities, etc.).¹⁹⁴ In 2005, approximately half of male cadets responded that men are expected to do more than women. This number has remained fairly constant since 1991.¹⁹⁵ Seventy nine percent of cadets believe that to some extent female cadets obtain leadership positions over more qualified male cadets.¹⁹⁶ Likewise, 54 percent of all cadets think that female cadets have not fully earned their positions within the leadership structure of the Academy,¹⁹⁷ which represents a decrease from the 2004 and 2005 Assessments.¹⁹⁸ By comparison, a quarter of participants in 2006 Cadet Human Relations Climate Assessment believe that racial and ethnic minority cadets received preferential treatment in earning their leadership positions.

While most gender discrimination is committed by male cadets, some female cadets hold these same biases. For example, two thirds of female cadets believe that women have fully earned their leadership positions, compared with the little more than half of male cadets who believe the same.¹⁹⁹ In addition, cadet responses to focus group questions demonstrate cadet attitudes of gender bias.

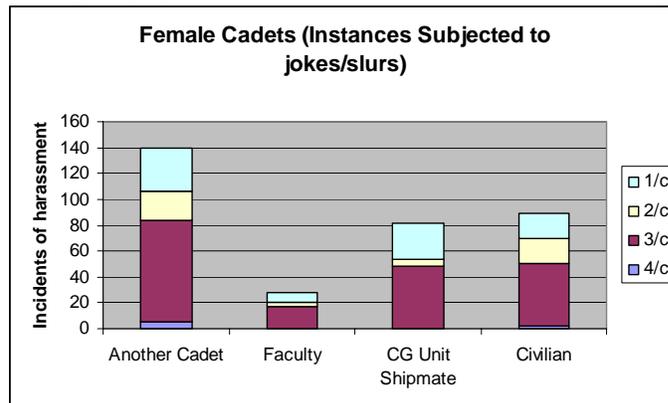


Figure 13. From the October 2006 climate survey, this data shows that 3/c cadets (or 4/c cadets in their second semester) are most vulnerable to instances of gender harassment (Question: In the last 12 months, how many times have you been subjected to verbal jokes or slurs regarding your gender?)

¹⁹⁴ 2006 Cadet Human Relations Climate Assessment (pg. 211).

¹⁹⁵ DEOMI US Coast Guard Human Relations Climate Survey Findings and Recommendations (dated 7 August 2006). Also, during the 2006 Cadet HR Climate Assessment, female cadets were more likely to believe that men and women are expected to perform at the same levels, while male cadets thought that they (males) are expected to do more.

¹⁹⁶ 2006 Cadet Human Relations Climate Assessment (pg. 214).

¹⁹⁷ Ibid.

¹⁹⁸ DEOMI US Coast Guard Human Relations Climate Survey Findings and Recommendations (dated 7 August 2006).

¹⁹⁹ This refinement of detail to the 2006 Cadet Human Relations Climate Assessment was provided in the analysis completed by CGA's IR staff.

A detailed review of the 2006 survey results revealed that 33 percent of 3/c females reported being subjected to gender discrimination or sexual harassment. The 3/c women reported most often being subjected to jokes and slurs about their gender. Most frequently, the harassment occurred in the field, by another cadet or a civilian..

“...women, by virtue of their gender, are always at risk of becoming labeled as disruptive and confrontational and—even worse—‘feminist’ if they indicate that they disapprove of the things the men around them do. Instead, they learn to shake their heads in silence because the social costs of speaking up are simply too large: becoming ostracized at military school is a social death sentence for men and women alike. When the men start speaking up—when they as a class finally start saying those things which the women cannot—then the climate for change becomes hospitable.”²⁰⁰

Sexual Assault

“Although the military has aggressively sought a zero-tolerance of discrimination and sexual harassment, sex-related problems persist, as demonstrated by the 1995 Department of Defense survey regarding sexual discrimination and harassment.²⁰¹ A variable related to these problems is gender role attitudes. Specifically, research has shown that rape, sexual harassment, and discrimination are related to negative attitudes toward women.”²⁰²

Since 1992, the percentage of sexual assaults, specifically those who said in the survey that they had experienced either actual or attempted rape or assault, has declined.

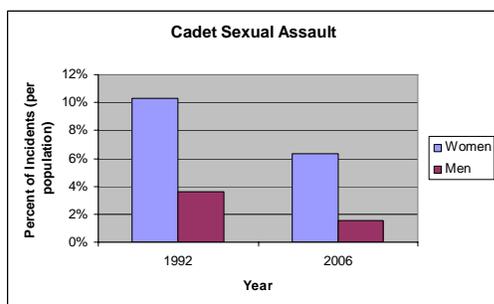


Figure 14. This data represents the percentage of men and women cadets who said they had experienced either actual or attempted rape or assault in the 1992 (pp. 100) and 2006 surveys. These numbers are based on populations of 899 cadets (1992, with a 16% female population) and 793 cadets (2006 with a 28% female population.) surveyed.

Incidents versus percentages of assault. The decline as earlier noted is based on the population of cadets, that is, that there is nearly twice as many women cadets

²⁰⁰ Schroeder, Kirby D. "Hard Corps: How to End Sexual Assault at Military Academies." Washington Monthly, October 2003, 19+. <http://www.questia.com/PM.qst?a=o&d=5002033851>.

²⁰¹ Dorn, as cited in Robinson Kurpius, Sharon E., and A. Leigh Lucart. "Military and Civilian Undergraduates: Attitudes toward Women, Masculinity, and Authoritarianism." *Sex Roles: A Journal of Research* (2000): 255. <http://www.questia.com/PM.qst?a=o&d=5001169596>.

²⁰² Stark, as cited in Robinson Kurpius, Sharon E., and A. Leigh Lucart. "Military and Civilian Undergraduates: Attitudes toward Women, Masculinity, and Authoritarianism." *Sex Roles: A Journal of Research* (2000): 255. <http://www.questia.com/PM.qst?a=o&d=5001169596>.

in 2006 as were in the 1992 survey. However, the DEOMI report pointed out that actual or attempted rapes or assaults communicated in the 2004 and 2005 climate surveys experienced a significant increase (4 to 18 incidents) in reported sexual assault. In the 2006 climate data, 23 incidents (14 women/9 men, as noted in the next figure) of sexual assault were reported, among both men and women cadets. Although the number of incidents has fluctuated, as compared to the size of the respective male and female populations, the comparative amount of sexual assault has declined. In other words, 14 incidents in 1992 constituted a larger percentage of the female cadet population being assaulted than would 14 incidents in 2006 because there were more women at the Academy in 2006 than in 1992. Coincident to the apparent growth in the incidents was the implementation of a policy that allows cadets to report their assault without naming the perpetrator. This concept, known as restricted reporting, provided the victim of sexual assault a means to receive help without publicly airing the assault. It is possible that the new environment, shaped by the new policy, gave the cadets more confidence to more accurately report these incidents.

In addition to summarized information provided by the Academy, the Task Force reviewed all Coast Guard Investigative Service (CGIS) investigations, Cadet Honor Board (CHB) cases and Cadet Conduct Investigations for the past five years. While there were numerous cases which involved consensual sexual misconduct or other inappropriate relationships, the Task Force found three confirmed cases of non-consensual sexual assault (two in 2005 and one in 2006). In two other cases that involved same-sex assaults, both cadets resigned in lieu of a hearing (one each in 2002 and 2004). In any capacity, however, even one assault is unacceptable to the service and the Academy; continued programmatic assessment, support and intervention is critical.

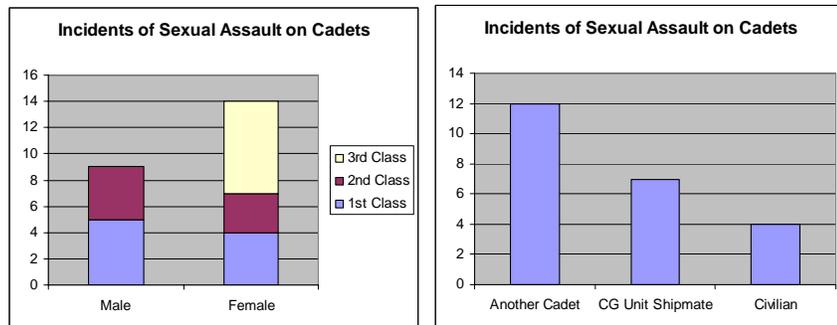


Figure 15: Data revealing the number of incidents of actual/attempted sexual assaults or rapes against cadets from the 2006 Cadet HR Survey. The total number of cadets who responded to this survey was 793. These incidents are shown both by gender and by identity of the assailant.

Sexual Harassment

During the 2006 Cadet HR Survey, 7.9 percent (63/806) of cadets claimed to have been sexually harassed or assaulted in the past 12 months.²⁰³ This is a significant decrease from the PERI study:

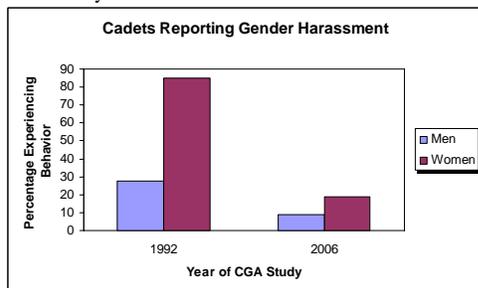


Figure 16: This chart, from PERI study (pp. 100) and '06 CGA Climate survey, shows a decrease in gender harassment since 1992. In 2005, DOD Service Academies conducted a similar study to the Coast Guard study. In that DOD study, 56% of women and 14% of men stated they had been subjected to some type of gender harassment.²⁰⁴

Cadets typically did not express willingness to report incidents or to seek counsel from staff members. When asked to whom they would be willing to report a sexual assault, cadets mentioned Academy chaplains as almost as frequently as a peer resource (e.g.- CASA member).²⁰⁵ Peer resources are sought after in varying degrees; one CASA member indicated being approached 13 separate times by females who had been sexually assaulted during the past 1 ½ semesters.

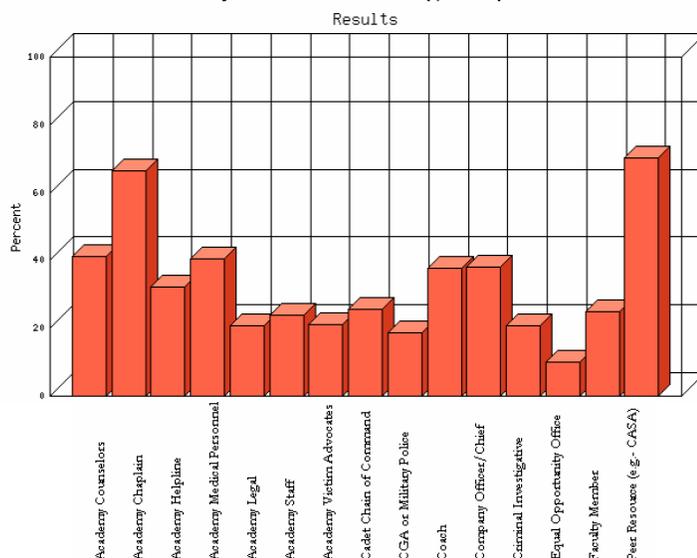


Figure 17: Cadet responses from pg. 30 of 2006 HR Climate Survey results: “Would you be willing to report a personal experience of sexual assault to the following authorities, individuals, or organizations?”

²⁰³ 2006 Cadet Human Relations Climate Assessment, pg. 33.

²⁰⁴ *Service Academy 2005 Sexual Harassment and Assault Survey* (Defense Manpower Center). DMDC report number 2005-018. December 2005. pp.4-6.

²⁰⁵ 2006 Cadet Human Relations Climate Assessment, pp 30-31.

Link between Alcohol and Sexual Assault The work of Dr. John Foubert helps to establish a clear link between alcohol and sexual assault. His research indicates that alcohol may increase male aggressiveness, while also pacifying some women. “The more alcohol a man consumes, the more aggressive he is in a sexual situation. More serious cases of sexual assault happen when perpetrators have had 4-8 drinks when compared to less than 4 or more than 9 drinks. In addition, the more alcohol a victim consumes, the more severe the assault against her tends to be.²⁰⁶ At the same time, as the survivor’s intoxication increased, she sustained fewer physical injuries – perhaps due to her not fighting back as strongly.”²⁰⁷

Alcohol also effects the perceptions of imbibers and increases their response to social cues. “When men are intoxicated, they think rape survivors are less distressed and less disgusted by their attackers than do sober men.”²⁰⁸ Interestingly, drinking a placebo (instead of alcohol) also affected male judgment. “Men who thought they consumed alcohol, but really didn’t took longer than sober men to recognize a women’s desire to stop a sexual encounter²⁰⁹... Men under the influence of alcohol, are more likely to overlook a women’s desire for sexual contact to end²¹⁰ and incorrectly perceive a female as more sexually aroused when compared to men that have not consumed alcohol.”²¹¹ Dr. Foubert’s research also indicated that men who exhibited a tendency to be sexually coercive sought alcohol when they expected a sexual encounter might occur. These men were also likely to think a woman was lying when she said that she did not want to have sex at a given moment.²¹²

Similar research indicates that women who have been drinking may be in significantly more danger of sexual assault than sober women at least partially due to loss of ‘situational awareness’. ‘Situational awareness’ is a term used by the operational Coast Guard to indicate the need to be aware of all important factors and influences when making decisions that may affect the unit’s safety. “In a study where one half of the women consumed alcohol and all were then given a vignette to state how they would act, female participants who consumed alcohol were significantly more likely to say they would consent to initial sexual contact.

²⁰⁶ Abby et al, as cited in Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That.. Handout provided during the 2006 College Sexual Assault Conference.

²⁰⁷ Ibid.

²⁰⁸ Norris, George, Davis, Martgel, & Leonesio, 1999 as cited in Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That.. Handout provided during the 2006 College Sexual Assault Conference.

²⁰⁹ Gross et al, 200) as cited in Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That.. Handout provided during the 2006 College Sexual Assault Conference.

²¹⁰ Ibid.

²¹¹ Abbey et al, 2003a as cited in Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That.. Handout provided during the 2006 College Sexual Assault Conference.

²¹² Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That.. Handout provided during the 2006 College Sexual Assault Conference.

When compared to sober women, they were also more likely to limit themselves to passive responsive actions (e.g., becoming paralyzed) hoping activities would end, even though they did not want to engage in sexual intercourse.”²¹³

The PERI study further linked sexual harassment to assault, saying: “Cadets are in the ages associated with extraordinary anxiety about independence as a young adult and about definition of an adult sexual role... As a consequence, some cadets may view a cadet of the opposite sex as a means of defining an adult status to the detriment of their viewing such a cadet as a colleague... instances of sexual harassment, and even discussions about sexual harassment, have the effect of emphasizing one’s gender rather than one’s identity as a cadet.”

Minority Experience. In general, the 2006 Cadet HR Climate Survey revealed that minority cadets are less likely to display trust in the administration, or feel involved in activities and accepted by peers than their majority counterparts. The Task Force found that highly valuing loyalty to peers²¹⁴ may allow incidents of disrespect to flourish unchallenged. Over seven percent of respondents to the 2006 Cadet Human Relations Climate Assessment reported to being subjected to racial/ethnic discrimination or harassment (as compared to 11 percent in the 2004 and 2005 assessments).

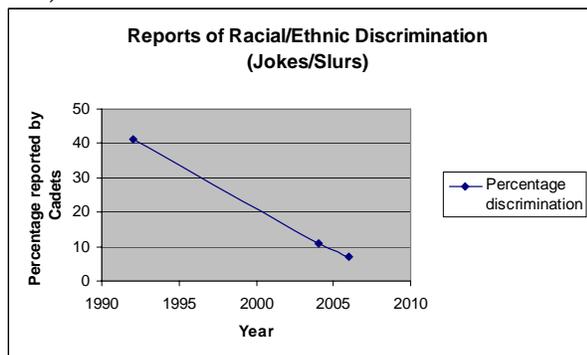


Figure 18: Comparison of Forms of Racial/Ethnic Discrimination. PERI study (pp. 167: (Racial/Ethnic/Jokes or Slurs) data interpolated for 899 cadet population in order to compare entire populations surveyed), CGA 2004 and CGA 2006 Climate Surveys.

Most incidents of discrimination included off-color jokes or comments made by other cadets (and in one instance by a staff member based on minority status). However according to Academy statistics, there were no known reports of discrimination provided to officials.

Minorities in 1992 reported that they heard jokes and slurs about their heritage and experienced pressures related to their race or ethnicity. Similar to the data on women, minorities reported stress symptoms indicative of a differential

²¹³ Davis, George & Norris, 2004 as cited in Foubert, John, D. “Research on Alcohol and Sexual Assault Has Show That: Handout provided during the 2006 College Sexual Assault Conference.

²¹⁴ 1991 PERI study provided a review of strongly-held values among CGA staff and cadets.

environment for the minority and non-minority parts of the Coast Guard family.²¹⁵ The 1992 study stated that “[I]t takes time for policies of integration and diversity to succeed because such changes involve fundamental changes in values as well as behavior.”²¹⁶ The study furthermore suggested that [Coast Guard Academy] “[l]eaders can encourage or deter the speed of change and acceptance; when leaders clearly define socially desirable and appropriate behavior, discriminatory behavior is less likely.”²¹⁷ Fourteen years later, minority cadets still report their environment stressful because of comments from non-minorities and questions posed to them about their qualifications to be students. The Task Force found a strong belief among non-minorities that racial quotas are the reasons for minority admissions.²¹⁸ Today, minority cadets continue to state that they are subjected to jokes and slurs based on their minority status by fellow cadets²¹⁹ and in some instances by faculty in the guise of “academic freedom.” These comments have caused minority cadets to feel disenfranchised or marginalized. The 1992 report stated, that leaders at all levels must continue to maintain an atmosphere at the [Coast Guard Academy] that promotes not only acceptance but appreciation of newer groups.²²⁰

One cadet in a focus group stated it this way: “It seems that a majority of cadets here are from NON-DIVERSE schools. They don't know how to interact with us minorities and they end up saying offensive things. It doesn't make sense.”

Persistence²²¹ If underrepresented officers are to be commissioned from the Academy in sufficient numbers to meet the future diversity needs of the Coast Guard, then they must be retained until graduation. Over the 30 years, average persistence of minority cadets is approximately 50 percent, as compared with the approximately 60 percent average persistence of all cadets during the same years.

²¹⁵ *Culture and Climate Assessment of the U.S. Coast Guard Academy*, (Princeton, NJ: Princeton Economic Research, Inc., 1992.)

²¹⁶ *Ibid.*

²¹⁷ *Ibid.*

²¹⁸ The Coast Guard Academy, as are all educational institutions using public funds, is prohibited from using racial quotas in determining admissions.

²¹⁹ Cadet focus groups, November 14-20, 2006.

²²⁰ *Culture and Climate Assessment of the U.S. Coast Guard Academy*, (Princeton, NJ: Princeton Economic Research, Inc., 1992.)

²²¹ Persistence refers to the tendency for cadets “sworn-in” to also graduate from the Academy.

The Task Force observed that diversity at the Academy is tolerated, but not fully appreciated, encouraged or sought.

Increasing the number of minority officers requires both admitting and retaining minority cadets. Generally, minority cadets persist at the Academy to a lesser degree than all cadets. Particularly, black cadets have experienced very low persistence (averaging about 45%) during the last decade. This trend, if continued,

threatens to widen the future gap of minority representation in the Coast Guard workforce.²²² Also, the percentage of incoming women in 2003 was 33 percent, while 22 percent of cadets incoming to the Academy in 2006 were female. While the numbers may have decreased, persistence of female cadets at the Academy seems to be increasing. The integration of the underrepresented groups at the Academy has been rough, and may not be complete.²²³

Lack of Trust. The Task Force concluded that cadets' honest feedback is remarkably full of cynicism despite that many of the programs and policies necessary for emotional health and growth are present. Cadet comments collected by the Task Force indicated they lack trust in the command and believe that it does not respect them. Many cadets believe that in order to get respect, the staff of the Academy needs to give respect to them. Cadets perceive that they are treated as children, instead of officers-in-training. Also, many cadets do not seem open to respect training. They claimed during focus group meetings that they arrived at the Academy with the requisite appreciation for respect.

One cadet in a focus groups expressed frustration that, "As far as sexual harassment or assault goes, we see things get blown way out of proportion and as a whole EVERYONE is punished for it. Regardless of what the perpetrator does, somehow it is everyone's fault, why would we want to report a crime if we know that we too are getting in trouble simply because both the perpetrator and the accuser are both cadets?"

Based upon several questions posed to cadets in the 2006 Climate Survey, they are far more likely to go to peers with problems than a qualified counselor.²²⁴ For instance, 50 percent of cadets considering resigning said they would approach another cadet to discuss their plan. Compare this with 15 percent of the same cadets who would approach a Company Chief, or the three percent who would approach a Company Officer. The figure that follows further illustrates cadets' tendency to seek counsel from peers over other qualified mentors. If in academic need, cadets would almost as likely visit their Academic Advisor as a peer cadet.²²⁵

²²² Number of African Americans entering USCG was slowly increasing from 2000 – 2004 according to G-CR annual report viewed at <http://cgweb.comdt.uscg.mil/g-h/> on 16 January 2007.

²²³ See Literature Review "Underrepresented Groups at the Coast Guard Academy" in Appendices.

²²⁴ 2006 Cadet Human Relations Climate Assessment, pp 145; 227-230; 350-355.

²²⁵ Ibid, pp 350-351.

Cadets' expressed feelings of cynicism and distrust of the Academy institution represent a serious obstacle in achieving the Academy's mission. Although these feelings cannot be effectively treated by direct confrontation, each effort of the institution to increase its rapport indirectly acts on the larger trust perspective. Solving any of these gaps, alone, may be incomplete, but through an iterative process of implementing change and querying staff and cadets, an improved climate may be realized.

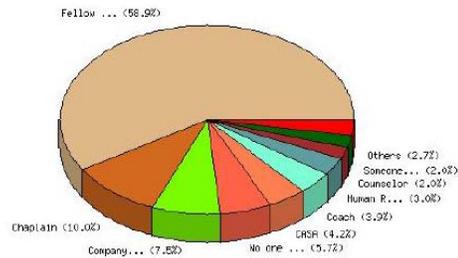


Figure 19: Cadet responses from pg. 145 of 2006 HR Climate Survey results: "Of the following, to whom at the Academy are you most likely to go for help if you had a problem or issue with a member of the opposite gender?". Choices included (from most to least selected): Fellow Cadet, Chaplain, Company Chief, No One at the Academy, CASA, Coach, Human Relations Officer, Counselor, Someone else at the Academy, Others.

"One reason that people may not want to report racial or ethnic discrimination is because they are a minority. Our entire command (Sup, Dean, Commandant) are all white. They may feel uncomfortable approaching someone who has never felt discriminated in fear that the person they approach may think that they are 'making it up'... (sic)" -A Coast Guard Academy cadet

The previous statistics indicate that ethnic discrimination, as well as sexual harassment and assault, occur at the Academy. Are these incidents reported? Approximately 50 percent of cadets do not feel comfortable reporting racial or ethnic discrimination, harassment or assault to Academy staff.²²⁶ Nearly 23 percent of cadets

stated that they would not report other cadets who commit sexual assault,²²⁷ with 65 percent of cadets stating that they would allow personal loyalty to impact their decision to report sexual assault.²²⁸ Full and open disclosure, even about the most important subjects, is not widely practiced at the Academy, according to cadets and faculty.

Cadet Cynicism and Lack of Pride. Most cadets state that they generally neither trust nor respect their Company Officers. Again, the climate survey data earlier indicates more willingness to seek counsel from fellow cadets than from Company Officers in matters of resignation or career choices.

²²⁶ Ibid.

²²⁷ Ibid. pg. 110

²²⁸ 2006 Cadet Human Relations Climate Assessment, pg. 111

- Cadet surveys indicated that the company officers' interaction with cadets does not promote a climate of respect – and often leads to one of distrust.
- Cadets said that they don't trust company officers and chiefs to hold personal information in confidence.

The Task Force found that cadets generally respond positively to interaction with the operational Coast Guard. They revere their Company Chiefs as approachable mentors who foster a sense of respect toward enlisted members (while simultaneously deploring the Company Officers who they view as enforcement 'tools' of the Academy²²⁹). However, cadet time with other enlisted personnel is otherwise limited to less than ten percent of the entire 200-week program. Much of the cadet military training at Academy appears to occur in the classroom and focuses on programs instead of experiential professional learning.

In summary, cadet cynicism may be part of the college experience where personal identity and trust in authority is questioned. Their cynicism may also be closely linked with lack of pride in the Academy as an institution.²³⁰ The Task Force found that Coast Guard history and traditions are not consistently instilled and are sometimes lost amidst the focus on regulations and minor infractions.²³¹ Exchange cadets pointed out that Coast Guard Academy cadets participate in fewer morale events and conduct more trainings on regulations than occur at their alma maters.²³²

Health, Wellness and Stress.

The Academy is a stressful environment, as indicated by cadet sleep patterns. Cadets average six hours of sleep per night, while a review of Young Adult Development literature²³³ indicates that they need 7.5 hours of sleep per night for optimal functioning. While young people, including cadets, may scoff at this figure as unrealistic, the military environment of Academy severely restricts flexible sleep and liberty scheduling, and as such, could be a source of emotionally unhealthy future behavior. Not surprisingly, the 2006 Cadet Human Relations Climate Assessment and cadet focus groups show an increase of cynicism, resignation and hopelessness as they become more senior.

²²⁹ See Glossary – "Tool"

²³⁰ Only ½ of cadets reported they were proud to be at CGA. Cadet Exit Surveys indicate a lack of pride in the corps and unstructured comments in the 2006 Cadet Human Relations Climate Assessment reveal contempt and even hatred for CGA and its administration. Responses to Cadet focus group (Strand) questions say that they often have low morale and are not proud to be from the Academy; also, they believe that there is not enough school spirit.

²³¹ Field Interviews indicated that Academy cadets do not consistently exhibit military customs and courtesies, especially as compared with other CG training commands. Other actuals are given under Optimal 6 in Climate.

²³² Coast Guard Academy Task Force focus group meeting with Exchange Cadets, October 2006.

²³³ Young Adult Development literature review, Appendices.

Without a high level of optimism, some cadets often turned to alcohol as a form of stress relief. Cadets in focus groups said they did not know how to drink responsibly and felt they were unable to practice responsible drinking and socialization skills. Many cadets argued that lack of freedom and stress influences the number of alcohol incidents and sexual assaults.²³⁴ In the past five years at the Academy, the number of Class One alcohol incidents was mathematically related to the number of Class Ones issued for sexual misconduct to the following degrees: 1/c 12%; 2/c 79%; 3/c 43%; 4/c 38%. The correlations given did not mean that alcohol was necessarily an element of any particular sexual misconduct; instead, these numbers provide mathematical evidence of a relationship which is widely recognized to exist.

A review of current literature revealed that the students most likely to drink across college campuses in the United States are white, male athletes in New England Universities. Indeed, cadet focus groups revealed acceptance of, even encouragement for, alcohol use. Binge drinking and underage drinking at the Academy are issues recognized by the administration and changes to the existing policy were ongoing during the Task Force data collection and analysis phases. Conduct statistics provided to the Task Force indicated that roughly three percent of cadets were involved in an alcohol incident during each of the past five years. Indeed, in the PERI study, “Over half of the cadets...report symptoms of excessive use of alcohol...”²³⁵ This number remains unchanged for the current cadet population. Other service academies also indicate wrestling with irresponsible drinking, and cadets perceive that social alcohol use is accepted, even encouraged, in the fleet.

Stress for cadets was examined in depth during the PERI study, specifically regarding weight, bulimia, drinking, sleeplessness and suicidal thoughts. In all of these areas, women cadets indicated they had more indications of stress than did their male counterparts. Examination of stress as an element of the environment was not specifically covered during the course of the Task Force study, but the factors of weight, binge and disordered eating and binge drinking arose collateral concerns.

During an unstructured, open discussion, a group of concerned cadets informed Task Force members that each personally knew of at least a dozen or more cadets in their limited social circle whom on hard evidence or deep suspicion had eating disorders. The group strongly concurred that female cadets were more likely to discretely engage in anorexia and bulimia, enabled by sometimes indifferent upper-class oversight and subtle collusion among peers to cover the self-destructive behavior from others while “normalizing” it in their inner circle. However, they also asserted that certain groups of males practiced eating disorders in the form of

²³⁴ Cadet focus groups, November 2006.

²³⁵ PERI study, pp. 139.

compulsive over-exercise and related nutritional imbalances through the use of over-the-counter supplements, nicknamed by cadets as “biggerexia.” In nearly all cases, the two main motivations were to reflect the rigid body-image archetype of the Academy’s (and Coast Guard’s) collective culture and to exercise self-efficacy over one of the only things the institution cannot directly control in their lives.

Cadets, as college aged men and women, remain an at-risk population for this issue. “The mean age of onset of an eating disorder is most common in the college-aged years (age 17 for anorexia; 18-20 for bulimia). Many college-aged women don’t meet criteria for an eating disorder but are preoccupied with losing weight and dissatisfied with their bodies. Up to a third of college women have “disordered eating” habits, such as using diet pills or laxatives, not eating at all to try to lose weight, or binge-eating .”²³⁶

A separate interview with a member of the counseling staff revealed a largely concurrent impression of eating disorders at the Academy. Similar to the cadet group’s perception, the counseling staff estimates the occurrence of eating disorders amongst cadets is widely unreported. Besides a similar understanding of the influences, enabling factors, and degenerative effects of such behaviors, their principle frustrations stem from different, but related, chronically confounding elements.

The foremost concern is a hampered ability by the Academy to successfully identify and diagnose cadets living with eating disorders. While the service is quite effective at identifying members (including cadets) whom are over weight standards, the Coast Guard has no effective instrument for periodically screening members for proper nutrition and disordered eating. Another concern issues from the substantial barriers to providing cadets afflicted by eating disorders with a full spectrum of care options. Traditional treatments include combinations of counseling, nutritional guidance, and medical care. In some cases, only counseling and nutritional guidance may be required to help patients resume healthy eating, leaving almost no trace of having ever been utilized. However, to even refer oneself for counseling, a cadet runs the risk of having a serious, health threatening condition become exposed, therefore potentially requiring further referral for medical intervention. Such a situation poses obvious hazards not only to future career prospects, but immediate personal stigmatization which would be difficult to conceal, depending on the scale of the intervention. The perceived and real consequences of seeking help therefore become more discouraging than continuing to live with the insidious effects of eating disorders. The Task Force does not have enough information to understand the magnitude of the issues; Academy research from March 2006 indicates that anywhere between four and 30 cadets are estimated to have eating disorders. Given the passion of the group of

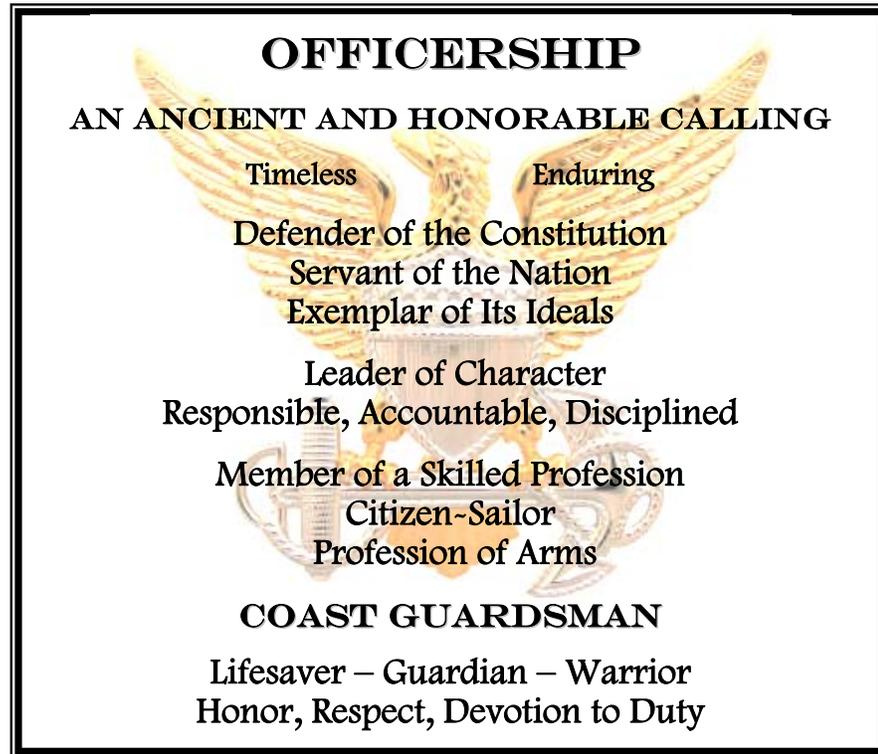
²³⁶ College-aged Women and Eating Disorders, http://www.healthyplace.com/Communities/Eating_Disorders/women_3.asp, Accessed January 18, 2007.

cadets (both men and women) who sought out the team to give input to the study, it is important to document this as a remaining indicator of stress that should be monitored and addressed as needed.

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The Voyage Plan

“Officership: The Main Thing”



“...I will support and defend the Constitution of the United States against all enemies, foreign and domestic ... I will bear true faith and allegiance to the same ... I take this obligation freely, without any mental reservation or purpose of evasion ... I will well and faithfully discharge the duties of the office on which I am about to enter. So help me God.”²³⁷

The Oath is simple and unconditional. Yet, at the Academy, most cadets, faculty and staff members, even if they don’t state it directly, acknowledge that contingencies, obscurities, qualifications, and provisions abound.

The goal? To become a Coast Guard Officer. It’s no overstatement to say that this becomes the goal of every Academy cadet. But, without refreshing themselves

²³⁷ Oath of Office as prescribed under Title 5 of the U.S. Code.

with a quick read of their standard issue manual, few would be able to recite the attributes associated with being a Coast Guard officer. Why?

As explained in previous pages, the Task Force’s research pointed out a number of reasons. In sum, the Academy has fallen victim to external changes and demands instead of harnessing these forces to better place its graduates’ military professional footing. Without re-engineering its curriculum, adaptive actions it took on its curriculum were decoupled from its professional identity. Ultimately, this decoupling may be a factor in increasing uncertainty among cadets and faculty as to their main purpose and may account for declining institutional pride and spirit.²³⁸ The Task Force concluded that the Academy lost its focus on the reason it exists, and what makes it different from other colleges. **Officership.**²³⁹

“I will support and defend the Constitution of the United States against all enemies, foreign and domestic ... I will bear true faith and allegiance to the same”

Officership is that unique blend of skill, expertise, and personal integrity required of a Coast Guard officer as a military professional—as a leader of character, servant of the nation, defender of the Constitution, and exemplar of its ideals. Officership requires complete understanding that the obligations articulated in the oath of commission extend beyond the letter of the law to the spirit that inspires it. It reflects an innate appreciation for, and practice of, “civility” as captured in the historic concept of officer and a gentleman or gentlewoman. Officership is the unwavering obligation to truly exemplify the Core Values of Honor, Respect, and Devotion to Duty and the unique Lifesaver, Guardian, Warrior persona that defines a Coast Guardsman.

Article 8-1-3 of Coast Guard Regulations states:

Discipline depends in a large degree upon the example set by commanding and other officers in authority, and may be maintained in many cases by their own attention to duty and by their personal influence, tact, and discretion. To this end, they shall show in themselves good examples of honor, patriotism, subordination, and fidelity to their oath of office, be zealous in the performance of the duties entrusted to them, and vigilant respecting the conduct of all persons under their authority.²⁴⁰

These requirements—tact, discretion, honor, patriotism, subordination, fidelity to oath of office, and zealous performance of duty—begin to define some of the principles that are intended to be acquired as part of the Coast Guard Academy

²³⁸ Task force focus groups with Academy cadets, pride and esprit de corps, November 2006.

²³⁹ *The Armed Forces Officer*, Dept. of Defense, Operational Plans and Joint Force Development Directorate (J-7), January 2006 (This publication forms the foundational doctrine for all discussions of “officership” in this report).

²⁴⁰ U. S. Coast Guard Regulations, http://www.uscg.mil/ccs/cit/cim/directives/CIM/CIM_5000_3B.pdf, (last accessed January 3, 2007).

experience. An experience that must be special and different from the countless other ways one might choose to complete an undergraduate college degree.

The Academy remains a very special place to matriculate. However, it appears that academic and athletic accomplishment may have come at the expense of its critical focus on instilling the qualities of officership needed to ensure the success of its graduates. It is officership that makes an Academy education unique and special—and worthy the national investment in its existence.

“It is no easy thing for a principle to become a man’s own unless he maintain it and hear it maintained, as well as work it out in life.”—Epictetus

As stated above, officership captures the essential elements of the profession that must be instilled in a cadet over the course of the 200-week developmental process that is the Academy experience. These elements include the need to be a well-educated critical thinker with a hunger for life-long learning. To be a compassionate human being with a deep intellectual understanding of the value of diversity. To be a citizen-soldier who understands and embraces the importance of the civil-military relations that are so vital to a successful democracy. To possess a drive for the physical wellbeing that ensures personal readiness for the rigors and demands of the military lifestyle.

Officership also defines the special personal honor code required of Coast Guard officers. An honor code that includes standards of conduct far more demanding than other professions—of a character worthy of America’s trust to lead her sons and daughters into harms way. It captures the demands of absolute responsibility, accountability, and discipline unique to the officer profession.

The concepts and requirements of officership are obviously complex and demanding. Many would clearly escape an eighteen year old 4th Class Cadet. In the profound words of Epictetus, “it is no easy thing for a principle to become a man’s [or woman’s] own unless he [or she] maintain it and hear it maintained, as well as work it out in life.”²⁴¹ To truly understand officership, Academy cadets must be immersed in a unique educational process that combines rigorous academic preparation with a dynamic experiential co-curriculum emphasizing personal integrity, leadership, and physical fitness.

“They shall show in themselves good examples of honor, patriotism, subordination, and fidelity to their oath of office” Coast Guard Regulations

Many of the elements of officership are not only well-suited, but can only be understood and acquired through the cognitive exploration inherent to the college classroom. If its only goal were to produce first-rate engineers, scientists, and managers, that could be accomplished solely by

²⁴¹ The Golden Sayings of Epictetus, World Wide School.org, <http://www.worldwideschool.org/library/books/phil/ancientmedievalorientalphilosophy/TheGoldenSayingsofEpictetus/chap1.html>, (last accessed January 16, 2006).

offering 150 full academic scholarships to any highly competitive American university. Demands of accreditation and focus on a wide variety of academic achievements have diminished the understanding that every member of the faculty and staff play an important role in the all-encompassing task of officership. Others believe that teaching officership is “someone else’s job.” If faculty views their jobs as merely to teach their subject of expertise, the Academy is in danger of becoming just another college. Each course, no matter the subject, should be a building block in the inculcation of officership. Each instructor, coach, and professional staff member must understand their personal roll in reinforcing the integrity and discipline that form the foundation of officer development. Everyone from the professors in the classroom to the staff on the waterfront must understand and appreciate their personal responsibilities in this all-important developmental process.

“We do confer upon him/her the degree of Bachelor of Science and recommend him/her to the President for appointment as a commissioned officer”
U. S. M. A.
Diploma

The Task Force was continually impressed with the overall dedication of the faculty and staff, but it was obvious that not all were aligned nor could they clearly articulate the overarching goal of instilling the essential traits of officership. As an

example, the Management Department went to great lengths to achieve accreditation by the American Association of Colleges and Schools of Business, a remarkable accomplishment for a school the size of the Academy. However, an initiative to establish an academic minor in Leadership, designed to integrate key elements of officership into the classroom, was proposed by the Leadership Development Center in 2004; it was met by great resistance by key members of the Academy academic community despite little real exploration of the concept.²⁴²

Another interesting example of the lack of focus on officership can be found in the wording and signatures found on the Academy diploma when compared to those on a diploma from the U.S. Military Academy—arguably the “gold standard” for officership development. A Coast Guard Academy diploma reads:

By virtue of the authority vested in him and on the recommendation of the Academic Council, the Superintendent of the United States Coast Guard Academy has conferred on (name) the degree of Bachelor of Science in recognition of satisfactory completion of the course of study prescribed therefor.

As testimonial to this accomplishment, the Superintendent and the Dean of Academics sign the diploma. In contrast, the diploma from West Point reads:

²⁴² Task Force focus groups and interviews with Academy faculty and staff, September – December 2006.

Be it known that (name) of the State of (state name) has successfully completed the requirements for graduation from the United States Military Academy. In testimony whereof and by virtue of the authority vested in the Academic Board, we do confer upon him/her the degree of Bachelor of Science and recommend him/her to the President for appointment as a commissioned officer in the United States Army.

The Superintendent, the Commandant of Cadets, and the Dean of Academic sign the diploma. While subtle, the difference in wording on the Military Academy diploma clearly indicates that the academic program is an integral component of a larger officership development process and not an independent accomplishment. The Coast Guard Academy diploma refers to completion of a *course of study* whereas the Military Academy diploma refers to *requirements for graduation*. The latter does a much better job of capturing completion of ALL requirements of a service academy experience—academic, military and athletic. Including the Commandant of Cadets’ signature sends a clear message that the graduate has accomplished more than the conferring of a degree. It indicates that he or she has been tested in the arts of officership and found worthy to be welcomed into the profession.

Perhaps the most glaring weakness in the officership educational process at the Academy is the lack of an approved, published, and supported leadership developmental model. The Guide to Officer and Leader Development (GOLD) has been in various stages of implementation for several years. While GOLD is discussed in a wide variety of Academy publications including recruiting materials, it did not appear to be well understood or embraced by much of faculty and staff. As of the end of the Task Force’s data collection period and in its draft form, GOLD appears to include many of the essential elements of officership;²⁴³ however, its implementation and development do not appear to be a high priority for the Academy. Equally troubling is the relegation of essential officership development to non-academic short courses conducted in the early morning or evening hours. The low regard for officership is further evidenced by the relative ease in which this development can be rescheduled or cancelled because of conflicts with other academic or athletic pursuits.

This is not to say that leader development is not happening at the Academy. Dedicated members of the staff and faculty have made remarkable accomplishments. Unfortunately, without a defined process with measurable outcomes there is no way to determine if the Academy is being consistent and effective in its officership development process.

The disturbing result of this absence of focus on officership is a disjointed professional educational process easily subordinated by vibrant academic and

²⁴³ *Guide to Officer and Leader Development*, U. S. Coast Guard Academy, December 15, 2006.

athletic pursuits. It creates an environment in which many dedicated people throughout the Academy are doing their best with little knowledge or certainty of how their efforts fit into overall cadet development. Worse yet, the cadets themselves don't understand how the things they do each day are important to the process of becoming successful officers in the United States Coast Guard. This lack of understanding transforms enthusiastic young high school seniors into cynical cadets. This environment provides the circumstances rife with potential to support the breaches in honor and respect that have continually plagued the Academy.

For example, the Task Force found conditional application of the honor concept and adherence to core values. It found allegiance to friends over personal integrity and loyalty to service. It found the prevalent attitude among cadets to apply the honor concept so long as they were not being used, or perceived as a "tool"²⁴⁴

An understanding of officership erases ambiguity because the cadet comes to realize core values as entities without which he cannot claim his profession. The cadet understands diversity not as the "right thing to do," but as conduit to mission effectiveness. One who understands officership exemplifies the highest moral standard, on and off duty, regardless of who is watching, who is his friend, or the minimum that Academy regulation demands. "It requires that individual loyalty focus on the governing compact and thus the rule of law, not on any person or office."²⁴⁵ Graduates of the Coast Guard Academy must possess a clear, correct self concept of who they are and what they are to do on behalf of American Society.²⁴⁶

The Academy's published "Shared Learning Outcomes"²⁴⁷ include many of the essential elements of an effective officership development program. Unfortunately the words are not being translated consistently into the unique educational experience that the Service and the Nation should expect or deserve from its Coast Guard Academy. Officership must be the enduring drumbeat that echoes throughout the Academy. As the accession point for every new Coast Guard officer the Coast Guard Academy should undoubtedly be the center of gravity for officership development. At present, this is not the case. The information and recommendations contained in this report provide a road map for bringing officership to the forefront of the Academy's focus.

²⁴⁴ See Glossary – "Tool"

²⁴⁵ *The Armed Forces Officer*, Dept. of Defense, Operational Plans and Joint Force Development Directorate (J-7), January 2006, p. iv.

²⁴⁶ Army Professionalism, The Military Ethic, and Officership in the 21st Century, Don M. Snider, John A. Nagl, Tony Pfaff, December 1999, p 36.

²⁴⁷ *Registrar Course Catalog*, U. S. Coast Guard Academy, <http://www.uscga.edu/academics/registrar.aspx>, (last accessed January 3, 2007)

Change—an integrated approach

In his book *Leading Change*, John Kotter outlines an eight stage process needed to achieve transformational change in organizations.²⁴⁸ His eight stages are:

Establish a Sense of Urgency
Create a Guiding Coalition
Develop a Vision and Strategy
Communicate the Change Vision
Empower Broad Based Action
Generate Short Term Wins
Consolidate Gains and Produce More Change
Anchor New Approaches in the Culture

The Task Force was informed by this eight-stage process as it crafted its recommendations to establish **officership** as the focus of the Academy experience.

The concept of officership is exceedingly complex. The experiential and academic learning processes required to instill its essential elements over the course of the 200-week developmental enterprise that is the Coast Guard Academy experience is elaborate and formidable. Great unity of effort is required for success. Countless well intentioned subtle adjustments have occurred in the academic, athletic, military and leadership development programs at the Academy. While each change was positive in its own right, this fragmented approach distracted strategic focus from producing military professionals that have a technical degree. The process to remedy the cumulative affects of these changes and re-instill an integrated approach to officership development will not be easy. As described by Edgar Schein in his book *Organizational Culture and Leadership*,²⁴⁹ the unfreezing process required for transformational change is daunting. Establishing a sense of urgency in an organization that is enjoying visible success is difficult. This report provides a list of recommendations that senior leadership can leverage in helping the faculty and staff to understand the necessity and opportunity for improvement.

In keeping with the integrated approach recommended by Kotter,²⁵⁰ the Task Force focused on improvements to the **Systems** (processes & programs), **Structure** (environment & climate) and **Culture** (beliefs, customs, values & norms) of the Academy. This integrated approach for leading change should go far in garnering the trust, confidence, and enthusiasm of the staff and faculty.

²⁴⁸ Kotter, John P., *Leading Change*, Harvard Business School Press, Boston MA, 1996.

²⁴⁹ Schein, Edgar H. *Organizational Culture and Leadership*, 3rd ed., Jossey-bass; San Francisco, CA 2004.

²⁵⁰ Kotter, John P., *Leading Change*, Harvard Business School Press, Boston MA, 1996.

Stovepipes and Instilling Trust

Like any large, complicated organization, the Coast Guard Academy possesses tremendous inertia to remain at rest. This resistance to change is compounded by the fundamental nature and make-up of institutions of higher learning. Like many colleges and universities, the Academy tends to be inwardly focused, parochial, and a bit autocratic.²⁵¹ The Task Force also found a low level of organizational trust and a pervasive willingness to question the motive and intent in others.²⁵² There is also a general fear that any change may equate to loss of departmental or individual status. This anxiety causes a resistance to collaboration across divisions and hinders open communication. A startling example of this mistrust and lack of communication occurred during the Task Force's time at the Academy. A make-up training session was scheduled for a Sunday afternoon by the Commandant of Cadets. The exact day and time for the training was chosen by the Cadet Regimental Staff. When the academic faculty learned of the plan, they immediately took issue with the timing of the training on the grounds that it would cut into time traditionally set aside for cadet personal activities and study. The Task Force noted how quickly and vigorously members of the faculty objected to the timing of the training based on rumor and false assumption alone.²⁵³ Their default position was to assume the worst of intent by the Commandant of Cadets.

Establish a Sense of Urgency

Create a Guiding Coalition

Develop a Vision and Strategy

Communicate the Change Vision

Empower Broad Based Action

Generate Short Term Wins

Consolidate Gains, Produce More Change

Anchor New Approaches in the Culture

It will take great resolve and extensive communication by senior leadership to create the collective sense of urgency and muster the guiding coalition needed to achieve essential change at the Academy. More importantly, the staff, faculty and cadets must all be active participants in the planning and execution of the change process. No collection of individuals knows

the intricacies and challenges of the Academy mission better than they do. Their understanding and support will be critical; however, some may initially feel threatened by many of the Task Force's recommendations. This apprehensiveness will undoubtedly breed pockets of resistance. Senior leadership's most important and challenging task will be to create the environment of respect and trust essential to alleviate antagonism and build support, consensus, and enthusiasm among the faculty, staff and volunteers.

²⁵¹ *A Test of Leadership, Charting the Future of U. S. Higher Education*, A Report of the Commission Appointed by Secretary of Education Margaret Spellings, September 2006.

²⁵² Task Force focus groups and interviews with Academy faculty, September – December 2006.

²⁵³ Personal observation by Task Force members, 30 October – 3 November 2006.

Coast Guardsmen by nature are “doers.” There will undoubtedly be a compelling urge to concentrate on short-term incremental changes and solutions. Creating and sustaining the strategic planning system and powerful vision essential for the multi-step process will be challenging. The vision must create the sense of urgency, power, and motivation sufficient to overwhelm all sources of inertia and unfreeze the status quo. Equally important will be the re-freezing process needed to transform this collection of recommendations into something special and enduring.

What follows are the Task Force’s recommendations for an integrated approach focused on the **Systems**, **Structure**, and **Culture** improvements essential to establish officership as the central focus at the United States Coast Guard Academy.

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Systems Recommendations

For this report, the Task Force defines “systems” as those seminal processes and programs essential to guide and govern the Academy as well as monitor its performance. Key among these is an integrated strategic planning process. A process that provides the critical guidance, vision, assessment and alignment necessary to ensure the Academy is meeting the needs of the Coast Guard and the Nation.

Gaps

As outlined earlier in the report, the Task Force found room for improvement in the planning, policies, and strategic communications that guide the Academy. Commandant Instruction 1500, “Strategic Guidance for the Coast Guard Academy”, is drafted at the Academy itself and forwarded to Headquarters for review and signature every two years.²⁵⁴ The Task Force found that few if any changes or revisions are made to the document by Headquarters. Little supporting information or data could be found to substantiate key elements in the guidance including the requirement that 70% of graduates be Science, Technology, Engineering, and Math (STEM) majors.²⁵⁵ The Board of Trustees (BOT) has “cognizance of all programs at the Coast Guard Academy...and will provide advice and recommendation...”²⁵⁶ The Task Force found that the BOT has insufficient time or inclination to provide the strategic oversight required to truly influence the governance of the Academy.²⁵⁷ Quoting a senior member of the Academy staff, “They never get off the guided tour.” The Task Force did find that selected staff elements, in particular Admissions, have vibrant planning processes can best be described as a work in progress. A “strategic map” existed in the past and the present Administration is attempting to implement a similar process, but neither appears to provide the long term integrated strategic planning and vision needed by the Academy.²⁵⁸

Recommendation (SYS-1): Design, implement and sustain an integrated strategic planning system for the Coast Guard Academy that ensures alignment with Coast Guard needs and strategic intent and provides proper resources for the Academy and its programs.

Key Leaders: Commandant, CG Headquarters, Board of Trustee, Board of Visitors, Superintendent, Commandant of Cadets, Dean, Director of Athletics, Director of Admissions, Director of Diversity and the Director of the Leadership Development Center.

²⁵⁴ Task Force interviews with Academy staff and CG Headquarters personnel October 2006.

²⁵⁵ Undated draft of Commandant Instruction 1500 provided by CGA, October 2006.

²⁵⁶ Charter, United States Coast Guard Academy Board of Trustees.

²⁵⁷ Task Force interviews and focus groups with CGA faculty, September – December 2006.

²⁵⁸ Task Force interviews with Academy staff and CG Headquarters personnel, September – December 2006.

As a national asset, the Academy is unique. Like any institution of higher education, teaching young men and women can be challenging and complex. This uniqueness and complexity makes it difficult for those outside its walls to understand the intricacies of its governance and management. This uniqueness can also contribute to those inside the walls becoming insular and disconnected from the rest of the Coast Guard. Because of the importance of the Academy's mission to the overall success of the service, the Coast Guard has rightly invested the talents and experience of a flag officer to serve as the Academy Superintendent. It is incumbent upon the senior leadership of the Coast Guard to ensure that it is providing the strategic guidance, as well as adequate resources, that the Superintendent needs to be successful. The Task Force recommends the following steps to ensure that the Coast Guard provides clear vision, strategic guidance, direction, and expectations to its Academy.

Recommendation (SYS-2): Provide clear strategic vision and guidance to the Coast Guard Academy that is appropriately linked to the Coast Guard's long-range strategic planning processes. (Headquarters)

Recommendation (SYS-3): Align all guiding documents, instructions, etc. to reflect this strategic guidance. (Headquarters)

Recommendation (SYS-4): Review/ study the existing budget process and allocation to ensure that it is the most efficient and effective method to resource the Academy. (Headquarters, BOT, BOV)

Recommendation (SYS-5): Monitor and measure the Academy budget process to ensure that it provides both adequate resources and budgetary incentives to effectively and efficiently meet the performance/ mission goals. (CG Headquarters/ BOT/ BOV)

Recommendation (SYS-6): Empower and guide the Board of Trustees on the oversight and assessment of the Coast Guard Academy.

It takes considerable time and effort for the Board of Trustees (BOT) to meet the requirements of their charter. Each member of the BOT must understand and embrace the Coast Guard's vision for the Academy and their essential external oversight and assessment responsibilities. The Task Force believes that the following recommendations would strengthen the BOT's effectiveness and involvement.

Recommendation (SYS-7): Review and validate the strategic vision and guidance provided to the Coast Guard Academy including all instructions and guiding documents. (BOT)

Recommendation (SYS-8): Develop and oversee a formal assessment process tied to the strategic guidance and goals that effectively monitors the Academy's performance. (BOT)

- Assess whether more support is necessary to assist the BOT with assessment and administration responsibilities

Recommendation (SYS-9): BOT members receive formal instruction on officership, Millennial characteristics and the cadet developmental model being used by the Academy.

Recommendation (SYS-10): Monitor the programs and processes in place to accomplish the Academy's diversity goals. (BOT)

Title 14 of the U. S. Code requires the Board of Visitors (BOV) to visit the Academy annually.²⁵⁹ The BOV has not been to the Academy campus in New London since April of 2002. Few members of the faculty and staff know which Senators and Representatives compose the membership of the BOV. If the members of Congress who comprise the BOV are to be advocates for the Academy they must be much more familiar with the Academy, its mission and its resource needs. A vibrant strategic planning process and a comprehensive plan similar to Virginia Military Institute's "2039: Focus on Leadership" (see "Best Practices" later in this section) could be a great help in garnering the attention and interest of the BOV. The leadership of the Academy will need the assistance of CG Headquarters to improve interaction with the members of the BOV.

Recommendation (SYS-11): Develop a strategy and plan to improve the relationship and interaction with the members of the Board of Visitors. (Headquarters, BOT, Academy)

The most important elements of this integrated strategic planning process must be the responsibility of the senior leadership of the Coast Guard Academy. To be successful, the senior management team (Superintendent, Assistant Superintendent, Commandant of Cadets, Dean of Academics, Director of Athletics, Director of Admissions, Director of Diversity, and Director of the Leadership Development Center) must understand and embrace the strategic guidance provided by higher authority and do all the things necessary to turn the words into action. They must also be enthusiastic champions for and primarily focus on officer development. To this end, the Task Force recommends the following:

Recommendation (SYS-12): Based on the Commandant's strategic guidance, the Superintendent articulate a powerful vision for the Coast Guard Academy and cultivates understanding externally and internally. Particular emphasis should be paid to the faculty, staff, and volunteers at the Academy.

- Ensure understanding that the Coast Guard Academy is the sole accession or indoctrination point for all CG officers (Cadets / Officer Candidates / Direct Commission Officers / Chief Warrant Officers).

Recommendation (SYS-13): The Academy initiate and sustain a process focused on the essential elements of officership. Consider post-graduate opportunities to provide full-time strategic planning efforts, aligned with those in Headquarters.

²⁵⁹ 14 USC § 194

Recommendation (SYS-14): Use the processes and documentation required for accreditation to monitor and assess the Academy's success in achieving the Service's vision and the overarching goals of officer development. (Academy)

- ***Best Practice:*** The Military Academy has recognized the value of accrediting their leader development process. They have documented the work accomplished in officership and described an informed, integrated, and institutional approach to cadet development in their 2005 Periodic Review Report. Their progress should be viewed as a model in leveraging accreditation as positive force in officership development.

Recommendation (SYS-15): Measure diversifying the faculty, staff, and corps of cadets an integral and featured component through the strategic planning system/process.

Recommendation (SYS-16): Better integrate the data being gathered by the Academy institutional research staff into the strategic planning processes and leverage this data to assess and monitor success in achieving the Academy's strategic vision/goals.

- Establish/incorporate longitudinal analysis of periodic organizational climate assessments, generational needs assessments, and other pertinent focused surveys into the strategic planning process.
-

Inside the Walls

Bear in mind that from now on you will be subject to close and constant observation by the officers and instructors attached to the Academy. It is the duty of these officers and instructors to form an opinion as to your adaptability and fitness for a commission; this opinion will be based on the way you react to the requirements of the service.²⁶⁰

These profound words from a memorandum to incoming cadets in 1941 do an excellent job of articulating the responsibility of **all officers and instructors to constantly observe and assess a cadet's fitness for service**. The recommendations above primarily focus on actions and initiatives for senior leadership. The Task Force also found that a variety of internal improvements focused on the staff and faculty are needed to aid in the "unfreezing" and change processes necessary to bring officership to the forefront of the Academy's focus. There is additional concern that while academic performance is accurately measured and incidents of misconduct tracked, the faculty and staff may not fully understand their obligation to assess a cadet's suitability for commissioning.

In the early 1990s, the Air Force Academy discovered that exceptional academic performance and good conduct, or more accurately lack of bad conduct, could mask

²⁶⁰ *Memorandum for Incoming Cadets*, U. S. Coast Guard Academy, 1941 (provided by the Foundation for Coast Guard History).

weak performance in other areas of officership development.²⁶¹ A deep understanding of the essential elements of officership and “constant observation by [all] officers and instructors attached to the Academy” may identify shortcomings and better assess fitness for commissioning.

Many individual faculty and staff members, as well as selected divisions and departments, are introducing, reinforcing and assessing the concepts of officership. The courts and playing fields of the Academy’s many intercollegiate and intramural sports continue to provide a dynamic laboratory for experiential learning of personal stamina, risk-taking, leadership, and character. In fact, characteristics of the Millennial generation lend themselves to adapting well to many aspects of the military environment. The Science Department is leveraging the power of team-oriented teaching methods and inclusion of leadership competencies in its Marine and Environmental Science program. Other similar successes are named elsewhere in this report. However, the strategic planning processes and spirit of collaboration and communication necessary to take full advantage of these successes do not yet exist. A consistent understanding of the concepts of officership and individual responsibility for its inculcation in the Academy experience is essential to creating this spirit of collaboration and communication. The following recommendations address some specific improvements necessary to ensure consistent understanding and to adapt aspects of the Academy experience to meet Millennial needs while simultaneously creating and strengthening an enduring, timeless officer development process.

Recommendation (SYS-17): *Set, inform and assess expectation for all faculty, staff, and volunteers to focus efforts on officership contribution.*

- *Set required minimum officership knowledge standards for all staff, faculty and volunteers.*
- *Review, revise, and craft all Position Descriptions (PDs) to set clear expectations for knowledge and responsibility for instilling/ supporting the concepts of officership, Core Values, morals and ethics.*
- *Formally assess faculty, staff, and volunteer knowledge of the overarching goals of officer development, using the concept of officership.*
- *Incorporate assessment of contributions toward cadet professional development (officership) into all civilian and military performance evaluations.*
- *Continually communicate and inform all faculty, staff, and volunteers on any/ all changes or improvements in the officer development process/ program.*
- *Recognize and reward faculty, staff and volunteer contributions to officer development through the evaluation process and appropriate incentives and recognition.*

Recommendation (SYS-18): *Ensure cross-divisional/ departmental membership on all standing bodies, boards, committees, and councils.*

²⁶¹ Task Force interview with staff and faculty of USAFA, 25 October 2006.

Recommendation (SYS-19): Consider updating policies, procedures, materials, and facilities in order to better appeal to the Millennial generation. See the appendices for details.

Impediments to Change

There are several key impediments to implementing the recommendations above. These barriers must be addressed and overcome for constructive change to occur and an integrated strategic planning process to be successful.

- There is no strong history of comprehensive external oversight of the Academy by Headquarters. As stated earlier, the Academy's mission and organizational structure are unique. It is the Department of Homeland Security's only undergraduate degree granting institution. The Coast Guard has properly staffed the Academy with competent dedicated professionals and entrusted them with completion of the mission. The Task Force is not proposing that the Academy be "micro-managed", but it should receive a level of oversight sufficient to ensure strategic alignment.
- The federal budget cycle and competition with other pressing Coast Guard priorities for limited resources hamper strategic planning at the Coast Guard Academy. It will take a strong strategic vision and a concurrent plan linked to the Coast Guard's and Department of Homeland Security's strategic goals to improve understanding of the importance of the Academy to the Service and the Nation.
- Competing priorities and the finite hours in a cadet-day are a catalyst for rigid "stove-piping" within the Academy organization. As improvements have been made in academic and athletic programs, this competition has escalated. Senior leadership will need to gain the support of the faculty and staff in creating a climate of trust and collaboration. The involvement of the Academy staff and faculty will be essential. An aggressive strategic communications plan is a must. The Coast Guard may also need to take a realistic look at the concept of "service ready Ensign" and consider follow-on professional development opportunities for both cadets and officer candidates.
- Members serve on the BOT as a "collateral duty." Competing demands and limited opportunities to visit the Academy make it difficult for the BOT to get beyond "the guided tour." The senior leadership of the Coast Guard will need to clearly communicate the importance of the BOT and support its membership. The members of the BOT will need to avoid the allure of the "easy and the noisy" and stay focused on officership development and the enduring strategic goals for the Academy.
- Academic accreditation can easily consume all activity at the Academy. It will take an enduring focus on officership as the central focus to allow accreditation to work toward these newly defined measures of education as the fundamental reason the Coast Guard Academy exists. The Academy needs to look to the successes of the

other service academies in infusing its development efforts in officership as an essential educational outcome in its accreditation process.

According to Kotter, visible short-term wins are essential for successful change.²⁶² While perhaps superficial, a change to the wording on the Coast Guard Academy diploma to emphasize officership would send a powerful message. The Task Force offers the following potential wording.

Be it known that (name) has successfully completed the requirements for graduation from the United States Coast Guard Academy. In testimony whereof and by virtue of the authority vested in the Academic Council, we do confer upon him/her the degree of Bachelor of Science and recommend him/her to the President for appointment as a commissioned officer in the United States Coast Guard.

In addition to the change in wording, including the Commandant of Cadets' signature along with those of the Superintendent and the Dean of Academics would signal unity of effort and better reflect the totality of the Coast Guard Academy experience.

This is but one example. The staff and faculty who form the "guiding coalition" will undoubtedly be able to identify and implement even more dramatic opportunities.

Best Practices

- The Virginia Military Institute has a strategic planning process underway titled "2039: Focus on Leadership." The combination of clear vision and detailed goals make this plan inspirational even to someone with minimal interest in VMI. A similar plan could greatly assist the Academy in outlining its long-range goals to the BOT, the BOV, parents, alumni, and the Coast Guard Foundation. Details on "2039: Focus on Leadership" are available on the VMI website at:

http://www.vmi.edu/media/cm_publications/Vision2039.pdf.

- The Director of Admission's is doing an excellent job of using demographics information on the corps of cadets, the cadet candidate pool and other pertinent data and trends in her strategic planning processes. The Admission's strategic plan appears to articulate a comprehensive understanding of their strategic goals and the realities of the challenges they face. Admissions should serve as an example to be emulated by the rest of the Academy.

²⁶² Kotter, John P., *Leading Change*, Harvard Business School Press, Boston MA, 1996, p119.

- The Science Department is leveraging curriculum flexibility, student-faculty interaction, student-student interaction (working in teams), and the development of a sense of “community” to attract and retain women to the challenging Marine Environmental Science (MES) major and improve the gender diversity of their faculty. They have also integrated leadership competencies with technical proficiency in the development of professional military scientists. The Civil Engineering division has also made great strides in the gender diversity of their faculty. These successes should serve as a model for other academic disciplines at the Academy.
- Texas A&M University has implemented an innovative “Certificate in Leadership Study and Development” for members of their Corps of Cadets. This program is an interdisciplinary program offering students in any major the opportunity to prepare for leadership responsibilities. It is designed to provide a theoretical understanding of leadership studies and results in an academic award noted on the student’s official transcript.²⁶³

Establish a Sense of Urgency
Create a Guiding Coalition
Develop a Vision and Strategy
Communicate the Change Vision
Empower Broad Based Action
Generate Short Term Wins
Consolidate Gains, Produce More Change
Anchor New Approaches in the Culture

According to John Kotter, “***irrational and political resistance to change never fully dissipates.***”²⁶⁴ The voyage to instill officership development in the culture and climate of the Academy will take great perseverance. Maintaining momentum to stay the course will require a continuous cycle of **assessment, adjustment** and **alignment**. As discussed earlier, many

things will need to happen simultaneously. As the magnitude of the process becomes evident, some may be tempted to turn back. The integrated strategic planning process must include a robust assessment and analysis of the incremental changes. Minor adjustments will undoubtedly be necessary to consolidate gains. These gains should be enthusiastically, but briefly, celebrated. The celebration must be followed by alignment with the latest strategic guidance from higher authority and the launching of the next round of improvements.

²⁶³ Texas A&M University Leadership Excellence Program, <http://www.tamu.edu/home/spotlight/archives/corps.html>, (last accessed January 9, 2007).

²⁶⁴ Kotter, John P., *Leading Change*, Harvard Business School Press, Boston MA, 1996, p. 132.

Structure Recommendations

“On some positions, Cowardice asks the question, “Is it safe?” Expediency asks the question, “Is it politic?” And Vanity comes along and asks the question, “Is it popular?” But Conscience asks the question “Is it right?” And there comes a time when one must take a position that is neither safe, nor politic, nor popular, but he must do it because Conscience tells him it is right.”-- Martin Luther King ²⁶⁵

Some of the recommended solutions that address findings in this report require structural²⁶⁶ changes. The manner in which the Academy is structured sometimes makes it difficult for the right entities to take the appropriate or desired actions. Generally, structural forces sometimes hinder change by disempowering its critical agents. The result often is a piecemeal rather than holistic approach to creating change, which manifests itself in fragmented resources and responsibilities, added layers of personnel who perform redundant tasks and inhibited communication.²⁶⁷

If the structure of the Academy, that is, its work processes and functional arrangements, do not support the recommendations outlined in this report, the likelihood of their successful implementation is lessened considerably. In order for the Task Force’s recommendations to succeed and produce the desired outcomes, the Academy must change certain of its processes as well as the nature and structure of the relationships between and among the various components. Akin to laying a base coat on a canvas before beginning to paint, adapting the structure is imperative to change taking hold. Thus, the Task Force proposes the Academy expend time and resources on the front end to rendering the environment more suited to change so that behavior and desired outcomes follow. Without such a change, habit and history will prevail, and any transformation will be short lived, if it occurs at all.

The recommendations below cross the broad spectrum of Academy life and are intended to act as a solution set, not a collection of stand-alone items suitable for partial or ad hoc implementation. While the Task Force identified certain recommendations as conducive to rapid and immediate implementation because they are not seriously impacted by the very real impediments of time and resource

²⁶⁵ Address at Southern Christian Leadership Convention Ministers Leadership Training Program.

²⁶⁶ This report conforms to the definition of structure as the manner by which the interrelated groups of the Academy are positioned. The Task Force focused foremost on communication and coordination. The “functional structure” model, which groups specialists into separate units, is optimal for creating a specific, uniform, core product. In the functional structure model, “each subunit becomes extremely adept at performing its particular portion.” While each group is economically efficient, together they lack flexibility and cohesion. Communication between groups structured in functional areas can be difficult. “Organizational Structure,” last accessed at Wikipedia.org <http://en.wikipedia.org/wiki/Organizational_structure> on January 15, 2007.

²⁶⁷ John P. Kotter, *Leading Change* (Boston, Harvard Business School Press, 1996) p. 105.

constraints, these few solutions alone will do little to stimulate the transformative change necessary at the Academy.

"What we need to do is learn to work in the system, by which I mean that everybody, every team, every platform, every division, every component is there not for individual competitive profit or recognition, but for contribution to the system as a whole on a win-win basis." – W. Edwards Deming

This section begins with the process of Cadet Leadership and Character Development, because, simply put, that is why the Academy exists. It then follows with recommendations involving the primary individuals who support this process and who must become equally committed partners in achieving the Academy's primary goal - the Company Officers and Chief Petty Officers charged with their care and the staff and faculty with whom the cadets spend a majority of their time. Finally, this section addresses the primary structures and processes which act upon the cadets, including the military training program and the admissions process.

Cadet Leadership and Character Development

If, as demonstrated previously, the function of the Academy is to instill in the Corps of Cadets the qualities of officership necessary to their success and in so doing, to provide for the needs of the Coast Guard, then any discussion of structure must fix on this goal. In identifying possible structural impediments, of particular importance to the Task Force's review was the Academy's overall program for the development of characteristics and values necessary to develop and mold an 18 year old cadet into a leader of character who is well down the path of internalizing Coast Guard Core Values and truly understanding the value and necessity of their continuous application. In order to perform this function, the Task Force believed that the Academy needed - and hoped to find - a robust, aspirational officer and leader development program woven throughout all aspects of Academy life and designed to fortify not only the professional attributes of a Coast Guard officer, but his or her character and leadership skills as well.

What the Task Force found, however, was a program based primarily on strict compliance with regulations and punitive responses to violations. While this is admittedly a vital and necessary part of instilling the discipline, attention to detail and vigilance against complacency required of a naval officer, it is only one component of officer, leader and character *development*.

The Task Force found vital elements lacking, specifically, a comprehensive, developmental program which guided cadets, with singularity of purpose and unity of effort across the Academy, through the developmental steps of meeting their greatest capacity to become an officer and leader. While the Academy has always produced (and continues to produce) outstanding military officers, the Task Force found this more attributable to the quality of the individual cadets and their innate ability to seek,

understand and emulate the qualities of officers and other successful individuals with whom they came in contact than any formal, purposeful, developmental officership program. While these officers have survived the rigors of the crucible that is the Coast Guard Academy and are (usually) better for it, this model exacts an opportunity cost from the Coast Guard: the Academy cannot completely certify the quality or uniformity of officers who took on broad portions of their own development, nor can it fully ripen such persons' innate potential or strategically and definitively declare them prepared for future service to their subordinates, superiors and the nation.

Recommendation (STR-1): *Develop and fully implement a comprehensive cadet development program which reaches across and fully involves all components and personnel at the Academy. This program should focus on all aspects of Officership with particular attention paid to character development and should cover the complete Academy experience – from initial contact through commissioning.²⁶⁸*

Recommendation (STR-2): *Develop a program to provide cadets with a broader understanding of Coast Guard core values and assist them in developing the skills, knowledge attitude and ability to begin to internalize those values. This should be done as part of a broader leader development program.*

Recommendation (STR-3): *Reach consensus across the various stakeholders on reevaluating the cadet leadership development model in order to best prepare cadets to be leaders in a diverse military and society.*

Recommendation (STR-4): *As part of a broader cadet leader development system, ensure an appropriate balance between compliance-based measures and developmental-based measures.*

Recommendation (STR-5): *Examine and validate (or invalidate) the concept and practice of “Corps Leading the Corps.”*

- *If validated, the concept, practice and structure of “Corps leading the Corps” needs to be clearly defined, articulated, published and incorporated into a larger system of cadet development.*
 - *If invalidated, a new concept for leading the Corps of Cadets must be developed.*
-

The Task Force realizes that these recommendations are based on the information during the data collection phase of the project, and will require a significant undertaking to fully incorporate. While there have been efforts made towards achieving a broad leader development program, most significantly the GOLD program discussed more fully above, these programs have lacked the necessary broad based, comprehensive nature and have never been fully implemented, supported or accepted. Implementation of the GOLD would be a significant step in the right direction.

²⁶⁸ Since this report was initially drafted, the Coast Guard Academy approved its draft GOLD cadet development program on 03 January 2007.

However, implementation of GOLD would only be one step in the process. The recommendations below are critical to successfully implementing such a program so that it can be effective and begin to change to overall structure, culture and climate at the Academy.

Company Officers and Company Chief Petty Officers

As discussed above, the relationship between the Corps of Cadets and the Company Officers and the Company Chief Petty Officers is a source of great angst among the Cadets and has created an environment that is not conducive to mentoring, leader development and the inculcation of Core Values. While it is to be expected that the cadets may not particularly like their Company Officers – they are, after all, the individuals charged with enforcing discipline and adherence to cadet regulations – the Task Force found strong evidence that the cadets almost universally lacked respect for these officers and did not consider them role models and officers worthy of emulation.

Factors mentioned by cadets as leading to this dynamic was that they never saw their company officers and Company Officers often did not even know their name, that Company Officers lacked adequate experience and time-in-service, a perception that the Company Officer had been assigned to the Academy having been poor performers in the fleet and were concerned primarily with ‘padding’ their fitness reports to obtain attractive follow-on tours, and that the primary function of Company Officer was to enforce regulations and hand out demerits – not to train, mentor or develop.

The Task Force fully understood and appreciated the extremely limited context and perspective from which these cadets voiced their opinion and their relative lack of knowledge or experience regarding the training models and techniques which may have been working upon them. However, the consistency of these perceptions and opinions across all demographic groups coupled with the virtual lack of countervailing comments indicating respect, appreciation or admiration for the Company Officers was striking. No other questions posed to cadets yielded such unanimity of response.

Company Officers

Recommendation (STR-6): Reengineer Company Officer’s interaction with the cadets with the specific intent of bolstering their role as mentors.

- Reinforce their central role in monitoring cadet performance.
 - Consider creative scheduling or staffing options to maximize Company Officer and Company Chief Petty Officer availability to cadets during cadet waking hours.
 - Educate cadets on career and education of their company officers.
 - Consider allowing Company Officers to teach classes for academic credit including leadership, ethics, navigation or other technical programs as their post-graduate education permits.
-

Recommendation (STR-7): Ensure that Company Officers are key players in experiencing meaningful understanding of Core Values and providing regular, positive teambuilding experience to increase spirit

Recommendation (STR-8): Establish a measurement tool to evaluate the long-term impact of Company Officers' leadership upon their cadets. This measurement system should act as part of an overall system that grades the academy, division, branch and individual cadets.

Recommendation (STR-9): Review the distribution and allocation of Company Officer collateral duties and ensure that Company Officers are not diverted from their primary obligation of cadet development.

Recommendation (STR-10): Empower the Company Officers to use a full range of leadership and mentoring techniques in developing cadets.

It should be noted that Company Officers are typically experienced field officers at the O-3 level. A majority of these officers have been selected through a competitive process for a Coast Guard funded graduate program in Organizational Leadership. (Four of the eight company officers currently have this graduate degree. It is anticipated that by 2008 all of the Company Officers will have this graduate education, with the exception of any aviators filling this billet who face certain restrictions regarding available graduate programs under Coast Guard policy). The assignment as a Company Officer comes as a follow-on assignment after that graduate education and may or may not be the desired choice of the individual chosen. It should be noted that Company Officers also perform a number of collateral duties which distract them from spending a greater amount of time with the cadets under their charge. In addition, as the Company Officers' schedule is currently arranged, the cadets are in the classroom or on the athletic field the majority of the time the Company Officers are on board the Academy. In addition to the recommendations above, the Academy should consider a scheduling process that results in Company Officers spending more time in the barracks while cadets are present. The Academy should also take the opportunity to engage in additional dialog with cadets and Company Officers to further understand the full nature of the issues raised above.

Company Chief Petty Officers

Chief Petty Officers were added to the cadet company leadership in 2003. The cadet response to questions regarding the Company Chiefs was considerably different than their responses to queries concerning Company Officers. Throughout the focus groups conducted by the Task Force, cadets were almost universal in their praise of the role played by the Company Chiefs. They cited the Chiefs' extensive Coast Guard experience, their approachability, and the fact that the Chiefs took the time to learn all of their names and appeared genuinely interested in mentoring and developing cadets. One cadet, referencing the presence

of Chief Petty Officers in the barracks, stated admiringly “my senior chief . . . stops to talk to EVERYONE . . . and it's creepy, the Chiefs’ seem to know everything about you.” This was a typical response.

Recommendation (STR-11): Continue to develop and invest in a robust Company Chief Petty Officer Program.

However, in discussing the Company Chief Petty Officer program with other Chief Petty Officers during Task Force visits to Coast Guard field units, it was disappointing to find that few were aware of the program or expressed interest in assignment as a Company Chief. In order for this program to remain vibrant and realize its full potential, there must be a constant flow of high-performing Chief Petty Officers motivated to take on this role in future officer development.

Recommendation (STR-12): Expand recruiting and advertising efforts for the Company Chief program to raise awareness of the duty in the field and to attract quality individuals who are motivated to work with cadets and help develop future Coast Guard Officers.

Recommendation (STR-13): Consider expanding the pool of available Chief Petty Officers by providing opportunities for E-9’s to serve as Company Chief Petty Officers.

Relationship Between the Company Officers and the Company Chief Petty Officers

The nature of the relationship between the Company Officers and the Company Chief Petty Officers - and their unified approach to the cadets - was not clear to the Task Force and there are apparently no specifically assigned roles with clear pedagogical purpose. The Company Officer and Company Chief Handbook, the primary resource for these individuals on the performance of their duties, does not discuss this relationship in any detail and is relatively brief and superficial document which is primarily administrative in nature.

Recommendation (STR-14): Thoroughly review and revise the Coast Guard Academy Organization Manual and the Company Officer / Company Chief Handbook definition of roles for the Company Officers and Company Chief Petty Officers.

- Ensure that the roles and responsibilities are clearly defined – with particular attention to daily interaction with cadets and developmental responsibilities – and ensure consistent alignment with the Academy’s overall officer development plan and strategic direction.

Recommendation (STR-15): As part of an overall cadet leadership development program, examine the appropriate ratio and make-up of Company Officers/Company Chief Petty Officers to cadets. Give strong consideration to reducing the existing ratio.

Academy Staff & Faculty Role in Officer and Character Development

While an important part of cadet lives, Company Officers and Chiefs are only one part of the equation. Cadets spend most of their waking hours with the Academy's academic faculty and athletic staff. The Academy's faculty is comprised of a mix of civilian members, permanent commissioned teaching staff and rotating military faculty. As discussed above, cadet leader and character development is not the sole responsibility of the Commandant of Cadets; it is a shared responsibility of all those with whom the cadets come in contact, whether Company Officer, math professor or rugby coach. All of these individuals must be provided with all of the tools and guidance necessary to provide the greatest value to the cadets.

Staff and Faculty Professional Development

Recommendation (STR-16): Create Academy specific mandatory, recurring staff and faculty training on Coast Guard Core Values, including an orientation for new staff and faculty. Involve the faculty and staff in the creation of this training and the development of methods for infusing core values in all aspects of cadet contact.

- As part of this training, create an Academy specific staff and faculty orientation process with recurring refresher training and a job aid.
- Provide eligible faculty and staff the opportunity to attend the resident civilian orientation course and provide all staff and faculty with a CD-ROM copy of the course.
- Set minimum knowledge standards for all staff and faculty.

Recommendation (STR-17): Provide the Academy faculty and staff with a basic and ongoing orientation on the strategic direction of the Academy.

Recommendation (STR-18): Increase the field involvement of civilian faculty and Permanent Commissioned Teaching Staff to refresh their knowledge and experience with Coast Guard operations.

Recommendation (STR-19): Educate the faculty and staff on the need to reevaluate and reform the cadet leadership model

Staff and Faculty Trust and Team Building

Another area examined by the Task Force was the level of trust which existed among the staff and faculty and between the various organizational elements at the Academy. As mentioned above, the Task Force generally found low levels of trust, a willingness to question the motive or intent of others, and in particular a fear that any change may cause loss of individual or departmental status or resources.

Recommendation (STR-20): *Create an environment which encourages and empowers individuals to align with and support a functional strategic plan. Require cross-membership on all Academy boards, panels, and committees to promote a deeper and fuller understanding across functional divisions and promote investment in and unity of effort towards common Academy goals.*

While some faculty and staff members currently participate in the admission review process, this participation is voluntary. In practice, it is typically the same faculty members who volunteer again and again. An effort should be made to increase faculty and staff involvement in all aspects of the cadet process, including the initial decision on which applicants are offered an appointment.

Recommendation (STR-21): *Assign faculty and staff members to an active role in the admissions process.*

There are some impediments to change in the area of Academy faculty and staff. A majority of the faculty members at the Coast Guard Academy are either permanent commissioned teaching staff or civilian faculty; as such they remain at the Academy throughout their tenure and rarely, if ever, venture into the operational Coast Guard. While the vast majority of these faculty members are dedicated educators who believe in the Coast Guard, the cadets made clear through numerous focus groups that they crave and respond to links to the operational Coast Guard. The high number of civilian faculty also brings a separate set of challenges as issues of contract changes and labor negotiations are present whenever changes are proposed in work responsibilities, performance evaluations or position descriptions. Additionally, the composition of the Academy faculty is considerably different than that of other military service academies. The Coast Guard Academy has approximately thirty-four percent civilian faculty and nineteen percent permanent commissioned teaching staff but only forty-seven percent rotating military faculty. By way of comparison, the faculty at the U.S. Military Academy is comprised of twenty-two percent civilian faculty, eighteen percent permanent professional military faculty and sixty percent rotating military faculty. This mix creates a different cultural atmosphere which should be acknowledged as well as a change implementation and management challenge.

In addition, the Task Force is aware of the time constraints facing members of the faculty and staff. Academy faculty and staff do not have graduate assistants to help teach and manage classroom activities, as their counterparts and cohort institutions do. Furthermore, most faculty have the added professional desire and responsibility to research and publish peer reviewed material.

Notwithstanding these impediments, faculty and staff must be an integral part of any lasting change that occurs at the Academy. To a large degree, they are the

institutional knowledge and help define and shape both the formal (and just as importantly the informal) structure, organization and culture of the Academy.

Staff and Faculty Diversity

One other area of staff and faculty influence where the Task Force found a need for change was in the area of racial and cultural make-up of the existing faculty. A diverse faculty must not only be professionally diverse but must also contain demographic diversity, including the active presence and participation of individuals who differ by race, ethnicity, gender, religious beliefs, national origin, age, physical ability, and socio-economic status. In this area the Academy faculty has room for improvement.

Of the Academy's 113 permanent and temporary faculty members, twenty-four percent are women, seven percent are African-American and three percent are Latina.²⁶⁹ Underrepresentation within the faculty by minority members may contribute to an unhealthy climate at the Academy and contribute to feelings of disenfranchisement and marginalization among underrepresented cadets. Most research indicates that issues of isolation, absence of other underrepresented minority faculty and students, and the lack of mentors contribute to underrepresented minority faculty members' perception of a less-than-welcoming environment on predominantly white campuses.²⁷⁰

In order to increase underrepresented minority enrollment, the Academy must work at strategically increasing both student and faculty populations simultaneously.²⁷¹ While the Academy has made strides in increasing the percentage of women cadets and faculty members, it must still increase the numbers of African-American and Latina faculty to create of more diverse environment for the existing cadets and further attract quality underrepresented candidates for admission.

Recommendation (STR-22): *Diversify the faculty. Provide incentives for current staff and faculty members to seek and recruit qualified candidates. Capitalize upon the retirement of civilian permanent part faculty and permanent commissioned teaching staff when possible.*

- *Seek and hire qualified minority candidates to better align the Academy with the Coast Guard's strategic goals. Review current hiring instructions and practices and to ensure that they are aligned with goal of diversifying the Academy faculty and staff.*
- *Develop and implement a process to recruit from within by increasing the awareness among minority cadets, officer candidates and commissioned officers of the rotating faculty positions available at the Academy. Track and maintain contact with these officers; work with officer*

²⁶⁹ Statistics presented to HACU Conference in "Serving our Underrepresented Minorities by Championing a Diverse Faculty: A Case Study of the Department of Science" on October 28, 2006.

²⁷⁰ National Science Foundation: Report of the Congressional Commission on the Advancement of Women and Minorities in Science, Engineering and Technology Development. *Land of Plenty: Diversity as America's Competitive Edge in Science, Engineering and Technology*, (Washington, DC: September, 2000).

²⁷¹ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002).

assignment detailers to provide appropriate incentives and encourage minority officers to apply and compete for rotating faculty positions.

Recommendation (STR-23): *Realign the Director of Diversity position so that the current advisory role is vertically integrated and incorporated into key Academy elements – including faculty hiring committees – to invigorate institutionalization of diversity projects and accelerate strategic diversity plan.*

- *Increase allotment of Career Entry-Level Opportunity positions with oversight given to the Director of Diversity to allow for the grooming of newer faculty until tenure track position become available.*
-

Cadet Regulations and Conduct System

As discussed above the cadet regulations and conduct system are only part of an effective officer development system. It is, however, a necessary and vital part. As part of this review, the Task Force examined all of the Coast Guard Investigative Service, cadet honor board hearing and cadet conduct investigations for the past five years. The Task Force believes that the cadet regulations and conduct system needs to be more reflective of the greater Coast Guard discipline system and have similar structures in place to help ensure some basic measure of consistency.

Recommendation (STR-24): *Set clear expectations across-the-board for enforcement of rules to ensure cadet development.*

A major revision to the Uniform Code of Military Justice (UCMJ) will take effect later this year. This revision principally concerns a complete rewrite the UCMJ articles dealing with sexual assault crimes, including rape, indecent assault, indecent acts and the new offense of stalking. The Task Force believes that this would be an excellent opportunity to reform the current Academy system to be more reflective to the process used by the rest of the Coast Guard. It would also serve to educate the future officers who will have to abide by and enforce that system and its requirements.

Recommendation (STR-25): *Align Class 1 penalties and process with the Coast Guard Military Justice process and incorporate UCMJ-like maximum and minimums for various levels and classes of infractions.*

- *Review the demerit system to ensure its efficacy and relevance to the Millennial generation and the needs and expectations of the Coast Guard.*
 - *Ensure that punitive measures are appropriate to the violation and educate cadets with lessons learned from peer mistakes.*
-

In focus groups and discussion with both Academy faculty and staff and cadets, the Task Force discovered little unity of effort in enforcing cadet standards of discipline, conduct and military bearing. Specifically, it found that many outside of the Commandant of Cadets, principally faculty and staff members (both military

and civilian) are reluctant to enforce cadet regulations. One Company Chief Petty Officer remarked “the faculty and staff doesn’t always set a good example when it comes to uniform wear and leadership issues...all professors don’t hold cadets to the same standards...it makes our job harder.” The observation that cadet development requires singleness of purpose and unity of effort is a recurrent theme in this report. Cadets are bright individuals and seek to “truth check” any information they are given. In focus groups, cadets generally expressed a great deal of respect for their professors. Professors may not realize their strong impact on cadets when their teachers fail to adhere to or enforce Academy and military standards. The new generation of young people look to adults in their lives more so than their predecessors. Moreover, cadets are quick to perceive and draw conclusions from actions which do not match words.

Recommendation (STR-26): *Ensure that the Academy faculty and staff have a thorough understanding of the cadet conduct, discipline and punishment system and their attendant responsibilities.*

- *Ensure that faculty and staff are aware of the necessity for (and are held responsible for) providing a consistent and supportive message on both cadet conduct and the actions taken with regard to cadets.*

As discussed above, while the full set of recommendations in this section should be considered as a whole, there are several that could be implemented with minimal effort or cost and which could yield immediate results.

Recommendation (STR-27): *Provide regularly published and well advertised cadet Good Order and Discipline reports.*

Recommendation (STR-28): *Ensure the practice of electronically awarding and promulgating demerits - cadets refer to this practice as “e-bagging” - does not supplant face-to-face counseling.*

Cadet Training and Summer Programs

Cadet Training

The Task Force found that (except for “swab summer”) cadets perceive training programs as boring, irrelevant, and ineffective in accomplishing the desired goal. Furthermore, the unappealing time of day at which they occur, low number of hours devoted, uninteresting, non-experiential methods, and the fact that attendance is not universally required create the impression that the program is unimportant relative to other pursuits. The Academy acknowledges that basic military training is often conducted on an ad hoc basis and typically occurs at the least effective times, communicating to trainers and trainees alike as to its relative standing in the grand scheme of the Academy experience.

One of the principle problems with the current military training program is directly related to the discussion of cadet time which occurs below. As other programs across the Academy have grown, succeeded and expanded, the time allotted for military training has stagnated or decreased. While the Academy does have a training plan and schedule, training often occurs on an ad hoc basis and is typically either first thing in the morning or throughout the day as other programs and responsibilities allow. It is not a primary focus and all indications were that it was ineffective at best.

Recommendation (STR-29): Assess the overall effectiveness of the Academy training programs. Particular attention should be given to sexual assault and racial discrimination training programs. Seek and incorporate input from cadets, instructional technology specialists and others as to the most effective methods for communicating this information to ensure both comprehension and retention.

- Challenge the accumulated knowledge of the cadets at various stages of the Academy experience. Ensure that Company Officers are key participants to encourage team building and *Espirit de Corps*.
 - Ensure the 200-week development program, content and structure of cadet training is planned, approved and adequate, including syllabus, trained instructors, etc.
-

Recommendation (STR-30): Emphasize experiential learning to augment and reinforce classroom training. Where possible this experiential learning should be linked to relevant Coast Guard operations.

- Consider development of a meaningful “crucible type” exercise which directly challenges cadets in a meaningful way.
 - Fully support waterfront programs such as *Luders* to blend practicum and experiential learning.
-

Recommendation (STR-31): Involve cadets in training within the strategic framework of the Academy (train-the-trainer) and provide opportunities for cadets to choose their training and trainer.

Cadet Summer Programs

Much as the response to questions regarding Company Officers was radically different than the response to questions regarding Company Chief Petty Officer, so too was the difference in response between cadet training and cadet summer programs. The responses from cadets were overwhelming positive regarding their summer training experiences. As discussed above, they crave anything which has a connection to the “real” Coast Guard. However, the Task Force note some areas for improvement with these programs.

Recommendation (STR-32): Provide better and more consistent funding and resources for summer programs, including more organic training resources for select summer programs. Provide the Academy with organic training resources for select summer programs.

The Task Force realizes that the Academy competes for resources in the same environment and under the same appropriation as the greater operational Coast Guard, and that any recommendation which specifically calls for additional funding and resources faces stiff competition. However, many of the training resources, particularly on the waterfront, are in dire need of attention. By way of example, the 65-foot training vessel used by the cadets to reinforce the classroom objectives received in Nautical Science classes have been tied up and out of commission during the recent fall semester. The Luders sailing vessels used for training cadets in principles of seamanship are in a similar state of repair and averaged two casualty reports per week during the summer of 2006.

Stressing once again the importance of implementing these recommendations as part of a broad solution set, there are some recommendations which can be implemented with little or not cost – in either capital outlay or time – and which will begin the process of change and make some difference.

Recommendation (STR-33): Publish and discuss the Commandant's regularly published operations summaries (OPSUMs) to help in provide connection to current Coast Guard operations to cadets.

Recommendation (STR-34): Provide resources and training to First Class Cadets on warning signs of poor performance and the available avenues for help both in and out of the chain of command. Ensure knowledge and promote greater use of the Coast Guard's Employee Assistance Program as an alternative for cadets.

Cadet Time

Cadet time is one of the single most coveted commodities at the Academy by the cadets and the administration alike. It is the currency of the realm and a crucial consideration in any change process. However, the process for regulating cadet time is not well-developed.

Recommendation (STR-35): Assign an overall process owner for allocation of cadet time. However, involve the Academy faculty in the process of allotting available time and resources to best provide for needs of cadet development.

Recommendation (STR-36): Institute a control and configuration board to take a strategic, systematic review (annual) to make adjustments.

Cadets will self regulate the time allotted to them according to what they perceive is most important and will serve them best. The Military Precedence List (MPL), which is not only a factor in determining first tour assignments but also governs a newly commissioned officer's place on the active duty promotion list, is currently structured with a weighting of seventy percent for the cadet academic grade point

average, twenty-five percent on the military precedence average and five percent on physical development competencies (by way of comparison, the U.S. Military Academy MPL is weighted at fifty-five percent academic grade point average and thirty percent military precedence average; the Naval Academy MPL is weighted at sixty-five percent academic grade point average and thirty-five percent military precedence average). Cadets direct their focus accordingly at the expense and to the detriment of anything else. While few argue the importance of a cadet's education and scholastic achievement, this should not supplant the military experience, which is at the core of the officer's profession, nor work to the detriment of the Academy's obligation to produce officers and leaders of character well-adapted for public service.

Recommendation (STR-37): *Conduct immediate review of the MPL through the lens of Coast Guard service needs. Conduct follow-on reviews as part of annual Academy and Headquarters strategic review.*

Recommendation (STR-38): *Provide a greater emphasis on officer, leader, and character development including Coast Guard Core Values as part of the MPL.*

This premise outlined above is also true of cadet evaluations and their effect on directing cadet behavior.

Recommendation (STR-39): *Ensure that all cadet performance reports address and define demonstration of Core Values. Reward cadets for adherence to Core Values through evaluations and appropriate recognition*

The Task Force discussed at great length the issue of cadet time and the various methods that might be employed to provide greater opportunities and more time for leadership and character development without the attendant loss of opportunity for other significant programs. One idea that continually resurfaced was the concept of the "fleet-ready" or "service-ready" officer, what that entailed (especially with some cadets now going to shore commands instead of ships) and what was required to produce that officer. One solution discussed was to defer some of the more tactical, detailed, mission-specific military training, typically provided with an eye to producing a "fleet-ready" officer, to later "pipeline-style," requirements-based, post-commissioning professional development school or course directed towards the first assignment of the newly commissioned officer - perhaps in the model of the Navy's Surface Warfare Officer School.

This proposal may serve two important functions: to free more time from the cadet program to focus specifically on leadership and character development programs and to provide a greater, more robust, and more focused training experience to officers based on the specific requirements of their assigned first

billet. This may better serve both the newly commissioned officer and the Coast Guard.

Recommendation (STR-40): *Examine the possibility of requirements-based, post-commissioning training schools or classes tailored to needs of the service and the cadet's billet assignment.*

In addition, as discussed throughout this report, the Academy competes for funding alongside the operational elements of the Coast Guard, and any recommendation which involves allocation of additional resources, either fiscal or real, will necessarily be difficult. While some of the necessary courses already exist, others would need to be developed. Capacity would likely have to be increased significantly in the summer convening of the existing courses.

Integrated Coast Guard Leadership Development

The Task Force examined both the Leadership Development Center and the Academy's Institute for Leadership. Neither of these organizations is fully utilized or sufficiently involved in the cadet leadership program. To ensure a more robust cadet development program and ensure alignment with the greater Coast Guard, the Academy should fully optimize and leverage their potential.

Recommendation (STR-41): *Both the Leadership Development Center (LDC) Director and Leadership Institute Chief should be fully involved in all CGA leadership development programs and policies.*

Coast Guard Academy Institute for Leadership

The Academy Superintendent is responsible for outlining the mission, purpose, organization and staffing of the Institute for Leadership and providing a description of the initiatives and programs coordinated by the Institute. While the Institute's current full-time staffing includes only an interim director and resource manager, it is envisioned that the Institute will continue to grow and will focus on three primary areas: to develop and deliver innovative leadership programs to the Corps of Cadets, to raise the prominence of the Coast Guard Academy, to design and market a leadership development model. However, the Task Force found that there is room for improvement between the Institute and the overall cadet leadership program as it currently exists. While the Institute has great potential in the areas of both cadet and faculty development, if the Institute is not fully integrated it risks not fully achieving its vision as a valuable asset.

Recommendation (STR-42): *The Academy Superintendent and Commandant of Cadets should partner with and fully involve and leverage the Institute Leadership Director as part of a broader effort to enhance the Academy's cadet leadership development programs.*

- *Ensure that all faculty and staff members have a thorough understanding of the Leadership Institute and its capabilities.*
-

One principal impediment to growing the Institute for Leadership is acquiring the funding and resources necessary to bring the vision to a reality. There is currently one endowed chair at the Institute – the Tyler Chair in Leadership occupied by former Commandant and Deputy Secretary of Homeland Security Admiral James Loy – and two additional chairs are envisioned in Ethics and Change management. This endowed chair is a significant commitment which has already yielded results and is similar to funding received by other service academy leadership development programs. For instance, approximately fifty percent of the Air Force Academy’s leadership development center is funded through alumni contributions. One officer at a cohort academy remarked that while most of their alumni “wouldn’t give two nickels to buy the chemistry department a new beaker,” they were more than willing to provide donations to support leadership development. This not only highlights the fact that most Academy graduates recognize the true value of leadership and character development, it also highlights one potential impediment faced by the Coast Guard Academy – the relatively low number of alumni when compared to other academies to aid in supporting similar programs.

The Coast Guard Leadership Development Center

The Leadership Development Center opened in 1998 as the single Center of Excellence for Coast Guard leadership. Although located on the Academy grounds, it is a functional element of the Academy with little to no direct involvement with the cadet education or training process. In addition to developing and maintaining the Coast Guard’s exportable Leadership and Management training program (LAMS), the LDC is responsible for Coast Guard Officer Candidate School, the Direct Commission Officer program, and the Chief Warrant Officer Professional Development program. All officer accessions come through the Academy’s front gate and the Leadership Development Center is actively involved with most of them. As such, natural opportunities for synergy exist with the LDC and its programs and these opportunities are not being fully exploited – to the detriment of both the Academy and the other commissioning sources.

Recommendation (STR-43): *The Academy should make strategic use of the LDC for cadet leadership development and involve the Leadership Development Center Director and Leadership Institute Chief in all Academy leadership development programs and policies.*

Recommendation (STR-44): *The Academy Superintendent should provide direction to the Leadership Development Center Director regarding specific responsibilities dealing with cadet leadership development.*

Recommendation (STR-45): *The Academy should infuse cadet leadership courses with instructors from the Leadership Development Center (and vice versa) to promote a better understanding and mission connection.*

The above recommendation also addresses one of the primary impediments to success faced by all of the recommendations regarding the Leadership Development Center – the perception by many at the Academy that the Leadership Development Center is more of a “trade school” approach to leadership development which is inferior to the cadet service academy experience and that it could interfere with the Academy accreditation process. This perception must be overcome and all constituencies must realize the value of leveraging all officer and leader development opportunities available to the Academy.

Coast Guard Academy Admissions

The admissions process is a key, yet often overlooked, component of any leader and character development program. The outcome of any process almost always depends to some greater or lesser degree on the quality of the inputs to that process. The process of producing officers is no exception. While determining the potential for an applicant to succeed in the Academy’s rigorous academic environment is a difficult but relatively well-understood and straightforward process, assessing the content of an applicant’s character and their ability to embrace and internalize our service values during the selection process is infinitely more complex and demanding. Couple this with the need to recruit for and remain competitive in 23 NCAA Division III sports with a student body of only 1000 cadets and the magnitude of the task grows even greater.

While the Task Force found that the Admissions Department at the Academy is on the whole doing a good job of attracting high caliber applicants and aligning the Academy to compete in a rapidly changing recruiting environment – there are opportunities to improve the process and its effect on other aspects of the institution.

Recommendation (STR-46): *Formalize a process and designate a responsible individual for periodic review of all Academy outreach materials, including the Academy website. Ensure that a strong and consistent message is being presented with an adequate focus on Coast Guard Core Values and the Academy as an institution that prizes and develops leaders of character.*

- *Market the aspects of the Academy particularly appealing to the millennial generation, including the public service and humanitarian aspects of the operational Coast Guard.*

Recommendation (STR-47): *Provide training for the faculty and staff regarding the admission process which provides enough content and context to enable trust in the admission process and those who perform it.*

- *Assign members of the faculty and staff to the admissions review process*
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Recommendation (STR-48): *Unify the criteria for Academy applicants around character in alignment with the Academy's strategic intent.*

- *Insert measurable moral judgment baselines in application and cadet selection process.*
 - *Further incorporate affirmative references to core values and character development into all recruiting materials/outreach.*
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Recommendation (STR-49): *Interview all conditional appointees.*

- *Provide additional resources to bring conditional appointees to Academy for face-to-face personal interviews.*
 - *Leverage existing active duty resources, similar to interviews conducted for OCS candidates.*
-

Recommendation (STR-50): *Partner with Coast Guard Recruiting Command to leverage existing resources and programs to accomplish common goals.*

Recommendation (STR-51): *Seek feedback from those who have turned down appointment – particularly women and minority applicants – and analyze the information obtained as part of an overall plan to improve recruiting efforts.*

Recommendation (STR-52): *Actively seek out, review and consider best practices of other universities that are successful at attracting and matriculating minority and female students.*

- *Expand pool of qualified minority candidates by incentivizing faculty/staff to recruit qualified candidates.*
-

Recommendation (STR-53): *Incorporate external partnership programs and potential industry partners with the Academy strategic plan to access untapped minority populations (e.g. math, engineering, science, and achievement)*

Culture and Climate

Recommendations

The Coast Guard Academy's mission centers around educating, training and developing cadets into leaders of character prepared to serve the United States Coast Guard of the future.²⁷² Overarching are the Core Values of the Service—Honor, Respect and Devotion to Duty.²⁷³ The Academy employs various means to instill in cadets an understanding of core values, among them: artifacts (monuments, symbols, architectural structures) in the environment whose presence serve as constant reminders, documents such as Coast Guard Publication 1²⁷⁴ and *Character in Action*,²⁷⁵ policies, people (especially faculty and staff), and the curriculum.

One of the challenges the Academy faces in efforts to develop cadets into leaders of character who exemplify core values, is its ability to create and sustain a climate conducive to that outcome. To bring about that outcome, the Academy must devote more attention to:

- Adherence to non-discriminatory and harassment-free policies and practices in recruitment, admissions, employment, evaluation, disciplinary action and advancement. Doing so will foster a more sound atmosphere in which people of diverse characteristics and backgrounds feel more supported and welcome;
- Establishing a more emotionally healthy environment which fosters flexibility, change, respect and trust; and
- Bringing about an institution at which all attendees are safe and free from discrimination, harassment or assault.

To create and sustain this climate, the Academy must attain alignment with and collaboration among all facets of its infrastructure. Only with a sustained, united front among staff, faculty, and leadership, expressed in words and actions, can the Academy eliminate cadet cynicism and beget the trust that it will act appropriately when incidents occur.

²⁷² Coast Guard Academy web site, http://www.cga.edu/about/phil_cadet_mission.aspx. Accessed January 4, 2007.

²⁷³ Coast Guard Publication 1, <http://www.uscg.mil/overview/Pub%201/contents.html>. Accessed January 4, 2007.

²⁷⁴ Coast Guard Publication 1, <http://www.uscg.mil/overview/Pub%201/contents.html>. Accessed January 4, 2007.

²⁷⁵ Don Phillips and James M. Loy, *Character in Action*, (Annapolis, MD: Naval Institute Press, 2003).

Diversity Challenges

Those born since 1982 are the most diverse generation in the nation's history. Nationwide, enrollment of women and minority students is increasing: female enrollment has reached a high of more than 56 percent, Asian American enrollment grew 33 percent since 1980 (compared with overall enrollment which grew but only 22 percent); and one in five Millennials is the child of an immigrant, for example.²⁷⁶

Before it can ever claim victory on establishing an appropriate and relevant climate that successfully prepares cadets for responsibilities they will encounter as officers, the Academy must create and sustain diversity. The Millennial generation's appreciation for differences are ideal for being parlayed into lessons about responsibilities associated with power, privilege and social class, and their impacts on the profession of "officer."²⁷⁷

National enrollment trends reflect the need for targeted outreach and recruitment. In the most recent 2003-2004 enrollment trends report which focuses on community colleges,²⁷⁸ 63 percent of all undergraduates were White. One third of students identified themselves as a race other than White, including 14 percent who were Black, 13 percent who were Hispanic, 5 percent who were Asian, and less than 1 percent each who were American Indian or Pacific Islander. The remaining 3 percent of students classified themselves as Multi-Race or as Other. 1999-2000 enrollment trends²⁷⁹ were very similar to the 2003-2004 report's trends.²⁸⁰ In the 1999-2000 report, among Hispanic students, more than half (55 percent) reported being Mexican American or Chicano, 15 percent reported being Puerto Rican, 4 percent Cuban, and the remaining 27 percent other Hispanic identity. Among Asian American students, 25.1 percent claimed Chinese heritage, 13.1 percent Korean, 12.8 percent Vietnamese, 11.2 percent Japanese, 11 percent Asian Indian, 10.5 percent Filipino, 2.9 percent Thai, and 13.1 percent other ethnicity.²⁸¹ Furthermore, this points out the national notion of the "overrepresented" Asian American student is false for sub-groups.

Data furthermore show that minority students are less likely to enter college immediately after high school because employment and other factors limit full-time

²⁷⁶ Alicia Moore, "They've Never Taken a Swim and Thought About Jaws: Understanding the Millennial Generation," accessed at <http://www.pacrao.org/docs/resources/writersteam/UnderstandingTheMillennialGeneration.doc>, Jan. 11, 2007.

²⁷⁷ Ibid.

²⁷⁸ The U.S. Department of Education, National Center for Education Statistics, *Profile of Undergraduates in U.S. Post-secondary Education Institutions: 2004-2004*, With a Special Analysis of Community College Students, Statistical Analysis Report, June 2006, 79.

²⁷⁹ U.S. Department of Education, National Center for Education Statistics, *Profile of Undergraduates in U.S. Post-secondary Education Institutions: 1999-2000* Statistical Analysis Report, July 2002, 00 11-12.

²⁸⁰ In the 1999-2000 report White students constituted 67 percent of undergraduates. About 11 percent were Hispanic, 12 percent were Black, and 5 percent reported as being Asian with the remainder comprised of American Indian/Alaska Native, Native Hawaiian/Other Pacific Islander, Other, and More than one race at 1 percent, 1 percent, 1 percent and 2 percent respectively.

²⁸¹ U.S. Department of Education, National Center for Education Statistics, *Profile of Undergraduates in U.S. Post-secondary Education Institutions: 1999-2000* Statistical Analysis Report, July 2002, 00 11-12.

attendance. This may account for the more protracted period of educational pursuit; indeed the average age of African American and American Indian students is higher than the overall average for undergraduates. White and Asian American students are more likely than any other group to enroll in a four-year institution. All other students, that is, African American, Hispanic, American Indian/Alaska Native, and Native Hawaiian/Pacific Islander are more likely to enroll in two-year public institutions, or private commercial institutions which lead to vocational certificates²⁸² Once again, these facts speak to establishing and pursuing more targeted and strategic recruitment efforts.

As for majority students, those educated in diverse developmental settings have a greater capacity to deal with complexity and are more attuned to the challenges and rewards that living and leading in a diverse Coast Guard and society demand.²⁸³ Attaining the developmental benefits of diversity requires respectful engagement in settings that challenge cadets' comfort levels, expands their knowledge base of other people, other values, other perspectives and engenders trust between all facets of the institution.

Diversity refers to the active presence and participation of people within an organization, who differ by race, ethnicity, gender, religious beliefs, national origin, age, sexual orientation, physical ability, and socio-economic status. With approximately seven percent of the Coast Guard Academy faculty being underrepresented minority²⁸⁴, the Academy's faculty make-up may be best defined as homogeneous, essentially 'white,' Christian, heterosexual, and male while the cadet diversity may be best defined as essentially 'white,' Christian, and heterosexual.²⁸⁵

Where concepts of diversity existed at the Academy, the task force found it foremost in legalistic and moralistic rather than service-relevant terms. That is, throughout the institution, cadets and faculty expressed the desire that minorities and women know they are welcome. However, without the reference for the strategic advantage that diversity brings to a military officer, who must be ready for worldwide assignment, and effective in serving an increasingly diverse nation, diversity goals are a series of eloquent but useless words. Recent events in global terrorism and domestic disasters are acute reminders of the need for a service which must be able to effectively reach an increasingly diverse populace. For example, while the percentage of black victims among Hurricane Katrina-related deaths (49 percent) was below their proportion in the area's population (60 percent) the U.S. Government found itself on the defensive against critics who alleged that race was a factor. A service which, by virtue of its

²⁸² IBid.

²⁸³ Interview: Antonio. Farias, Director of Diversity, U.S. Coast Guard Academy.

²⁸⁴ R. Sanders, CDR USCG and A. Farias, "Serving Our Underrepresented Minorities by Championing a Diverse Faculty: A case Study of the Department of Science," (panel discussion, HACU Conference, San Antonio, TX, November 5-8, 2003

²⁸⁵ The cadet population contains nearly 28% women.

people represents and embodies cultures and ethnicities within the United States' and world populations can be assured it is substantial against such criticism.

The term “underrepresented” as defined in 5 CFR, Section 720.202, refers to situations in which the number of women or members of a minority group within a category of civil service employment constitute a lower percentage of the total number of employees within the employment category than their percentage in the U.S. civilian labor force. In order to instill an appropriate social climate, which not only tolerates or complies with diversification, the Academy must undertake several initiatives in stalwart fashion. It must increase the enrollment of underrepresented minorities within the Corps of Cadets, increase the numbers of underrepresented minorities within the Academy faculty and staff, and finally organically embed diversity throughout the academic and military curricula.

An ethnically and racially diverse student body in itself is attractive to heterogeneous potential students and faculty as well.²⁸⁶ As a first measure, the Academy must reverse trends of underrepresented minorities within the Corps of Cadets—increasing these to critical mass. The critical mass concept refers to the substantial, important, and laudable educational benefits that diversity is designed to produce, including cross-racial understanding, easing isolation and discomfort, and the breaking down of racial stereotypes.²⁸⁷ Retired military officers wrote in their brief to the Supreme Court in support of the University of Michigan Law School, in the 2003 case *Grutter v. Bollinger*, “[A] highly qualified, racially diverse officer corps educated and trained to command our nation’s racially diverse enlisted ranks is essential... The primary sources for the nation’s officer corps are the service academies...”

Some researchers who have worked on minority achievement recommend programs which establish an internal critical mass of high achieving black students, such as scholar programs that encourage study groups and highlight accomplishments, and as such overwhelm cultural stereotypes. Research has indicated that negative stereotypes, like the idea that black students are incapable of advanced intellectual achievement (which the Task Force found at the Academy), becomes a self-fulfilling prophecy, by engendering self-doubt.²⁸⁸ A program worth studying at the University of Maryland Baltimore County (UMBC Meyerhoff Scholars Program) immersed high achieving science, engineering and math students into a structured program with others like themselves, provided significant advising to help diminish feelings of isolation and scrutiny by the majority, and to help break stereotypes about performance. While the program is now open to all students, at the time that it focused on African Americans, administrators continually evaluated it and documented that participants earned higher grade point averages than peer groups, including white and Asian students with similar

²⁸⁶ J.A. Youngman and C.J. Egelhoff, “Best Practices in Recruiting and Persistence of Underrepresented Minorities in Engineering: A 2002 Snapshot. (33rd ASEE/IEEE Frontiers in Education Conference, November 5-8 2002).

²⁸⁷ *Grutter v. Bollinger*, 539 U.S. 306 (2003).

²⁸⁸ David Epstein, “The Importance of Critical Mass,” accessed at <http://insidehighered.com/news/2006/06/07/black> 11 January 2007).

academic backgrounds. “If that stereotype threat is real,” one researcher said, “having a critical mass of well prepared students simply breaks the stereotype.”²⁸⁹

Recommendation (CUL-1): Attain minority mass by:

- Research trends in minority (and subgroup) enrollment.
 - Based on the findings, develop relevant recruiting sources (such as community colleges) and strategies for attracting, enrolling, retaining and graduating classes more comparable to cohort schools.
 - Additionally, pursue innovative means to either attain critical mass, or help mitigate the effects of low minority numbers on their performance.
-

The Task Force perceived similar such recommendations had been resisted in the past due to the misperception that increasing underrepresented minority cadet population was tantamount to dropping standards. However, efforts at increasing the numbers had been attempted without corresponding increases in the Academy’s support structures, thus policies likely strained the Academy’s tolerance level.

Several programs are already in use throughout the United States to address attracting underrepresented minorities into the Science, Technology, Engineering and Math fields. The Mathematics Engineering Science Achievement²⁹⁰ has been named as one of the most innovative public programs in the country by Innovations in American Government, a project of the Kennedy School of Government at Harvard University and the Ford Foundation. MESA is a winner of the Presidential Award for Excellence in Science, Mathematics and Engineering Mentoring.²⁹¹ MESA is also the largest consortium of programs to receive National Science Foundation²⁹² scholarships earmarked to support community college students who transfer to four-year institutions. The United States Military Academy recently used National Science Foundation grants to conduct Math outreach into surrounding communities.

Recommendation (CUL-2): Identify and establish external partnership programs as a strategy to access untapped minority populations. Consider examples offered by other institutions, such as UMBC (Meyerhoff Scholars), Harvard University (MESA) and the National Science Foundation.

Nowhere is it more vital for cadets and staff to observe excellence and diversity embodied than in the Academy’s own faculty and staff. Research studies have shown that in order to increase underrepresented minority enrollment, institutions must work

²⁸⁹ David Epstein, “The Importance of Critical Mass,” referring to L. Scott Miller as executive director of the Consortium for High Academic Performance at Berkeley, accessed at <http://insidebigbered.com/news/2006/06/07/black> 11 January 2007).

²⁹⁰ <http://mesa.ucop.edu/about/mesausa.html> Last Accessed January 4, 2007.

²⁹¹ <http://www.innovations.harvard.edu/awards.html?id=3679> Last accessed January 16, 2007.

²⁹² <http://www.nsf.gov> Last accessed January 4, 2007.

at strategically increasing both student and faculty populations simultaneously.²⁹³ Underrepresentation within the faculty of minority members may contribute to an unhealthy racial climate at the Academy and further exacerbate the beliefs among underrepresented minority cadets, as well as underrepresented faculty and staff, of disenfranchisement and marginalization. Most research indicates that issues of isolation, absence of other underrepresented minority faculty and students, and the lack of mentors contribute to underrepresented minority faculty members' perception of a less-than-welcoming environment on predominantly white campuses.²⁹⁴ Thus, not only must the Academy continue its efforts to increase underrepresented minority cadet enrollment, it must also increase its structural diversity by increasing the number of underrepresented groups within its faculty and staff. In this sense the Academy must work to increase not only the critical mass of minority cadets; but also the critical mass of underrepresented faculty and staff. Although the female cadet population percentage roughly mirrors that of the female faculty at 26 percent,²⁹⁵ the same cannot be said of the underrepresented minority cadet population percentage which at 13.5²⁹⁶ percent is nearly double that of the previously described underrepresented minority faculty at 7 percent.²⁹⁷

Recommendation (CUL-3): *Employ a robust program of recruitment and retention of underrepresented senior leaders, faculty and staff members including, Company Officers and Company Chiefs to create valuable mentoring opportunities and experiential opportunities for all assigned to the Academy. Identify and establish external partnership programs as a strategy to access untapped minority populations. Consider examples offered by other institutions, such as UMBC (Meyerhoff Scholars), Harvard University (MESA) and the National Science Foundation.*

Around fifty percent of the officer corps of the United States Coast Guard graduate from the Coast Guard Academy. While the average persistence of all cadets through to graduation is 60 percent, the persistence of minority cadets is only 50 percent. While it is difficult to differentiate between best practices in underrepresented student recruiting and underrepresented persistence in engineering, most Coast Guard Academy cohort schools appear to view minority recruiting and persistence as a continuum based upon

²⁹³ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002).

²⁹⁴ National Science Foundation: Report of the Congressional Commission on the Advancement of Women and Minorities in Science, Engineering and Technology Development. *Land of Plenty: Diversity as America's Competitive Edge in Science, Engineering and Technology*, (Washington, DC: September, 2000).

²⁹⁵ R. Sanders, CDR USCG and A. Farias, "Serving Our Underrepresented Minorities by Championing a Diverse Faculty: A case Study of the Department of Science," (panel discussion, HACU Conference, San Antonio, TX, November 5-8, 2003).

²⁹⁶ U.S. Coast Guard Academy, "Accumulated Minority Statistics", (New London, CT: U.S. Coast Guard Academy, 2006).

²⁹⁷ R. Sanders, CDR USCG and A. Farias, "Serving Our Underrepresented Minorities by Championing a Diverse Faculty: A case Study of the Department of Science," (panel discussion, HACU Conference, San Antonio, TX, November 5-8, 2003).

a single philosophy.²⁹⁸ Successful underrepresented engineering students in predominantly majority male engineering cultures believe they are respected, valued and supported within that culture.²⁹⁹ Reevaluating the curriculum with the end goal being developing diverse leaders of character will help reprioritize a perceived lack of flexibility in the cadet curriculum. The Academy needs to reach consensus and alignment across its various internal stakeholders on the value of critical thinking and development within the Academy infrastructure of an attitude for respect of the inherent worth of people and their ideas so that it can produce service ready Ensigns prepared to be leaders of character in a diverse democracy. By increasing the persistence of underrepresented cadets, the Coast Guard will increase the pipeline of underrepresented minority officers into the fleet. The obvious benefits are the increase in the diversity of intellectual capital, thought and experience that result from having an officer corps rich in people from all backgrounds, races and ethnicities.

Recommendation (CUL-4): *Incorporate diversity into the cadet curriculum. Revamp the curriculum and pedagogy to align with best practices in the technological field.*

The current organizational structure ensures that while the Director of Diversity is part of the Academy's Senior Management Team, he is constrained in his efforts to significantly leverage resources required to holistically infuse the Academy with a viable strategic diversity plan. For example, the Coast Guard CEO program supports the Commandant's policy on effective use of entry-level hiring as a mechanism for meeting future mission requirements with a skilled and diverse workforce.³⁰⁰ Yet the Director of Diversity has no oversight over this program or other programmatic elements within the Academy to actively and positively influence increases in the Academy's diversity. Inserting the Director of Diversity vertically, with oversight of key functional elements, into the command structure will help to jumpstart the institutionalization of diversity projects and holistically infuse the Academy with a strategic diversity plan.

Recommendation (CUL-5): *Restructure the Director of Diversity position so that the advisory role is vertically integrated into the Academy command structure by incorporating oversight of key elements such as the Career Entry-Level Opportunity (CEO) program, specific divisional line items such as travel, and faculty hiring committees.*

The Coast Guard Academy gathers facts and trends associated with discrimination and assault; however it does not use this information consistently or strategically to educate cadets, faculty or staff. In the absence of facts, gossip and lore become the reality and perpetuate perceptions of discrimination.

²⁹⁸ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002) citing Carnegie Mellon University: President's Statement on Diversity, November 1999, <http://sss.cmu.edu/president/diveristy>.

²⁹⁹ J.A. Youngman and C.J. Egelhoff, "E³: Excellence in Engineering Education," (preliminary draft report, U.S. Coast Guard Academy, New London, 2002).

³⁰⁰ ALCOAST 415/05.

The Academy invited the Defense Equal Opportunity Management Institute (DEOMI) to analyze the 2004 and 2005 Climate Assessments. DEOMI noted that between 2004 and 2005 within the 4/c, the number of men subjected to racial or gender discrimination or harassment had increased more than that of women. DEOMI noted that 11 percent of respondents had been subjected to racial or discrimination or harassment. Separately, 7.2 percent of the respondents in the 2006 Cadet Human Relations Climate Assessment reported to being subjected to racial or ethnic discrimination or harassment. Although the 2006 results are slightly improved over the 2004 and 2005 assessments the Task Force noted that this information may not be consistently communicated back to the cadets or faculty and staff. DEOMI recommended the Academy conduct further research in the form of focus groups and interviews and then compare the results with actual reported discrimination or harassment. Finally, DEOMI recommended the Academy share the findings with cadets and research, specifically define, and promulgate No-Tolerance policies.

Recommendation (CUL-6): Increase cadet, faculty, and staff awareness of the climate at the Coast Guard Academy and make improvements. Employ processes and procedures that incorporate information gathered from the annual Human Relations Cadet Climate Assessment Surveys and Occupational Assessment Survey data.

Recent alleged racist and sexist remarks made by Academy faculty members and defended by many as academic freedom, without application and enforcement of standards, reinforce cadet cynicism and lack of trust in the Academy faculty and staff, and fosters a lack of confidence by some faculty in the Academy's commitment to a positive human relations climate. As an example, the Academy's response to one instance of an alleged racist comment by a faculty member was to remove the member from actively teaching in the classroom, and not renew the member's contract at the end of the semester. No other official disciplinary action was taken. This sends mixed messages and may lead to unintended and undesirable polarization within the cadet and faculty populace.

Recommendation (CUL-7): Enforce standards across the civilian and military faculty consistently; the Board of Trustees and senior Coast Guard leadership should be responsible for ensuring compliance.

Lack of clear understanding and direction regarding racism and respect for others coupled with the lack of a definition of a zero tolerance policy requires long term Commandant level intervention.

Recommendation (CUL-8): Research, define, and promulgate a "Zero Tolerance" policy for discrimination, specifying penalties for violence or harassment of any kind at the Coast Guard Academy. Designate an entity to enforce the policy unequivocally.

Honor Rites and Program

The Coast Guard Academy does not follow an honor code but an Honor Concept. The concept describes a relationship that prevails among individuals who, [by virtue of being a cadet,] in their dealing with each other and the world at large, subscribe to complete and total honesty and integrity.³⁰¹ As discussed previously in this report, cadets continually struggle with the tension between loyalty to their fellow cadets and the application of integrity when faced with decisions regarding turning in their peers for violations of cadet regulations. Cadet misplaced loyalty versus integrity is counterproductive to a well-balanced developmental climate and as a result advances cynicism and distrust in the organization.

The U.S. Naval Academy also subscribes to an honor concept. The U.S. Air Force Academy (USAFA), U.S. Military Academy at West Point (USMA) and the U.S. Merchant Marine Academy (USMMA) all have adopted Honor Codes. Additionally, the USAFA and USMA both include non-toleration clauses which state that cadets will not tolerate other cadets who violate the Honor Code. A non-toleration clause affirms that cadets have an affirmative *obligation* to enforce the Coast Guard Academy's standards of conduct and the ethical behavior of other cadets rather than placing the obligation on the Academy's faculty, staff and officers.

Recommendation (CUL-9): *Conduct further study, with a consideration to reformat the current Honor Concept into an Honor Code and incorporate a non-toleration clause.*

The Task Force observed that the USMMA strongly focuses on its Honor Code; a code very similar to the Coast Guard Academy's Honor Concept. The USMMA uses a dramatic candle lighting ceremony in its chapel to "induct" new midshipmen into the Honor Code. The ceremony is conducted during homecoming weekend to allow USMMA alumni to attend and was observed as a very emotional event. Midshipmen are presented with an "Honor Coin" designed by an alumnus who was killed in Iraq. The coin is highly prized and is taken away from midshipmen for honor violations. Midshipmen strongly encourage others who violate the honor code to turn themselves in.

Recommendation (CUL-10): *Create a ceremony to symbolize the solemnity of cadets adopting and affirming their commitments to follow an Honor system.*

Conduct and Honor Offenses

As discussed previously in this report, the Task Force examined all of the Coast Guard Investigative Service, cadet honor board hearing and cadet conduct investigations for the past five years as a part of its review of the Cadet Regulations and Discipline System and made recommendations. During its review, the Task Force also found that

³⁰¹ http://www.uscga.edu/cadetlife/honor_concept.aspx Last accessed January 4, 2007.

lack of following procedures and policies for the administration of Class III offenses within the cadet conduct and discipline system; primarily by Upperclass Cadets contributes to an unhealthy climate.

The Corps of Cadets administers the Cadet Conduct and Discipline System through the use of a three-tiered system of conduct offenses which have different procedures for processing and disposition. All of the conduct offenses and procedures for processing them are found in Appendices I, II, and III of the Regulations for the Corps of Cadets.

Class I offenses are the most severe violations of the regulations and may call into question a cadet's suitability for commissioned service. Class II and III offenses are less serious offenses which do not normally call a cadet's service into question. Class III offenses usually result in demerits, while Class II offenses could result in demerits, and other administrative action. Class I offenses could result in a wide range of punishments.

Class I offenses generally require a more rigid procedure of notification and investigation in a cadet's alleged violation of the regulations. Class II and III offenses require an entry into the ACADISTM³⁰² data base and subsequent mandatory notification to the cadet of the offense. Upperclass Cadets and all faculty and staff may assign cadets demerits via the use of an e-mail or a copy of a Delinquency Report citing the infraction and number of demerits assigned. The Task Force found that e-mail notification is the favored method of cadet notification of an offense. Cadets refer to e-mail notification as "e-bagging."

The Task Force noted that e-bagging, as practiced, ignores a mandatory requirement that enforcers counsel violators; preferably on-the-spot. If on-the-spot counseling is not possible, mandatory counseling is required at the next earliest opportunity. E-bagging, originally adopted in an effort to reduce paper, in effect, diminishes the personal interaction required for effective cadet leadership development. Instead, e-bagging currently promotes a climate of non-communication and distrust.

Recommendation (CUL-11): Enforce the requirement for mandatory counseling upon issuance of Electronic Demerits (e-Bagging).

Alcohol

Alcohol and substance abuse are well-known problems in American society and continue to increase in severity each year. Young people begin drinking increasingly at younger ages even though the federal drinking age limit of 21 has been in existence for 22 years. In a recent poll, 75 percent of Americans said underage drinking is a serious problem in their communities, but one-third call it "very" serious, rising to 44 percent

³⁰² The ACADIS system is a software-based system used by military training institutions to assist them in automated day-to-day operations management. <http://www.envisagenow.com/acadis.asp>. Last accessed January 10, 2007.

of lower-income Americans.³⁰³ Alcohol consumption at the Coast Guard Academy, like that of other military academies and especially smaller civilian college campuses, represents a major source of disciplinary incidents.³⁰⁴ One study reported that 30 percent of college males and 25 percent of college females reported having engaged in a fight while drinking.³⁰⁵ Especially noteworthy is the correlation of alcohol related incidents at the Coast Guard Academy to sexual misconduct among cadets.³⁰⁶ Correlating alcohol incidents over a period of five years showed that there is a link between inappropriate alcohol use and sexual misconduct.³⁰⁷ These numbers indicate a high number of sexual misconduct is highly correlated with a high number of alcohol incidents. The Academy addresses the use and abuse of alcohol through the Regulations for the Corps of Cadets³⁰⁸ which closely mirrors the Coast Guard at-large policy³⁰⁹.

Statistically, college students who are most prone to drink include most males, Caucasians, and those involved in sports.³¹⁰ ³¹¹ This is especially significant as, on average, almost 70 percent of the Corps of Cadets are involved in intercollegiate athletics.³¹² Cadets often assume they already know everything about alcohol and substance abuse. The Task Force research indicates that cadets have not internalized the Coast Guard Core Values. 34 percent of Cadets surveyed did not believe underage drinking disrupts good order and discipline and 79 percent of cadets believe that cadets engage in binge drinking at least occasionally.³¹³ In light of the Academy's stressful environment, it is not surprising the results of cadet surveys reflect cynicism, resignation and hopelessness as cadets become more senior. In these situations, some cadets often turn to alcohol as a form of stress relief.

³⁰³ ABC News Poll: Public Back Legal Drinking Age Limit, July 15 2005, <http://abcnews.go.com/Health/PollVault/story?id=941810>. Last accessed January 8, 2007.

³⁰⁴ Other Military Service visits revealed that other Service Academies likewise have challenges with irresponsible cadet drinking.

³⁰⁵ Giancola, Peter R. "Alcohol-Related Aggression during the College Years: Theories, Risk Factors and Policy Implications" *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 129-139.

³⁰⁶ Conduct statistics from Coast Guard Academy Institutional Research.

³⁰⁷ In the past five years, the trend of alcohol incidents was correlated with number of sexual misconducts. See the chapter on culture and climate.

³⁰⁸ Regulations for the Corps of Cadets, Superintendent Instruction M5215.2H, Chapter 12.

³⁰⁹ Coast Guard Personnel Manual, Commandant Instruction M1000.6 (series),

³¹⁰ O'Malley, Patrick M. and Lloyd D. Johnson. "Epidemiology of Alcohol and Other Drug Use Among American College Students" *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 23-39.

³¹¹ Presley, Cheryl A., Philip W. Meilman and Jami S. Leichliter. "College Factors That Influence Drinking" *Journal of Studies on Alcohol*, Supplement No.14, March 2002, 82-90.

³¹² Interview with Dr. Ray Cieplik, Director of Athletics, U.S. Coast Guard Academy, January 19, 2007.

³¹³ Coast Guard Academy Cadet Human Relations Climate Assessment Survey results, Coast Guard Academy Institutional Research Staff, 2006.

Recommendation (CUL-12): Engage cadets as early as possible and institute screening procedures to proactively recognize and intervene with cadets who are at risk for alcohol and substance abuse.

- Incorporate strategies to gain and maintain cadet’s attention to aid cadet internalization of responsible drinking and understand the costs associated with irresponsible drinking, substance abuse and poor lifestyle choices.
 - Proactively engage admitted cadets and their parents about the Academy’s alcohol policies prior to cadets’ arrival for Swab Summer.
-

While Coast Guard Academy cadets, as well as all Coast Guard members, are prohibited from drinking underage, research indicates that the certainty of consequences is more important than the severity of consequence.³¹⁴ Inconsistent enforcement may send the message that the rules are made to be broken. Research also indicates that increased publicity regarding the enforcement of underage drinking aided in the overall reduction of underage drinking.³¹⁵

Recommendation (CUL-13): Institute a clear, concise policy on drinking alcohol – include more tangible, real-life consequences. (consider an effect on overall GPA and loss of places on the promotion list).

Recommendation (CUL-14): Enforce clear concise policies on drinking alcohol in all aspects of cadet Academy life – including EAGLE sailings and summer operational tours -- to reinforce Academy policies on underage drinking and irresponsible alcohol use.

Incidents involving drinking by cadets within the local community are often portrayed as an “Academy problem” or as a “service problem.” Research indicates that by reframing the issue as a “community problem” leaders in both arenas are more likely to come together to address the issue in a comprehensive manner.³¹⁶ Partnerships and discussions between colleges and community businesses and organizations can be an effective tool in combating a campus drinking problem.³¹⁷

Recommendation (CUL-15): Develop relationships and partner with local hotel and motel, bars and package stores linked to alcohol use and abuse to discuss strategies for alcohol abuse prevention and response. Consider a broad-based partnership with Connecticut College, Mitchell College, and the Naval Submarine Base in Groton, Connecticut, to address mutual concerns.

³¹⁴ Toomey, Traci L. “Environmental Policies to Reduce College Drinking: Options and Research Findings” *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 193-205.

³¹⁵ *A Call to Action: Changing the Culture of Drinking at U.S. Colleges*: Task Force of the National Advisory Abuse and Alcoholism, National Institutes of Health, U.S. Department of Health and Human Services.

³¹⁶ Ibid.

³¹⁷ Toomey, Traci L. “Environmental Policies to Reduce College Drinking: Options and Research Findings” *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 193-205.

One of the strategies deemed effective at reaching individuals is a “social norms” marketing campaign. The Task Force’s research indicates that many college students overestimate the amount of drinking that occurs among their peers and in turn adapt their own behavior to fit this perceived norm.^{318 319} A U.S. government report entitled “Healthy People 2010”³²⁰ notes that the perception that alcohol use is socially acceptable correlates with the fact that more than 80% of college age student consume alcohol prior to their 21st birthday. Changing student perception is accomplished through the use of data – often obtained from student surveys – to refute beliefs about the general tolerance for or acceptance of irresponsible or illegal alcohol use. Several universities have instituted successful social norm marketing campaigns.³²¹

Recommendation (CUL-16): *Institute a social norms marketing campaign to raise cadets’ awareness of how their classmates and cohorts actually view drinking (especially irresponsible drinking practices) -- as contrasted to what they perceive their own views to be.*

Although the Academy has a permanently assigned Command Drug and Alcohol Representative (CDAR) the CDAR is required to provide assistance to other Coast Guard commands. Therefore cadets do not have the benefit of having a CDAR fully dedicated to their interests.

Recommendation (CUL-17): *Dedicate the Coast Guard Academy CDAR’s duties to the Coast Guard Academy. Find sufficient resources to also service outlying units.*

Sexual Assault

A strong nexus exists between sexual assault at the Coast Guard Academy and alcohol. As it relates to sexual assault, alcohol use is a contributing factor for rape and sexual assault. Nationally, anywhere from 24-50 percent of women report being a victim of some form of sexual assault – and at least half of the assaults involve alcohol use by one or both of those involved.³²² College men also acknowledge committing acts of sexual assault, albeit at rates lower than reported by women. In one study, 25 percent of college men surveyed admitted committing some form of sexual assault.³²³ Although Coast Guard Academy numbers are significantly lower than the national average, even one sexual assault is unacceptable to the service and Academy.

³¹⁸ Perkins, H. Wesley. “Social Norms and the Prevention of Alcohol Misuse in Collegiate Contexts” *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 164-172.

³¹⁹ Dowdall, George W. and Henry Wechsler, “Studying College Alcohol Use: Widening the Lens, Sharpening the Focus” *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 14-22.

³²⁰ <http://www.healthypeople.gov/About/> Last Accessed 08 January 2007.

³²¹ See, for instance <http://www.virginia.edu/studenthealth/hp/norms/SNMFAQ.html>, Last accessed November 4, 2006.

³²² Abbey, Antonia. “Alcohol Related Sexual Assault: A Common Problem Among College Students” *Journal of Studies on Alcohol*, Supplement No. 14, March 2002, 118-128.

³²³ Ibid.

The previous section discussed the use and abuse of alcohol and substances. The Academy addresses the prevention of sexual assault through the Regulations for the Corps of Cadets³²⁴ and a Superintendent's Instruction of Reporting Sexual Assault³²⁵ that is supplemental to the Commandant Instruction regarding the same subject.³²⁶ The Academy's Sexual Harassment prevention policy is governed by Superintendent Instruction 5350.8.³²⁷ The Task Force found that the most recent Superintendent Instruction addressing Sexual Harassment was dated January 2, 1991.

Recommendation (CUL-18): *The Coast Guard Academy should revise its Sexual Harassment Policy. Additionally, it must update the policy to reflect recent promulgation, craft and present the policy pervasively and in easily understood language, and offer real- life case examples of unacceptable behavior.*

Recommendation (CUL-19): *The Coast Guard Academy should revise its Reporting Sexual Assault policy. It must: craft the written policy in easy to understand language; offer cadet real life examples of unacceptable behavior.*

- *Tie the policy to other recommendations within this report for clearly articulated consequences.*
- *To create a greater emphasis, both subjects (Sexual Harassment and Assault) should be included on the academic curriculum, as well as the Cadet Handbook or running light.*

While the Academy has authoritarian edicts to combat sexual assault and sexual harassment, the primary issue is one of cadet reluctance for acceptance and immersion in the Coast Guard Core Values which causes cadets to follow the lead of their peers rather than the guidance of Academy's officers, faculty and staff. As aptly stated by Kirby D. Schroeder a Norwich University graduate,

"An important part of the creed of military schools holds that the interaction between more senior and more junior cadets is what models and prepares them for commissioned life in the military, but this relationship also allows cadets to resist administrative efforts to alter the nature of the corps. When the administration tells students that drinking is not permitted, the cadets hear from upperclassmen that there is a long tradition of delicately circumventing this particular rule; when the administration tells students that sexual assault is unacceptable, they hear from juniors and seniors that having sex with passed-out girls is actually okay. In both of these cases the cadets often adopt, through a simple logic, older peers rather than administrators as the acceptable model for their own understanding of what it means to be a cadet."³²⁸

Exclusive administrative use of new carrot-and-stick strategies to change such sexual assault from the top down is likely to lead to a dead end. Educational seminars and

³²⁴ Regulations for the Corps of Cadets, Superintendent Instruction M5215.2H.

³²⁵ Reporting And Responding To Sexual Assault Involving A Cadet Or Officer Candidate, Superintendent Instruction 1754.1B.

³²⁶ Reporting And Responding To Rape And Sexual Assault Allegations, Commandant Instruction 1754.10B.

³²⁷ Policy Statement On Sexual Harassment, Superintendent Instruction 5350.8.

³²⁸ Schroeder, Kirby D. "Hard Corps: How to End Sexual Assault at Military Academies." *Washington Monthly*, October 2003, 19+. <http://www.questia.com/PM.qst?a=o&d=5002033851>.

training sessions designed to initiate changes in behavior from the bottom up will hit resistance from a cadet culture which has its own deeply held masculine values and an established and efficient system for transmitting them.³²⁹

Recommendation (CUL-20): *Institute a social norms marketing campaign to make Academy cadets aware of how their classmates actually view sexual assault -- as contrasted to what they perceive their own views to be.*

The Coast Guard Academy conducts annual, internally run, Climate Assessment survey, and has done so in some form since 1991. After conducting the 2005 Climate Assessment the Academy convened a committee to analyze the results and provide senior leadership with recommendations. However, the committee was unable to come to agreement about a recommendation for a strong statement of zero-tolerance against sexual assault, alcohol abuse, and ethnic discrimination. Faced with an impasse and a lack of commitment, support and participation by Academy department heads and senior leadership, the committee chairperson resigned and the committee abandoned its efforts and ceased to exist.

Recommendation (CUL-21): *Reconvene the Coast Guard Climate Committee with directed participation by Academy Senior Leadership and Department heads to ensure the goals of the committee are met.*

As previously noted in the discussion above regarding Diversity Challenges, the Academy invited the Defense Equal Opportunity Management Institute (DEOMI) to analyze the 2004 and 2005 Cadet Human Relations Climate Assessment Surveys. DEOMI noted that between 2004 and 2005 the number of actual or attempted rapes or assaults on women, as reported in the surveys, increased by 450 percent, from 4 to 18,³³⁰ half of which occurred on Academy grounds committed by a cadet. The number of rapes, attempted rapes or assaults reported in the 2006 Climate Assessment Survey increased to 23.³³¹ DEOMI further recommended the Academy conduct further research in the form of focus groups and interviews and to compare results with actual reported assaults. DEOMI incorporated the results on its findings regarding sexual assaults within its recommendation for the Academy to share the findings with cadets and research, specifically define, and promulgate No-Tolerance policies.

Recommendation (CUL-22): *Develop processes and procedures that incorporate information gathered from the annual Human Relations Cadet Climate Assessments and*

³²⁹ Ibid.

³³⁰ From 1993 to 2004 the Coast Guard Academy recorded 17 cases involving allegations of non-consensual sexual misconduct. Out of those cases, ten Cadets were disenrolled, two resigned, two graduated, two had administrative action taken, and one cadet was disciplined pursuant to a Court-Martial under the UCMJ. The Academy acknowledges that other cases, not documented, may have occurred.

³³¹ The numbers of reported rapes, attempted rapes or sexual assaults in the 2004-2006 Cadet Human Relations Climate Assessment Surveys may include incidents not officially reported to Coast Guard Academy officials, or law enforcement officials.

Occupational Assessment Survey data to increase cadet and faculty/staff awareness of the climate at the Coast Guard Academy and make improvements.

As listed in Recommendation (CUL-8): *Define a “Zero Tolerance” policy for discrimination, violence or harassment of any kind at the Coast Guard Academy.*

A detailed review of the 2006 Cadet Human Relations Climate Assessment Survey revealed that 33 percent of 3/c women cadets reported being subjected to gender discrimination or sexual harassment. The 3/c women reported most often being subjected to jokes and slurs about their gender. Most frequently, the harassment occurred in the field by another cadet or a civilian, with three quarters of all incidents occurring in the fleet, and not at the Academy.

Recommendation (CUL-24): *Communicate the results of Cadet Human Relations Climate Assessments with fleet unit Commanding Officers receiving cadets for temporary duty and emphasize the need for fleet unit personnel to reinforce Core Values concepts, especially the need for Respect of human dignity.*

Respect Program and Icons

The Coast Guard Academy Cadet Mission is to “...graduate young men and women ...with that high sense of honor, loyalty and obedience....worthy of the traditions of commissioned officers in the United States Coast Guard in the Service of their country and humanity.” Implicit in the Cadet Mission are two of the Coast Guard’s bedrock Core Values; Honor and Devotion to Duty. A quick tour around the Coast Guard Academy grounds reveals several icons relevant to the Cadet Mission. The Honor Wall at Academy Plaza signifies the pride and respect the Coast Guard holds for the Academy and long heritage. Inscribed on the Honor Wall is: “Who lives here Reveres Honor. Honors Duty.” The Henriques Room’s walls, within Hamilton Hall, are covered in murals depicting various dates and notable events in Coast Guard history relevant to honor and devotion to duty. The room is the center of Hamilton Hall and is used for formal and informal ceremonies. Three other prominent icons are the Cadet Quarterdeck which is a cordoned off area within Chase Hall,³³² the Captain Hopley Yeaton Memorial which memorializes the Coast Guard’s first commissioned officer and the Cuyahoga Memorial within the Officer Candidate School, created to memorialize 10 Coast Guardsmen and one Indonesian Naval Officer who lost their lives during CGC Cuyahoga’s (WIX-157) collision with another vessel and subsequent sinking on October 20, 1978. While there are many icons devoted to Honor and Devotion to Duty, conspicuously, there are few

³³² Inscribed within the Quarterdeck’s flooring is the inscription: “Who lives here Reveres Honor. Honors Duty.” Cadets are not allowed to step within the cordoned off area.

icons on the Academy grounds devoted to the third leg of the Core Value triad--Respect.³³³

Kirby D. Schroeder, a graduate of Norwich University related how Norwich cadets address Respect icons in a ritualistic proscription involving red bricks:

“Set flush into the ground directly in front of the entrance to the 1993 Kreitzberg Library on the Norwich campus is a small collection of red bricks arranged in a square. During Rook Week, the cadre of each freshman platoon bring their charges to these bricks and explain that they are all that is left of the Old South Barracks. The cadre also explain that no cadet entering or leaving the library ever deliberately steps on these bricks, and if one watches cadets leave or enter the library at any hour of the day or night, in a group or alone, Norwich cadets always step around the bricks. There are no consequences for failing to do so, no regulation protecting the bricks, and a cadet whose foot slips is unlikely to be chastised by his peers. All that protects the bricks is the fact that Norwich cadets are not supposed to step on them—and the behavior is self-reinforcing because it has become part of the definition of what it means to be a cadet at Norwich.

Respect for bricks is not the same as respect for [individuals], but the behavior suggests a crucial transferability.”³³⁴

To paraphrase Mr. Schroeder, cadets must be defined by the values they internalize and not be made to render mere lip service to them.

Recommendation (CUL-25): *Embed visual Respect icons within the Coast Guard Academy physical infrastructure similarly to the way Honor and Devotion to Duty icons are imbedded to provide cadets with day-to-day reminders of all three Coast Guard Core Values.*

Visual reminders of the Coast Guard Core Values must be reinforced by inspired leadership. As articulated earlier in this report, the role of the Coast Guard Academy, as it relates to developing professional officers, should lay in educating, training, and inspiring leaders of character, servants of the nation, defenders of the Constitution, and exemplars of its ideals. However, the ad hoc nature of the officer and leader development program at the Academy has led to Core Values not being understood or demonstrated consistently by cadets. While respect training is addressed to some extent at the Academy, this essential training is usually relegated to the early morning or early evening hours and is often subject to rescheduling or outright cancellation.

The Academy must refocus on Respect as a bedrock value of Officership—part of a troika³³⁵ with Honor and Devotion to Duty as the other components—in order to

³³³ Respect—We value our diverse workforce. We treat each other and those we serve with fairness, dignity, respect, and compassion. We encourage individual opportunity and growth. We encourage creativity through empowerment. We work as a team. Coast Guard Publication 1, 37.

³³⁴ Schroeder, Kirby D. "Hard Corps: How to End Sexual Assault at Military Academies." *Washington Monthly*, October 2003, 19+. <http://www.questia.com/PM.qst?a=o&d=5002033851>.

ensure a healthy command climate and focus more succinctly on character development. This refocusing lies in engendering a professional attitude that encompasses every aspect of cadet life and fosters the Corp's development of and commitment to intrinsic characteristics necessary to effectively leader our officers in the 21st century, including the fundamental principle that each individual intrinsically has infinite dignity and worth.

Recommendation (CUL-26): *Embed Respect within the Coast Guard Academy curriculum through the creation of a formalized Respect Program in order to inculcate Respect as a bedrock value consistent with Honor and Devotion to Duty.*

As an example, the USMA best articulates this concept in its Respect Standard Operating Procedure. The USMA's Respect Program serves as a tool to educate cadets on equal opportunity issues and impress upon them the value of diversity. The Respect Program contains a formal educational component as part of a 64-hour formal course of instruction over a cadet's four-year academic career, incorporates an informal and formal complaint process, incorporates a formal mentorship component, and incorporates a health and wellness component. To more comprehensively address issues involving respect the USMA also incorporates Sexual Assault Reporting and Alcohol/Substance Abuse within the Heath and Wellness component. If the Coast Guard Academy implements such a program it is important to ensure the program is a formal part of the expectations for all members of the faculty, staff and the rest of the Academy community. Part of the expectation of a cadet's inculcation of Respect is the cadet's comportment when interacting within the local civilian community. Cadet's reinforcement of Coast Guard Core Values should be a holistic endeavor incorporating all parties involved in cadet development.

Recommendation (CUL-27): *Dedicate a full-time staff member to orchestrate the sponsor family program throughout the year. The purpose of this would be to initiate a feedback loop which provides the Academy a long-term cultural and behavioral impression of cadet personal development of Officership concepts from sources beyond its gates.*

Health and Wellness/Safety

The Task Force found that the prevailing male-dominated sports-oriented culture is conducive to self-destructive eating disorders such as anorexia, bulimia, disordered eating, and compulsive over-exercise due to exaggerated emphasis on body image. The Coast Guard Academy has identified approximately 5 percent of the Corps of Cadet population as having some form of eating disorder. However, the Academy also believes many other cases exist but are not reported. This is because even after staff members have been made aware of situations and referred cadets to the clinic for screening, positive diagnoses has been difficult to attain without symptoms of

³³⁵ A team of three horses driven abreast. Dictionary.com Unabridged (v 1.1) Based on the Random House Unabridged Dictionary, © Random House, Inc. 2006. Last accessed January 8, 2007.

advanced stages of physical degeneration, such as rotting teeth, diminished organ functions, and obvious emaciation. Unless cadets acknowledge definitively that they suffer from an eating disorder, there is little that can be done to affirmatively intervene in the self-destructive behavior. While the Coast Guard is quite effective at identifying members (including cadets) who exceed allowable weight standards, the Coast Guard Academy (as well as the service at large) possesses no instrument to frequently and routinely screen members for proper nutrition and eating disorders or educate as to dangers.

Recommendation (CUL-28): Incorporate a nutritionist and strength coach within the Academy staff to address wellness issues related to proper strength training, healthy weight management, eating disorders, and facilitate self-help resources.

Recommendation (CUL-29): Incorporate eating disorders education within the Coast Guard Academy Health and Wellness program in order to facilitate and encourage awareness among cadets, staff and faculty about behaviors which suggest disorders to assist known sufferers.

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Conclusion

ALPHA STATION³³⁶

"The foregoing observations are not dictated by any doubt of the prudence of any of those to whom they are addressed. ... But, in an affair so delicate and important, it has been judged most advisable to listen to the suggestions of caution rather than of confidence, and to put all concerned on their guard against those sallies to which even good and prudent men are occasionally subject. It is not doubted that the instructions will be received as it ought to be, and will have its due effect."³³⁷

After thoroughly studying this report, principally chartered to review the climate and culture at the Coast Guard Academy and assess inculcation of Coast Guard Core Values during development of Leaders of Character, one may be surprised to find conclusions such as making “officership” the center of gravity³³⁸, a systemic strategic planning architecture, and broad recommendations regarding the governance of this national treasure among the numerous more tactical recommendations. Fair enough.

The Task Force made an exhaustive effort to uncover whatever misconduct or malfeasance may have represented the potential unseen iceberg below the recently reported events. What it found was a dearth of this behavior, and precious little that had not been duly investigated and adjudicated. The Task Force clearly encountered an accommodating, impassioned faculty and staff, energetic in their enterprise, and justly proud of their results. However, other findings of the Task Force were equally remarkable. The zeal of the participants has been largely absent a strategic Service focus—good for local effect, but perhaps wanting in strategic long-term effect and Service connection. There can, and should, be so much more in terms of focus and alignment of this unique national institution.

Many are familiar with the arcade game called Whac-A-Mole™.³³⁹ Several electronic versions now populate the internet due to its enduring popularity and elegant simplicity. The player, often in company with like-minded energetic revelers, wields a

³³⁶ When naval ships conduct tactical maneuvers in a task group they announce their arrival at their newly appointed station in the formation by simply broadcasting “ALPHA STATION.” This simple phrase belies the coordination of activity and skill brought to bear to complete the maneuver.

³³⁷ Alexander Hamilton in a letter to the newly created Revenue marine Service. July 4, 1791.

³³⁸ Center of gravity in this context is intended to refer to the source of strength, by which a military force binds itself. First used by Carl von Clausewitz in *On War*, the Joint Staff now defines centers of gravity as those “characteristics, capabilities, or locations from which a military force derives its freedom of action, physical strength, or will to fight.” Joint Publication 3-0, p. GL-4.

³³⁹ <http://whacamole.com/>, accessed on January 7, 2007.

cumbersome, padded club and awaits a group of fake vermin popping up in random fashion through a series of scattered holes. Success is determined by the percentage of “moles” that can be whacked before they pop back into their holes. The result is almost always entertaining, especially for the onlookers, but particularly exciting and frustrating for the “whacker.” Occasionally, the experience may bring a sense of pride and accomplishment, though that is usually short-lived. At the end of the session, and the end of the day, week, month or year, the moles, their holes and the associated subterranean works remain unfazed, waiting to tease another who dares to test their prowess. The name of the game has become popular shorthand in the military for an energetic, well-intended and locally focused approach to a problem that lacks permanent effect or strategic intent.

Regardless whether or not one believes that various levels of the Coast Guard engaged a “Whac-A-Mole™” approach to the perennial issues at the Academy over the years, there is a nagging persistence to the displayed symptoms. True, the comparison of cadets to their cohort groups shows markedly better statistics for behavior befitting a good citizen. Indeed, the Academy as an institution compares very favorably to its cohorts in this regard as well. But, mindful of the quote from Thomas Paine at the front of this report, the Coast Guard is not a Service to be content with comparative results.

Through a lens brightly ... Two Million Officership Moments

The Commandant is the Commandant 24 hours a day, everyday. Each graduate, while employed as a commissioned officer in the Coast Guard, is an officer 24 hours a day, everyday. Each moment in every day of every week matters and is reflective of the appropriately high expectation of these particular public servants.

200 weeks = 120,960,000 seconds = ~ 2,000,000 officership opportunities

Throughout the months spent at the Academy, the team had many interactions with cadets, faculty, staff and others that impacted and formed the body of their work. Each exchange, even a 10 second greeting or observation in passing, served to form opinions that helped confirm or refute findings because each was seen through a lens focused on the mandate of the charter. Seen as opportunity, even the briefest exchange with every cadet has the potential to be a formative experience and each one that is inconsistent with a focus on officership is, at best, an opportunity lost in a time-constrained program. At worst, it is directly counterproductive to the essence of the Academy and the development of the affected cadet. Some of these moments are highly structured. Most are not. Many are magical or transformational, and one never knows for sure whether those will come in the structured moments or in a random encounter.

The requirement then, seems clear: each of these opportunities is best utilized when viewed through a lens focused on officership. If enabled, this should help identify, and provide opportunity to correct if possible, traits and behaviors that may not be reflected in the Military Precedence List system of measurement. This is especially true for those who are book-smart enough, and lucky or careful enough, to avoid detection by the current system of measurement and may not be the best candidates for commissioning. It is about focus -- a shared, sustained and deliberate focus on the manners of the profession -- on officership.

Areas for Potential Further Study

Like the armchair sailor secure by a warm fireplace who criticizes the tactics and execution of the sailors in the tempest giving their all to accomplish the mission at hand, one must be mindful of the significant efforts and accomplishments when offering suggestions. With that in mind, the Task Force found an atrophied collective focus on developing officers (who are leaders of character) to serve in an increasingly complex Coast Guard as a principle shortfall. The list of recommendations identified through the gap analysis and synthesized in the Executive Summary addresses this primary finding. Additionally, the following thoughts on possible further study impact the governance of the Academy but were beyond the scope of, or time allotted to, the Task Force.

- Develop a stable, focused list (no more than 10) of “key attributes” for future CG officers.
- Review funding streams for the Academy, to include consideration of a discreet Congressional line item.
- Explore options to make time available within the 200 week constraint of the existing undergraduate experience. Perhaps to include:
 - Before. Explore additional options to start the process with a more prepared or qualified candidate to relieve pressure on the critical paths of the 200 week program.
 - During. Review the job requirements levied on the Assistant Superintendent in light of effort required to adequately oversee cadet development. Explore the potential of a peer to the Assistant Superintendent such as a Provost or Integrator who is responsible to integrate the entire cadet program with greater precision.
 - After. Consider post-commissioning strands professional development (afloat, shore ops, aviation, port security, etc.) — 6-18 months—to accomplish inculcation of requisite expertise beyond core competencies.

- Review and revise Coast Guard and Academy policies on alcohol, sexual harassment and sexual assault to promote a combination of compliance and development appropriate to the age group.³⁴⁰
- Conduct cyclical review (10 years? 20 years?) of generational studies to benchmark programs as entering argument in strategic planning.
- Revisit the role of the Leadership Development Center in cadet development.

Thank you

There is so much more to the Academy than the guided tour or press clippings about misconduct or sports. Left without the complete picture, one might easily be positioned to let the superficial pound of bad eclipse the underlying ton of good. The Task Force found the Academy to be fundamentally good, and found it can be fundamentally better.

³⁴⁰ As an example, alcohol abuse persists as a significant issue in the Coast Guard that appears to have reached a plateau for a compliance system.

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Coast Guard Training Commands

- Training Center Cape May
- Training Center Yorktown
- Aviation Technical Training Center Elizabeth City

Coast Guard Cutters

- CGC BEAR
- CGC FORWARD
- CGC VIGOROUS
- CGC DEPENDABLE
- CGC EAGLE

Sectors

- Sector Hampton Roads
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Glossary/Acronyms:

Acronyms:

1/C – First Class Cadet, a Senior

2/C – Second Class Cadet, a Junior

3/C – Third Class Cadet, a Sophomore

4/C – Fourth Class Cadet, a Freshman

ANSO – Association of Naval Service Officers

BOT – Board of Trustees

BOV – Board of Visitors

CASA – Cadets Against Sexual Assault

CC – Company Chiefs

CEO Program - Career Entry-level Opportunity Program

CG-00 – Commandant of the United States Coast Guard

CG-01 – Chief of Staff of the United States Coast Guard

CG-1 – Assistant Commandant for Human Resources

CGA – Coast Guard Academy

CG HQ – Coast Guard Headquarters

CGPC – Coast Guard Personnel Command

CGRIT – Coast Guard Recruiting Initiative for the Twenty-first century

CGWLA - Coast Guard Women's Leadership Association

CO – Company Officer (not to be confused with Commanding Officer)

COMDT - Commandant of the United States Coast Guard

CPO – Chief Petty Officer, E-7. Enlisted member at middle management level

DEOMI – Defense Equal Opportunity Management Institute

ECAC – Eastern College Athletic Conference

EAP - Employee Assistance Program

GOLD – Guide to Officer and Leader Development

HPT – Human Performance Technology

HS – High School

ICSA – Inter-Collegiate Sailing Association

JO – Junior Officer

JONA – Junior Officer Needs Assessment

LDC – Leadership Development Center

MACC-SCPME-R – USMA Standard Operating Procedure

MAST Academy – Maritime and Science Technology High School with Coast Guard ROTC-like program

MCPO - Master Chief Petty Officer, E-9. Top level enlisted member

MESA - Math Engineering and Science and Achievement

MMA – Merchant Marine Academy

MPL – Military Precedence List

NAFA employees – Non-Appropriated Funds Activity Employees

NAPS – Naval Academy Preparatory School

NEWMAC – New England Women’s and Men’s Athletic Conference

OAS – Organizational Assessment Survey

OCS – Officer Candidate School. Students can be referred to as OCs, Officer Candidates.

OPSUM – Operational Summary

ORGMAN – Organizational Manual

PCTS - Permanent Commissioned Teaching Staff

PERSMAN – Personnel Manual

PERI Study – Princeton Economic Research, Inc., 1992

SCPO - Senior Chief Petty Officer, E-8. Senior enlisted member

SME – Subject Matter Expert

STEM – Science, Technology, Engineering, and Math

Glossary:

Board of Trustees – An oversight body consisting of flag officers, the MCPO-CG and other executives as detailed.

Cadets – A general term for any of the Coast Guard Academy students regardless of year.

CG e-mentoring – An online mentoring program for Coast Guard members.

Chain of Command - The line of authority and responsibility along which orders are passed.

Company Chief – A senior enlisted member consisting of Chief or Senior Chief Petty Officers, E-7 and E-8 respectively, assigned to one of eight companies to act as mentor and advocate outside a cadet's normal chain of command.

Company Officers – A junior officer, O-3 or O-4, responsible for mentoring and guiding the Cadet leaders on a day-to-day basis, as well as ensuring the leadership development of all their Cadets.

Core Values – Honor, Respect, Devotion to Duty. A set of values explained in the early pages of this report by which men and women of the U.S. Coast Guard live their lives.

Critical Mass – The tipping point where the diversity of the Academy staff, faculty and Corps is self sustaining.

e-Bagging – The act of awarding demerits via email.

Honor Coin – (or challenge coin) Formally or informally recognizes one's success and professionalism. The coin represents the symbols of Military Values: Honor, Respect, Duty, Integrity, Selfless Service, Excellence, Loyalty, and Courage.

Institute for Leadership – The three chairs of the Institute are Leadership, Ethics and Change Management.

Millennial Generation – American youth born between 1982 and 2000. The earliest members of this generation graduated high school about the year 2000.

Officership – Officership is the skill, expertise and personal integrity required as a military professional, leader of character, servant of the nation, defender of the Constitution and exemplar of its ideals.

Ombudsman – Assists cadets by providing information about work/life services, sources of assistance, Coast Guard and unit policies, activities of interest and other information.

Restricted Reporting – A discrete level of reporting sexual assault that enables the victim to receive medical attention, but the name of the perpetrator is not known or prosecuted.

SLIPS-Style Course – Senior Leadership Principles and Skills

Superintendent – A senior Coast Guard officer charged with, among other things, providing broad based undergraduate curricula leading to a Bachelor of Science Degree and professional training necessary for a cadet to assume duties as a junior deck officer in today's Coast Guard.

“Tool” - used by cadets is a pejorative term for someone they perceive enforces regulations to excess. As defined by one cadet when specifically asked, “Tool-the trusty hammer of accountability that is always around to point out your failings as a cadet/Coast Guardsman/woman and never fails to utilize the power drill of restriction.”

Unrestricted Reporting – A level of reporting sexual assault where both the victim's and the accused's identity are revealed for the purposes of potential prosecution.

Appendices

APPENDIX A : TASK FORCE CHARTER

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APPENDIX C: LITERATURE REVIEW (SEXUAL HARASSMENT/ASSUALT)

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GOVERNANCE ROOT CAUSE ANALYSIS

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CLIMATE ROOT CAUSE ANALYSIS

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APPENDIX W: ANALYSIS MODEL

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