

# PRINCIPLES OF PREVENTION

## Harassment and Discriminatory Harassment



### Strategic Components

#### Risk Domains

A specific area or level where the identification of key risk and protective factors can influence preventative measures or actions to reduce or eliminate problematic behaviors.

#### Risk Factors

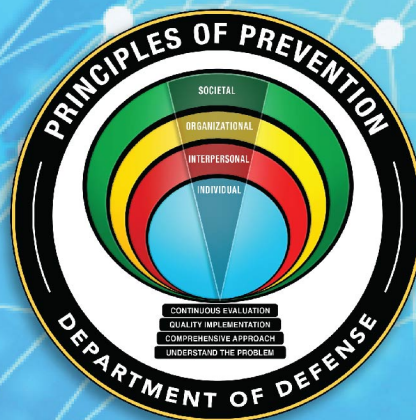
Variables associated with higher probability of a negative situation or outcome.

#### Protective Factors

Conditions or attributes within the individuals, communities, and societies that migrate or eliminate risk of a negative situation or outcome.



Principles of Prevention = Combat Readiness



# Harassment Prevention





# PRINCIPLES OF PREVENTION

## Harassment and Discriminatory Harassment: *Risk and Protective Factors*

### Overview

The Principles of Prevention is a comprehensive strategy that supports DoD Instruction 1020.03, Harassment Prevention and Response in the Armed Forces. This document orients leaders to the components of prevention and their linkage to Harassment. The Instruction defines harassment and discriminatory harassment as:

Behavior that is unwelcome or offensive to a reasonable person, whether oral, written, or physical, that creates an intimidating, hostile, or offensive environment. Harassment can occur through electronic communications, including social media, and other forms of communication, and in person. Harassment may include offensive jokes, epithets, ridicule or mockery, insults or put-downs, displays of offensive objects or imagery, stereotyping, intimidating acts, veiled threats of violence, threatening or provoking remarks, racial or other slurs, derogatory remarks about a person's accents, or displays of racially offensive symbols. Activities or actions undertaken for a proper military or governmental purpose, such as combat survival training, are not considered harassment. Discriminatory Harassment—

A form of harassment that is unwelcome conduct based on race, color, religion, sex (including gender identity), national origin, or sexual orientation.

The Principles of Prevention (PoP) is a model which aids leaders in understanding, responding to, and preventing harassment across four interrelated risk domains (individual, interpersonal, organizational, and societal). Within each risk domain there are characteristics (risk and protective factors) which, if identified, can assist in developing prevention methods to reduce or eliminate potential problematic behaviors. Using relevant tools, leaders and unit members should attempt to identify these areas, and apply this knowledge to develop proactive preventative measures for their organizational teammates. The description of Risk/Protective Factor include:

#### 1. Individual

This domain considers biological and personal history, to include age, education, income, substance use, or history of abuse, etc. Prevention strategies would focus on providing access to resources such as education and life-skills training, would promote positive attitudes, beliefs, and behaviors.

#### 2. Interpersonal

This domain examines an individual's close relationships and social circles like partners, families, work colleagues, educational peers, etc. Prevention strategies would be designed to promote active group/bystander intervention, mentoring programs, or support networks or resources for at-risk individuals.

#### 3. Organizational

This domain focuses on larger settings like command climates, organizational traditions, exclusive groups, and unit environments. Prevention strategies would affect the social and physical environments. For example, there would be a focus on promoting inclusive environments through cross-cultural competence, reinforcing unit values and expectations and improving communication and accountability. It is also important to improving leader presence, involvement, and buy-in.

#### 4. Societal

This domain emphasizes broad cultural factors that affect climate like media influences, differences in norms and standards, large social movements, etc. Prevention strategies would be positive changes to high-level policies and laws. Within the DoD, it may be difficult for leadership to affect meaningful change at the societal-level, but leadership must remain aware of societal-level effects and their impact on their peers and subordinates.

### Relevant Definitions

**Risk Domain-** A specific area or level where the identification of key risk and protective factors can influence preventative measures or actions to reduce or eliminate problematic behaviors.

**Risk Factor-** Variable associated with higher probability of a negative situation or outcome.

**Protective Factor-** Condition or attribute within the individuals, communities, and societies that mitigate or eliminate risk of a negative situation or outcome.

**Common Risk Factors that can influence or be found in many Harassment and Discriminatory Harassment situations.**

HARASSMENT and DISCRIMINATORY HARASSMENT RISK FACTORS				
<b>RISK DOMAINS</b>	INDIVIDUAL – TARGET <sup>1</sup>		INDIVIDUAL - OFFENDER	
	<ul style="list-style-type: none"> <li>• Demographic                             <ul style="list-style-type: none"> <li>○ Age—younger individuals are more susceptible</li> <li>○ Gender &amp; Race/Ethnicity-minority/multiracial women are most likely to be a target</li> <li>○ LGBTQ</li> </ul> </li> <li>• Socioeconomic Status                             <ul style="list-style-type: none"> <li>○ Unskilled Workers and Laborers</li> </ul> </li> <li>• Personality Traits                             <ul style="list-style-type: none"> <li>○ More Submissive/Dependent/Passive</li> <li>○ Reserved &amp; Quiet</li> <li>○ Low Self-Esteem</li> <li>○ Conflict Avoidance</li> <li>○ Overachiever</li> <li>○ Unwillingness or Unable to Integrate into Society</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>• Personality traits<sup>2</sup> <ul style="list-style-type: none"> <li>○ Lack of self-control</li> <li>○ Low empathy and perspective taking*</li> <li>○ Negative Affectivity*</li> <li>○ Unrealistically high self-esteem</li> </ul> </li> <li>• Personal beliefs<sup>3</sup> <ul style="list-style-type: none"> <li>○ Gender inferiority</li> <li>○ Traditional gender roles</li> </ul> </li> </ul>	
	INTERPERSONAL		ORGANIZATIONAL	
	<ul style="list-style-type: none"> <li>• Stressful life events                             <ul style="list-style-type: none"> <li>○ Divorce, separation, death, etc.</li> </ul> </li> <li>• Low social support</li> <li>• Job strain &amp; anxiety about future with organization</li> <li>• Low decision latitude*</li> </ul>		<ul style="list-style-type: none"> <li>• Organizational environment                             <ul style="list-style-type: none"> <li>○ High demand environment</li> <li>○ Effort-reward imbalance</li> <li>○ Outdated or vague policies</li> <li>○ Negative communication atmosphere</li> <li>○ Low recognition</li> <li>○ Subject of conflict is taboo</li> <li>○ Exclusive units</li> </ul> </li> </ul>	
		SOCIETAL		
		<ul style="list-style-type: none"> <li>• Media portrayals of harassment or discrimination as acceptable</li> <li>• Societal norms that maintains implicit superiority or inferiority qualities</li> </ul>		

**\* Definitions**

**Negative Affectivity:** "negative affect" involves experiencing the world in a more negative way, feeling negative emotions and more negativity in relationships and surroundings.” (Elizabeth Scott, 2018)<sup>6</sup>

**Perspective-taking** is the process by which one attempts to view a situation through someone else’s eyes and suspend their own point of view. (Axel, 2016)<sup>7</sup>

**Low Decision Latitude** is the lack of authority to make important decisions.<sup>8</sup>

<sup>1</sup> Plimmer, G., Proctor-Thomson, S., Donnelly, N., & Sim, D. (2017). The mistreatment of public service workers: Identifying key risk and protective factors. *Public Money & Management*, 37(5), 333-340.

<sup>2</sup> Pilch, I., & Turska, E. Relationships between Machiavellianism, organizational culture, and workplace bullying: Emotional abuse from the target’s and perpetrator’s perspective. *Journal of Business Ethics*, 128, 83-93

<sup>3</sup> Bobbit-Zeher, D. (2011). Gender discrimination at work: Connecting gender stereotypes, institutional policies, and gender composition of workplace. *Gender and Society*, 25(6), 764-786.

**Below are common Protective Factors that can influence or preclude Harassment and Discriminatory Harassment situations.**

HARASSMENT and DISCRIMINATORY HARASSMENT PROTECTIVE FACTORS				
<b>RISK DOMAINS</b>	INDIVIDUAL – TARGET <sup>4</sup>		INDIVIDUAL – OFFENDER	
	<ul style="list-style-type: none"> <li>• Education                             <ul style="list-style-type: none"> <li>○ Higher level of education</li> </ul> </li> <li>• Employment                             <ul style="list-style-type: none"> <li>○ Senior or middle management</li> <li>○ Higher income</li> </ul> </li> <li>• Values                             <ul style="list-style-type: none"> <li>○ Personal goals align with organization</li> </ul> </li> </ul>		<ul style="list-style-type: none"> <li>• Inclusive behaviors</li> <li>• Cross-Cultural Competence</li> <li>• Willingness to seek help (without fear of retaliation)</li> <li>• Willingness to admit when wrong</li> </ul>	
	INTERPERSONAL	ORGANIZATIONAL		SOCIETAL
	<ul style="list-style-type: none"> <li>• Job control                             <ul style="list-style-type: none"> <li>○ Influence over job</li> <li>○ Ability to control workload</li> <li>○ Open communication with managers/supervisors</li> <li>○ Clearly defined career path</li> <li>○ Flexibility in working hours</li> </ul> </li> <li>• Life partner                             <ul style="list-style-type: none"> <li>○ Inter-married with natives<sup>5</sup></li> </ul> </li> <li>• Inclusive, NOT cohesion (exclusive groups are very cohesive)</li> <li>• Focus groups</li> </ul>	<ul style="list-style-type: none"> <li>• Leaders create a climate where members feel comfortable reporting discrimination</li> <li>• Commanders investigate allegations of discrimination in a timely manner</li> <li>• Organization educates members how to recognize harassment; and intervention strategies if observed</li> <li>• Unit conducts harassment prevention training to increase open-mindedness and cultural awareness</li> <li>• Commanders provide anonymous channels to report complaints</li> <li>• Fair promotions/recognition</li> </ul>		<ul style="list-style-type: none"> <li>• Invite local organizations to participate in cultural events to raise awareness for military and civilian communities</li> <li>• Publish community events and promote participation</li> </ul>

The above non-inclusive list of conditions or attributes are areas where prevention strategies could be potentially enhanced, reinforced, or developed, and then incorporated to positively address problematic indicators or behaviors in regards to general harassment or discriminatory harassment.

<sup>4</sup> Plimmer, G., Proctor-Thomson, S., Donnelly, N., & Sim, D. (2017). The mistreatment of public service workers: Identifying key risk and protective factors. *Public Money & Management*, 37(5), 333-340.

<sup>5</sup> Plimmer, G., Proctor-Thomson, S., Donnelly, N., & Sim, D. (2017). The mistreatment of public service workers: Identifying key risk and protective factors. *Public Money & Management*, 37(5), 333-340.

<sup>6</sup> Elizabeth Scott, M. (2018 October 24). Positive Affect and Stress: Exactly How Your Good Can Combat Stress. Retrieved from <https://www.verywellmind.com/positive-affect-and-stress-3144628>.

<sup>7</sup> Axel. (2016, Aug 31). *Medium*. <https://medium.com/@axe1/perspective-taking-empathy-and-social-media-90224daacedb>

<sup>8</sup> Farlex Financial Dictionary. (n.d.). Low Decision Latitude. Retrieved from <https://financial-dictionary.thefreedictionary.com/Low+Decision+Latitude>.

# IT'S ALL ABOUT CONDUCT

**Let's Talk Strategy!** After identifying and analyzing risk and protective factors in a given situation, leaders should consider what proactive measures they could develop to address concerns, or reinforce positive behaviors, in an attempt to reduce or prevent future occurrences. Prevention programs must be realistic and focus on attainable goals from assessments and consultations. Strategies include policies and programs divided into three categories: primary, secondary, and tertiary.

- Primary prevention strategies transpire prior to problematic behaviors
- Secondary prevention strategies respond immediately after the occurrence
- Tertiary prevention strategies are to mitigate the lasting effects of problematic behaviors and prevent future occurrences

## Examples of Primary Prevention Strategies

- Conducting harassment (including discriminatory harassment) prevention training. Training must be tailored, and facilitated to the targeted audience. Training should focus on:
  - Developing life skills and coping mechanisms
  - Developing cross-cultural competence (e.g., host multi-culture days to expand awareness)
  - Identifying discrimination and harassment
  - Creating an atmosphere of inclusion
  - Knowing individual, leader, and supervisor responsibilities (inc. accountability of self/peers)
  - Demonstrating bystander intervention techniques
  - Understanding reporting procedures, and policies and regulations
  - Knowing reporting options for retaliation and reprisal
  - Displaying and discussing policies to prevent harassment (including discriminatory harassment)
- Monitor trends (e.g., monthly, quarterly), identify patterns and establish a plan of action to prevent harassment behaviors
- Mandate leader presence in all workplace settings
- Conduct unit activities that build group cohesion, trust, and respect
- Invite local minority leaders to discuss the historical background of discrimination towards their group (race, religion, national origin, gender)
- Conduct required climate assessments (per Service requirements); identify weaknesses, develop and implement proactive measures

## Examples of Secondary Prevention Strategies

- Take all allegations of discrimination (including discriminatory harassment) seriously and take appropriate actions to resolve allegations
- Keep leadership informed of complaints (provide updates as requested/required)
- Remain neutral and professional; ensure all members are treated with dignity and respect throughout the investigative process
- Identify why the complaint occurred (e.g., lack of policy, education, enforcement of the rules)

- Resolve complaints expeditiously using unbiased processes
- Conduct reinforcement training to ensure harassment behaviors stopped
- Provide resources and support to all involved members (e.g., spiritual, medical, legal) in any allegation/complaint
- Separate non-conforming members from military Service as needed/required

### **Examples of Tertiary Prevention Strategies**

- Develop and reinforce strong Service Ethos and Values; reinforce at multiple opportunities.
- Establish inclusive environments
- Conduct follow-up assessments on complaints within 45-60 days after complaint resolution to ensure the complaint is resolved, to ensure no retaliation has occurred
- Using lessons learned, develop training to prevent potential harassment and discriminatory behaviors
- Review current policies and revise as needed
- Ensure required climate assessments are completed (based on Service requirements/or as directed)
- Work with community members to leverage resources available for Service, Civilian and Family Members
- Monitor complaint trends and address evolving issues
- Establish leader buy-in and high leader presence