

# Appendix B: DoD Assessment of the United States Naval Academy



# Appendix B: U.S. Naval Academy Assessment



In the following section, the Department assesses all of the U.S. Naval Academy's (USNA) pending action items entering into Academic Program Year (APY) 2015-2016. These action items include Secretary of Defense initiatives, suggested enhancements identified in the previous APY 14-15 Report, and previously identified action items from prior years. The Department will assess the effectiveness of the Academy's sexual harassment and sexual assault prevention and response program and determine compliance with policy during an on-site assessment in the next APY.

Of USNA's 24 pending items, 20 were completed this year.

- Four items are in progress:
  - One of the two Secretary of Defense Initiatives remains in progress.
  - One of the seven action items identified for all three Military Service Academies (MSA) in the APY 14-15 Report remains in progress.
  - Two of the six action items specific to USNA from the APY 14-15 and earlier reports remain in progress.
  - None of the nine suggested enhancements from the APY 14-15 Report remain in progress.

## Implementation Progress: Secretary of Defense Initiatives Common for all MSAs

The following section provides the actions that the USNA has taken to implement Secretary of Defense initiatives. The initiatives listed below were considered "in progress" by the Department in the APY 14-15 Report. The Department found sufficient evidence to close one initiative, with one remaining open.

### Targeted Interventions

**Requirement:** In 2014, the *Sexual Assault and Gender Relations (SAGR)* Survey found that sophomore women at all three MSAs indicated experiencing higher rates of past-year sexual assault than the other three class years. Consequently, the Secretary of Defense directed the Academies to develop and conduct specific prevention programs and initiatives for cadets and midshipmen at the conclusion of their first academic year. These programs were to address professional relationship expectations and the factors believed to be behind the higher rates of sexual assault experienced by cadets and midshipmen in their "Third Class" (sophomore) year.

#### Secretary of Defense Initiatives USNA Progress at a Glance

		Status
Targeted Interventions	●	Complete
Improving Sexual Assault Reporting	→	In Progress
● Complete    → In Progress    ✖ No Progress		

**USNA Action:** As a result of previous reports indicating an increased risk to rising Third Class midshipmen prior to their first summer cruise experience<sup>i</sup>, USNA provides a targeted Pre-Cruise Sexual Assault Prevention and Response (SAPR) brief by the SAPR Program Manager discussing professional behavior expectations, life on the ship, and how to access resources while on cruise.

Additionally, the Sexual Harassment and Assault Prevention and Education (SHAPE) curriculum has been modified to address the identified vulnerabilities of midshipmen at the end of their Plebe year.

**Status:** Complete.

### Improving Sexual Assault Reporting

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**Requirement:** Academies were to assess their individual Academy climates and develop a plan to promote greater reporting of sexual assault by cadets and midshipmen.

**USNA Action:** USNA saw an increase in reports of sexual assault for APY 15-16, however the gap between reporting and estimated prevalence remains. Driving the delta between estimated prevalence and reporting to zero remains one of USNA's top priorities. The Academy relies heavily on the results of both the Defense Equal Opportunity Management Institute (DEOMI) *Military Service Academy Organizational Climate Survey (MAOCS)* given in the fall and the annual SAGR Survey and Focus Groups conducted in the spring. Additional data gathering efforts from two projects include the 4/C SHAPE survey taken by Plebes during Plebe Summer, and focus groups with 1/C SHAPE peer educators. The goal is to assess the impact of the program on individuals as they progress from I-Day to Commissioning Day.

**Status:** In Progress. The Department considers this to be in progress while USNA is analyzing the survey results to guide its future efforts.

# Assessment of Action Items Common to All MSAs in the APY 14-15 Report

The Department assessed USNA’s efforts to complete the action items identified for all three MSAs in the APY 14-15 Report. Action items are initiatives the MSAs were to adopt to address areas of improvement as a result of findings from the Department’s on-site assessment. The Department found sufficient evidence to close six action items, with one remaining open.

## APY 14-15 Action Items Common to all MSAs USNA Progress at a Glance

	Status
Superintendents Directly Supervise EO Office and Sexual Harassment Training/Education Efforts	● Complete
Strengthen Sexual Harassment Prevention and Response Efforts	➔ In Progress
Continue Efforts to Improve Sexual Assault Reporting by Cadets and Midshipmen	● Complete
Make Available and Require use of Government-Provided Means to Communicate With and Transport Victims to the Hospital and Other Appointments	● Complete
Enhance Feedback to Cadets and Midshipmen by Using Case Studies that Represent the Broad Range of SAPR Case Outcomes	● Complete
Provide Military Officers, in the Chain of Command Overseeing Cadets and Midshipmen, a Clear Case Status During CMG Meetings to Fulfill Their Responsibility of Updating the Victim	● Complete
Adapt the Department’s SAPR Metrics to Create Academy Program Metrics	● Complete
● Complete   ➔ In Progress   ✖ No Progress	

## Superintendents Directly Supervise EO Office and Sexual Harassment Training/Education Efforts

**Requirement:** Academy Superintendents were to provide more direct supervision over their Equal Opportunity (EO) offices. More attention from the Superintendents will emphasize the important role that the sexual harassment programs play in establishing climates of dignity and respect at the Academies.

**USNA Action:** The SAPR Program Manager, Lead Sexual Assault Response Coordinator (SARC), and the Command Climate Specialist report directly to the Superintendent and are part of the Superintendent’s Cost Center. The Superintendent has an EO Officer who directly reports to him; meanwhile, the midshipmen Command Managed Equal Opportunity (CMEO) program remains under the Office of the Commandant who reports directly to the Superintendent. Having the CMEO under the Commandant gives the position greater visibility with midshipmen. Working with the Command Climate Specialist and SAPR Office, the Commandant’s CMEO continues to lead the sexual harassment training and education efforts for the midshipmen.

**Status:** Complete.

## Strengthen Sexual Harassment Prevention and Response Efforts

**Requirement:** The MSAs were to review their sexual assault prevention efforts, including training, to find appropriate venues to integrate sexual harassment prevention.

**USNA Action:** Sexual harassment curriculum review is in progress. With assistance from the Command Climate Specialist, a 4-year training plan will be developed and implemented over the next year to provide the most effective training.

**Status:** **In Progress.** The Department considers this to be in progress until the sexual harassment curriculum has been approved and implemented, and there is evidence that it aligns with the continuum of harm and sexual assault prevention methods.

### **Continue Efforts to Improve Sexual Assault Reporting by Cadets and Midshipmen**

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**Requirement:** The MSAs were to continue developing plans to further increase cadet and midshipmen reporting.

**USNA Action:** USNA remains committed to improving sexual assault reporting by all personnel. Efforts to improve sexual assault reporting by midshipmen are enveloped in the SAPR Training and Education Action Plan that was last approved in July 2016. Goals, and objectives to achieve them, are outlined in the plan.

**Status:** **Complete.**

### **Make Available and Require use of Government-Provided Means to Communicate With and Transport Victims to the Hospital and Other Appointments**

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**Requirement:** All SARCs and SAPR Victim Advocates (VA) were to be provided with and required to use government means to communicate with and transport victims in order to maintain the level of professional behavior that is outlined in the Defense Sexual Assault Advocate Certification Program (D-SAACP) Code of Ethics.

**USNA Action:** Access to government vehicles for victim transportation remains limited. There is no provision for the SAPR Response Office to have 24-hour access to government transportation. The current policy requires a 72-hour lead time, making immediate transport of a victim to an off-site medical unit by government vehicle unfeasible.

SARCs and SAPR VAs use government-issued phones, office phones, and official email exclusively to communicate with victims. Only those referenced numbers and accounts are shared with response personnel providing care. All SARCs and SAPR VAs attach the helpline number and government assigned contact information to their communications.

**Status:** **Complete.** USNA worked to address vehicle availability, but the issue may only be resolved by addressing Navy policy. The Department will conduct follow on with the Navy on this matter.

### **Enhance Feedback to Cadets and Midshipmen by Using Case Studies that Represent the Broad Range of SAPR Case Outcomes**

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**Requirement:** The MSAs were to discuss possible outcomes to allegations, in order to set reasonable expectations of the strengths and limitations of the military justice system and assist with meeting requirement outlines in Enclosure 10 of Department of Defense Instruction (DoDI) 6495.02.

**USNA Action:** The SHAPE Program inserts case studies throughout the curriculum and culminates in the Capstone Program by putting midshipmen into leadership scenarios that force them to deal with leadership challenges that include responding to incidents of sexual harassment and sexual assault within their divisions. The program continues to evolve as USNA updates the lessons to include more emphasis on male victims and moves to incorporate more

scenario-driven case studies dealing with the impacts of social media, and other topics from the Navy's Chart the Course training that rolled out last January.

**Status:** Complete.

### **Provide Military Officers, in the Chain of Command Overseeing Cadets and Midshipmen, a Clear Case Status During CMG Meetings to Fulfill Their Responsibility of Updating the Victim**

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**Requirement:** Military officers in the chain of command overseeing cadets and midshipmen were to receive a clear, concise case status update at the Case Management Group (CMG) to share with victims. The victim's commander must be invited to the CMGs and receive updates from all attendees, whenever possible.

**USNA Action:** Victims choose a military officer or senior enlisted leader in their chain of command to attend all CMG meetings to

provide the Superintendent an updated status report on how victims are doing personally and professionally. Areas where they may be struggling are identified and any pending case status updates are briefed.

**Status:** Complete.

### **Adapt the Department's SAPR Metrics to Create Academy Program Metrics**

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**Requirement:** The MSAs were to adapt the Department of Defense's (DoD) SAPR metrics as part of a larger metrics effort to capture and communicate progress in addressing both sexual assault and sexual harassment.

**USNA Action:** USNA has adapted most of the Department's SAPR metrics and non-metrics to assess efforts and modify curriculum and processes in both prevention and response efforts.

**Status:** Complete.



# Assessment of Action Items Specific to USNA from Previous Reports

The Department assessed the action items identified specifically for USNA in the APY 14-15 Report and the open action items USNA had from prior assessments and found sufficient evidence to close four action items, with two remaining open.

Previous Action Items USNA Progress at a Glance	
	Status
Tailor Prevention of Sexual Harassment Training to Each Class Year	→ In Progress
Share Case Outcomes with the SARC's	● Complete
Ensure Restricted Report SAFE Kits Completed at Mercy Hospital are Retrieved and Stored by NCIS IAW Navy Policy	● Complete
Identify More Effective Accountability Means for Permanent Party Sexual Harassment Complaints	● Complete
Ensure Military Officers in the Chain of Command Overseeing Midshipmen Companies Provide Victims with Case Status Updates	● Complete
Develop and Execute Additional Metrics for SAPR Program	→ In Progress
● Complete    → In Progress    ✖ No Progress	

## Tailor Prevention of Sexual Harassment Training to Each Class Year

**Requirement:** USNA was to develop an iterative sexual harassment training program, as the chances of message fatigue are lessened when midshipmen learn new material throughout their four years at the Academy.

**USNA Action:** Developing sexual harassment training tailored to individual

classes is ongoing. Expected completion and implementation of an updated curriculum is December 2016.

**Status:** **In Progress.** The Department considers this to be in progress and looks forward to reviewing the iterative sexual harassment curriculum during the next on-site assessment.

## Share Case Outcomes with the SARC's

**Requirement:** The Superintendent's Legal Advisor and/or the Naval Criminal Investigative Service (NCIS) Resident Agent are to make the SARC's aware of all final case dispositions.

**USNA Action:** Case outcome notifications are made at CMG meetings and official notification is provided to SARC's in Sexual Assault Disposition Reports.

**Status:** **Complete.**

## Ensure Restricted Report SAFE Kits Completed at Mercy Hospital are Retrieved and Stored by NCIS IAW Navy Policy

**Requirement:** The Memorandum of Understanding (MOU) with Mercy Hospital in Baltimore was to be updated to clarify that the NCIS must be notified after the completion of a Sexual Assault Forensic Exam (SAFE) kit and stored in accordance with Navy policy in the event that the report converts to an Unrestricted Report in the future.

**USNA Action:** The MOU with Mercy Hospital was updated to include a requirement that within 48 hours of examination the evidence collected will be

mailed to the NCIS Consolidated Evidence Facility in Norfolk, Virginia for Restricted Reports.

**Status:** Complete.

### Identify More Effective Accountability Means for Permanent Party Sexual Harassment Complaints

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**Requirement:** During the Department's on-site interviews in APY 14-15, some senior permanent party personnel indicated that corrective actions taken for permanent party members involved in sexual harassment complaints should be more consistent with the corrective actions taken for midshipmen. USNA was to review its response subsequent to sexual harassment complaints to determine if this perception is accurate. Should evidence of an inconsistency be found, USNA was to take corrective action.

**USNA Action:** Complaints against staff members are taken very seriously and investigated with the same procedures as any other complaint. If the complaint is substantiated, appropriate action is taken.

**Status:** Complete.

### Ensure Military Officers in the Chain of Command Overseeing Midshipmen Companies Provide Victims with Case Status Updates

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**Requirement:** The updates being provided to the victim should be administered by someone within the victim's chain of command.

**USNA Action:** USNA Instruction 1752.2G, SAPR Program, updated on 4 Jun 15, outlines the Sexual Assault Case Management Group (SACMG) procedures to include that all sexual assault victims who file an Unrestricted Report shall receive monthly updates regarding the status of ongoing

investigative, medical, legal, or command proceedings until the final disposition of the reported assault. This update must occur within 72 hours of the last SACMG. This update notification is made to the victim by their assigned SARC, VA, or Company Officer unless a special request is made to receive updates from the Superintendent.

**Status:** Complete.

### Develop and Execute Additional Metrics for SAPR Program

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**Requirement:** Develop and execute additional metrics for comprehensive program assessment to include prevention.

**USNA Action:** Besides the data provided by the SAGR Survey and Focus Groups and the DEOMI Command Climate surveys, the program relies heavily on anecdotal information and feedback from the midshipmen and instructors to assess effectiveness. One of the program's strategic goals is to disseminate best practices to USNA stakeholders, members of the DoD community, other academic institutions, and others in the prevention of sexual harassment and assault. Currently, USNA is gathering data on two projects: the 4/C SHAPE survey taken by Plebes during Plebe Summer, and focus groups with 1/C SHAPE peer educators. The goal is to assess the impact of the program on individuals as they progress from I-Day to Commissioning Day. The inability to survey the same (positively identified) group of midshipmen multiple times during their tenure at the Academy (due to anonymity requirements for the survey) limits any conclusive results. However, the SHAPE peer educator focus groups help USNA learn about challenges the educators face in leading peer education sessions, obtain feedback to be used for program improvement, and gather suggestions for ways to improve the educator experience.

**Status:** In Progress. USNA must establish a regular time and venue to regularly review metrics with the Superintendent and other



leadership. The Department considers this action item to be in progress until USNA provides documentation it has incorporated survey and other analysis findings into the

Academy's formal metrics, has updated the metrics regularly, and has briefed metrics periodically to USNA leadership.

# Assessment of Suggested Enhancements from APY 14-15 Report

Suggested enhancements are promising practices that the Academies were encouraged to consider adopting in the APY 14-15 Report. The Department found sufficient evidence to close all nine suggested enhancements.

Suggested Enhancement USNA Progress at a Glance	
	Status
Ensure Sexual Assault Response Phone Systems have Redundancy to Ensure Prompt Victim Care	● Complete
Use Formalized Sensing Sessions with Cadets and Midshipmen to Capture Feedback	● Complete
Examine Cadet and Midshipmen Social Media Footprints and Promote Appropriate Online Behavior	● Complete
Use Sports Teams and Clubs as Agents of Change to promote Healthy Relationships	● Complete
Consider Restoring One Full Professional Training Experience Credit to Block Zero SHAPE and GUIDE Training	● Complete
Include NCIS in an Appropriate Block of SAPR Training	● Complete
VLC and USNA SAPRO Continue to Coordinate and Collaborate in order to Ensure VLC Participation in Appropriate Training	● Complete
Administer the Climate Assessment in the Fall (September or October)	● Complete
Streamline the Feedback Process for Climate Assessment Results	● Complete
● Complete    → In Progress    ✖ No Progress	

## Ensure Sexual Assault Response Phone Systems Have Redundancy to Ensure Prompt Victim Care

**Suggested Enhancement:** USNA was to consider establishing a redundancy with its 24-hour SAPR response telephones.

**USNA Action:** USNA ensures redundancy through the USNA Intranet Link, which connects midshipmen to the DoD Safe Helpline, the Rape, Abuse and Incest National Network (RAINN), the DoD Safe Helpline App, and to the SARC and SAPR VA alternate 24-hour response phone line.

**Status:** Complete.

## Use Formalized Sensing Sessions with Cadets and Midshipmen to Capture Feedback

**Suggested Enhancement:** DoD encouraged USNA to consider employing the United States Military Academy's (USMA) sensing session model to gain feedback from cadets and midshipmen as part of the Academies' assessment efforts.

**USNA Action:** The Superintendent conducts periodic question and answer sessions with Battalion Officers, Company Officers, Senior Enlisted personnel, and the midshipmen. Continual feedback from the Commandant about midshipmen issues is a vital part of the Superintendent's weekly battle rhythm.

**Status:** Complete.

## Examine Cadet and Midshipmen Social Media Footprints and Promote Appropriate Online Behavior

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**Suggested Enhancement:** The Department encouraged USNA to consider ways to cost-effectively examine cadet and midshipman social media “footprints.” Such an effort may help cadets and midshipmen to consider the impact of their online materials.

**USNA Action:** The impacts of social media on midshipmen and the importance of appropriate online behavior are discussed throughout the SHAPE curriculum. SHAPE training continues to evolve with the lifestyles of midshipmen and uses scenarios involving online social platforms to challenge them to think critically about online behavior. USNA leadership stresses appropriate behavior on social media and investigates all retaliation allegations including allegations related to retaliatory conduct occurring on social media. Faculty and Staff leadership at all levels, midshipmen SHAPE peer educators, and midshipmen GUIDEs (Guidance, Understanding, Information, Direction, Education) regularly participate in social media awareness activities with the Brigade to encourage positive and accurate communication.

**Status:** Complete.

## Use Sports Teams and Clubs as Agents of Change to Promote Healthy Relationships, Both On and Off the Field

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**Suggested Enhancement:** Recognizing the potential contributions from sports teams and clubs, DoD encouraged the MSA Athletic Departments to consider engaging in efforts to promote healthy relationships, mutual respect, and appropriate boundaries among teammates. USNA was encouraged to review and adopt a practice that would be appropriate to its unique academy culture.

**USNA Action:** Individual sports teams have conducted the One Love Foundation’s Escalation Workshop with their team to learn about healthy relationships and promote peer-to-peer conversation on relationship violence and how to seek support.

**Status:** Complete.

## Consider Restoring One Full Professional Training Experience Credit to Block Zero SHAPE and GUIDE Training

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**Suggested Enhancement:** The Department encouraged USNA to consider restoring full credit to SHAPE and GUIDE training so that involvement in the SHAPE and GUIDE programs continues to be incentivized.

**USNA Action:** This enhancement is complete. Midshipmen who participate in SHAPE or GUIDE Block Zero training receive a full Professional Training Experience credit.

**Status:** Complete.

## Include NCIS in an Appropriate Block of SAPR Training

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**Suggested Enhancement:** USNA was to consider identifying where and how NCIS can best support the SAPR training program and integrate them accordingly.

**USNA Action:** NCIS in conjunction with SAPR conducts briefings to the Brigade each semester. Additionally, NCIS and the SAPR Program Manager were invited by the Athletic Director to speak to all coaches at the beginning of each APY. Main topics included the importance of holding players to the standards delineated in the Athlete Code of Conduct, available SAPR and investigative resources, and an update on the number of reports and current case trends.

**Status:** Complete.

## VLC and USNA SAPRO Continue to Coordinate and Collaborate in Order to Ensure VLC Participation in Appropriate Training

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**Suggested Enhancement:** The Department encouraged USNA to consider integrating the Victims' Legal Counsel (VLC) into its response-focused sessions to the Brigade of Midshipmen.

**USNA Action:** The SAPR Program Manager continues to coordinate a collaborative relationship with the VLC. The VLC has been critical in providing expert level information at SAPR VA Certification training, GUIDE and SHAPE Block zero training, and Reform briefs given to all midshipmen at the beginning of each semester. The training increases awareness of this unique legal representation and advocacy.

**Status:** Complete.

## Administer the Climate Assessment in the Fall (September or October)

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**Suggested Enhancement:** USNA was to consider administering the newly developed MAOCS in the fall.

**USNA Action:** A DEOMI Command Climate Survey was conducted in the Fall of 2015 for both the midshipmen and the Faculty/Staff. The Commandant's CMEO is currently

working with DEOMI to correct some phrasing problems and clarifying some questions on the survey then planning to administer the next survey in October 2016.

**Status:** Complete.

## Streamline the Feedback Process for Climate Assessment Results

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**Suggested Enhancement:** The Department encouraged USNA to streamline the process so that midshipmen can be briefed in a more timely manner, and to use this streamlined process for the MAOCS once it has been developed and implemented.

**USNA Action:** The Superintendent and Commandant reviewed all results and debriefed the staff and midshipmen. Battalion Officers, Company Officers, and Senior Enlisted Leaders reviewed their individual company data and comments concerning the climate within the company. The Company Officers then addressed their respective company with the results of the survey, including any deficiencies and areas needing improvement.

The Commandant's CMEO has asked DEOMI for a faster turnaround of analyzed results so focus groups and feedback can be given in December.

**Status:** Complete.

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<sup>i</sup> Summer cruise occurs between the Spring and Fall semesters from May to August in four different training blocks 0-3. The summer cruise experiences provides midshipmen the opportunity to familiarize themselves with operational naval forces, further their professional development, and provide hands on leadership experiences for upper class midshipmen.