



Appendix B: United States Naval Academy



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In the following section, the Department provides an update on the status of all action items of the United States Naval Academy (USNA) entering Academic Program Year (APY) 2017-2018. These action items include Under Secretary of Defense for Personnel and Readiness (USD(P&R)) initiatives and 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 visit in the next APY.

USNA Response to Secretary of Defense Action Items

The following section provides the actions that USNA has taken to implement USD(P&R) Action Items directed in the June 2017 memorandum.

Promote Responsible Alcohol Choices

Requirement: Academies were to submit plans to address attitudes and behavior around alcohol use and misuse to produce changes in related behaviors, as well as to change the context in which alcohol use occurs.

USNA Response: The Commandant's Alcohol Working Group (AWG) developed a formalized training plan with specific objectives for each class and collaborated with the Director of Prevention Education to ensure the Sexual Harassment and Assault Prevention and Education (SHAPE) curriculum addressed appropriate themes. Additionally, all alcohol training included appropriate messages sensitive to Sexual Assault Prevention Response (SAPR) victim concerns and SHAPE prevention methods.

The Alcohol and Drug Education Officer (ADEO) role was established and corresponding responsibilities were assigned to all members of the Commandant's Cost Center. The ADEO provides alcohol program recommendations to the Commandant of Midshipmen, who is briefed weekly on alcohol-related incidents and treatment plans for midshipmen with alcohol misuse concerns. The AWG and ADEO teams assess ways to improve messaging that best resonates with midshipmen. At the midshipmen-level, resources include the "Guardian Angel" program in which peers help each other return home safely after drinking. Following review of the USNA "21st Birthday Training," the activity was deemed ineffective in curbing alcohol misuse, and all associated program resources were terminated in APY 17-18. Additionally, the use of breathalyzers at the USNA gate for midshipmen returning from liberty was discontinued due to feedback that the practice became counterproductive to prevention efforts.

USNA continued to offer programs specific to responsible alcohol choices during the program year including "Midnight Teachable Moments," a company-level scenario-based training to address issues surrounding alcohol that midshipmen may encounter while on liberty. The frequency of this training was doubled to 30 times a year due to midshipmen feedback, and breathalyzers were used as a training tool. Leadership also expanded the "Keep What You've Earned" campaign, using individuals who have been negatively affected by alcohol as an example and resource to educate the Brigade. Targeted messages and Brigade-wide briefs on

responsible alcohol choices were issued at important times in the school year, such as prior to summer training and spring break. Alcohol Awareness Week was conducted the week prior to spring break, which involved daily discussions, a company-level training, a Brigade-wide brief, and a 5K race to promote responsible choices. USNA also employed XYZ Cases, anonymized fact patterns from prior adjudicated misconduct cases, to help educate midshipmen on alcohol use policies and guide future responsible decision making.

In the past APY, the “Firstie Club” was established as an option for first class midshipmen to consume alcohol in an on-base, supervised setting. In addition, a framework was also laid for Second Class midshipmen to open a similar “Second Class Club” in the spring of 2019 to provide a setting for interaction with senior officer leadership. USNA established these venues to provide locations where alcohol could be consumed responsibly and as an alternative to drinking off academy grounds.

Reinvigorate Prevention

Requirement: To reduce sexual assault, sexual harassment, and other readiness-impacting behaviors, the MSAs were to work with their respective sexual assault prevention and response leadership to ensure sexual harassment, hazing, and bullying prevention efforts were integrated with the overall sexual assault prevention program.

USNA Response: Several updates were made to USNA’s trainings and curriculum this year including revisions to the Plebe Summer training to allow for greater SAPR discussion. Permanent party staff also received a refresher course between the first and second semester that addressed updates to the prevention program and allowed a mid-year assessment of both prevention and response efforts across all 30 companies. The USNA SHAPE program broadened midshipmen’s awareness of sexual harassment and assault by emphasizing their role as an active bystander, addressing cultural issues, and deconstructing myths. Improvements were made in the preparation of permanent party staff to support prevention initiatives by featuring guest speakers and a review of updated protocols. The SAPR department assisted the Naval Academy Athletic Association in updating their trainer/coach care protocol and report procedures. This effort ensures that all athletes at the Naval Academy receive the appropriate care and are protected from inappropriate behavior while participating in athletic activities. The Preparing to Lead instructor cohort also participated in a robust collective faculty seminar on improving the moral development of midshipmen.

Among prevention efforts, the SAPR Project Manager (PM) serves as the key advisor to the Superintendent on the SAPR program, exercising administrative oversight by managing all instructions, strategic trainings and education plans. The PM collaborates with the Lead Sexual Assault Response Coordinator (SARC) in matters involving response protocols for all first responders. The Lead SARC works with designated midshipmen and SHAPE Peer Educators for outreach and training. They also serve as the command SAPR point of contact, ensuring responsive command management of alleged sexual assaults and compliance with SAPR program requirements.

Sexual harassment prevention, diversity, and equal opportunity efforts are conducted by an active duty officer working directly for the Commandant of Midshipmen. The Director of Prevention Education (DPE) reports directly to the SAPR PM as the senior civilian subject matter expert in the topics of sexual assault and sexual harassment prevention, education, and training. The DPE is responsible for strategic planning, implementation, and assessment of sexual assault prevention and response efforts, and for the research, development,

implementation, and maintenance of all prevention programming. This staff member is responsible for the training and education of all midshipmen, staff, and faculty in the areas of sexual assault and sexual harassment to ensure programming is aligned with DoD, United States Navy, and USNA directives.

The USNA Academic Year 2018 Academic Assessment Report assesses the core curriculum learning objective “Describe the fundamental elements of character and moral reasoning and apply them to the personal and professional challenges of military leadership.” This objective is sufficiently addressed by all core classes and directly assists in enhancing a culture of respect and developing leaders of character equipped to promote an environment that seeks to prevent sexual assault. The curriculum is aligned with the USNA SAPR strategic plan and modifications are made when appropriate.

Enhance a Culture of Respect

Requirement: The MSAs were required to review and revise their indoctrination training, military education, academic programs, and permanent party in-service and preparatory programs wherever practicable to advance a MSA culture free from sexual harassment, hazing, and bullying, and communicate expectations for appropriate conduct related to social media.

USNA Response: The self-assessment reported that USNA revised indoctrination training, military education, academic programs, and permanent party in-service and preparatory programs to promote a culture of respect. Indoctrination training, core academic classes, and supplemental seminars offered throughout the four-year course of study by various subject matter experts were implemented. The Department of Leadership, Ethics, and Law (LEL) supports a culture of respect through their curriculum, initiatives and programs. For example, future Company Officers are hosted by LEL as members of the Leadership Education and Development (LEAD) Master Indoctrination Program at USNA. These individuals train alongside experienced LEL faculty in classroom leadership and content delivery in the fall, and assume responsibility for their own Naval Leadership classroom in the spring. In addition, the Naval Leadership 110 course titled “Preparing to Lead” aims to teach midshipmen lessons on social influence, civility, dignity and respect.

Collaborating across the entire spectrum of Naval Academy leaders that contribute to midshipmen development, a Life Skills Working Group identified many topics vital to preparing young men and women to be effective commissioned officers (CO), such as healthy nutrition, sleep habits, relationship and interpersonal skills, and conflict resolution. Emphasis on actions that marginalize abusive behavior were highlighted, and the Life Skills Handbook was created to cover topics that midshipmen, faculty, and staff identified as needing more attention such as professional skills, signs of fraternization, and social media navigation.

Findings from the *2018 Service Academy Gender Relations Survey (SAGR)* will directly inform strategic plans moving forward at USNA. Additionally, the Class of 2018 was the first graduating class to participate in a First Class Exit Survey which measured their attitudes and beliefs upon completion of their SHAPE curriculum. Results will be compared with their plebe year survey to determine progress or effectiveness of USNA programs. Finally, when companies or individuals have challenges or common climate concerns that are unique to EO, the Commandant convenes focus groups and/or one-on-one training sessions to address the unique concerns of each situation. Those focus groups solicit recommendations from the parties involved and offer resources to help resolve particular situations. The EO department then prepares a simple plan of action for the CO to implement and reevaluate its effectiveness

quarterly. If the plan fails to produce acceptable results, the EO returns to one-on-one interviews and builds another plan to address shortcomings. This ongoing process is designed to stimulate greater communication until the conflict is resolved and will be utilized when necessary.

The Naval Academy reached out to Dr. Dorothy Edwards after a prevention discussion with the USNA SAPR PM, USNA Director of Prevention Education, and United States Navy SAPRO staff during the 2017 DoD SAPR Site Visit in June 2017. In September of 2017, Dr. Edwards returned to Annapolis to provide a third-party expert analysis of USNA's SHAPE curriculum related to sexual assault prevention efforts and enhancing a culture of respect. USNA plans to continually collaborate with Dr. Edwards in the future.

Improve Sexual Assault and Sexual Harassment Reporting

Requirement: The MSAs reviewed findings of previous reports and provided a plan to reduce barriers in sexual assault and sexual harassment reporting.

USNA Response: A number of midshipmen used the Leave of Absence program and Midshipman Development Center support groups during this APY. These resources remain important tools to encourage midshipmen to seek proper short- and long-term care. USNA recognizes that greater reporting will only come from providing the best care and support possible for survivors of sexual assault and midshipmen experiencing sexual harassment. Ten midshipmen used the new Leave of Absence option available for victims of sexual assault this past year, which may provide midshipmen more incentive to file an Unrestricted Report. The SAPR office and Commandant continue to receive feedback from midshipmen that this new option represents an improvement to the USNA reporting process.

In efforts to curb sexual harassment concerns at USNA, a new anonymous reporting protocol allows midshipmen the opportunity to report EO and sexual harassment concerns without the stigma traditionally attached to "whistleblowers." Bystanders who wish to remain anonymous have the option to report without being identified. In addition, EO sexual harassment training is now completed during Plebe Summer, and departmental training for all-hands and a refresher training for COs and Senior Enlisted Leaders (SELs) are completed every September. Per USNA policy, all informal and formal EO and sexual harassment complaints are documented on a 5354/2 EO form and the metrics are reported quarterly by USNA's Command Climate Specialist.

USNA Response to Department Action Items

The following section provides the actions that USNA has taken to address the action items identified for all three MSAs in the APY 16-17.

SAPR Best Practices

Requirement: Academies were to discuss strategic dialogue accomplished this APY with leadership to facilitate the exchange of SAPR best practices.

USNA Response: The USNA SAPR PM and Director of Prevention Education gathered inputs from faculty, staff, and midshipmen during August and September. They met with the Superintendent, Commandant, and key members of their respective staffs to update and reassess the prevention plan. Several meeting items were discussed including progress on the DoD SAPR Plan of Action, summary of current DoD and United States Navy efforts, progress

on the 2018 SAGR, a “Pulse of the Brigade,” and Restricted and Unrestricted sexual assault reporting data. In addition to program personnel changes, outside collaborations with local community organizations and national military and civilian organizations were discussed. This year, the SAPR PM and Director of Prevention Education also attended the Relationships 101 SHARP Summit at West Point during the fall semester and the Student Affairs Administrators in Higher Education Strategies Convention in Portland during the spring semester. The Superintendent and Commandant were briefed after these engagements, and the Convention specifically confirmed that the USNA program is utilizing the latest research in their prevention education curriculum.

The SAPR Department holds a prominent seat at the Brigade Command Operations planning board and has priority in scheduling SHAPE activities for the next semester. The schedule is finalized at least six months in advance and SHAPE training maintains a high priority when conflicts arise. Every year, SAPR efforts are captured in the Commandant’s Operations Report that is archived for future executive planning efforts. This APY, the SAPR PM began an initiative focused on better informing each department on the current and future efforts of both SAPR prevention and response efforts. During department meetings, the SAPR PM received feedback from each department on concerns and applied programmatic feedback to tailor response care and prevention curriculum changes across all departments.

Finally, the USNA Board of Visitors, comprised of key members of Congress and Presidential appointees, meet three times a year. The SAPR PM attends every meeting and is available to discuss program updates with the members, and the Superintendent updates the board when results of the SAGR Survey and Focus Groups are available. Members are able to influence strategic decisions in this forum and provide thoughts on the direction of the program.

Unrestricted and Restricted Reporting

Requirement: The MSAs were required to discuss steps taken to ensure Unrestricted and Restricted reporting practices follow privacy, security, and records management policies.

USNA Response: All documents supporting Restricted and Unrestricted Reports are kept in a double lock file in the USNA SAPR office. Files sent electronically are secured in the AMRDEC SAFE application when transferred.

Point of Contact for Program Evaluation and Recommendations to the Superintendent

Requirement: Academies were asked to discuss steps taken to identify a single point of contact to gather data from a variety of sources, conduct overall program evaluation, and make recommendations to the Superintendent based on that data.

USNA Response: The SAPR PM is a nominative billet contained in the USNA Standard Organization and Regulations Manual. Inputs from the Director of Prevention Education, Academic Faculty Liaison, USNA Lead SARC, midshipmen leadership, and Commandant’s Staff help guide strategic discussions and implement key initiatives as appropriate. The SAPR PM keeps detailed minutes of every conversation with the Superintendent and provides notes to the assessment team. The Superintendent and Commandant receive briefs on every change to the program or curriculum before those changes are executed.

Prevention Efforts for all Pre-Entry Pathways for Service Members

Requirement: The MSAs were required to discuss steps taken to develop and implement framework to capture prevention efforts for, and gaps in, all pre-entry pathways for Service members.

USNA Response: All pre-entry pathways to the Naval Academy are subject to the highly exhaustive admissions processes and candidates receive varying degrees of prevention training depending on their source. Each USNA applicant has been exposed to varying degrees of prevention education before arriving to Annapolis. USNA does not require candidates to document prior training and does not discriminate against candidates based on their level of training prior to becoming midshipmen. All plebes take a survey during Plebe Summer aimed to measure their attitudes and beliefs to establish a class baseline that informs SHAPE curriculum areas that need more or less focus.

The United States Naval Academy Preparatory School in Newport, RI is subject to the same DoD requirements as every other DoD installation. They have a dedicated SARC who conducts initial indoctrination SAPR training upon a candidate's arrival and the SAPR reporting system is identical to that of every other naval installation. Upon graduation, those candidates repeat initial indoctrination training with their incoming civilian and prior enlisted candidates during Plebe Summer in Annapolis. The role of this program significantly enhances SAPR training for midshipmen coming to the Naval Academy and information on the program can be obtained from the DoD Annual Report.

USNA Response to Academy Specific Action Items

The following section provides the actions that USNA has taken to address the Academy specific action items from the APY 16-17 Report.

Defense Equal Opportunity Climate Survey (DEOCS) Response Rate

Requirement: USNA was asked to discuss the steps taken to increase the DEOCS response rate as it decreased from 40 percent to 27 percent in the latest survey.

USNA Response: The DEOCS survey is voluntary and will remain so in the future when administered at USNA. COs and SELs will take the survey on board this year to explain the "why" to their midshipmen and increase participation. Communication will be sent to company leadership earlier than last year to give them more time to prepare and brief companies in small group settings.

Ensure Planned and Sequenced Prevention Efforts

Requirement: To ensure prevention efforts are planned and sequenced to reinforce key prevention principles throughout the midshipman experience.

USNA Response: A series of core classes are taught at USNA that reinforce key prevention principles. Additionally, midshipmen put their academic work to practical use when they assume actual peer leadership billets running the operations of the Brigade during their First Class (senior) and Second Class (junior) years. During this time, they serve as leaders of squads all the way up to Brigade Commander and also serve as team captains, club captains, mentors, and role models to their peers and underclassmen. All leaders must foster a healthy command culture and climate that prevents sexual assault in the first place, while also being knowledgeable of the management tools needed to respond if such an event does occur.

A change in the Third Class curriculum was made in which the session on social conformity was eliminated due to overwhelming midshipman feedback it was ineffective and redundant. Key points of that training were incorporated into other sessions, with the curriculum beginning with the “Speak About It” program in attempts to prevent negative attitudes that historically develop among midshipmen during that year. Another key change included discussion from a military survivor of sexual assault.

Prepare Company Officers and SELs to Support Prevention Programs

Requirement: USNA was asked to discuss steps taken to prepare Company Officers and SELs to support the way forward in their sexual assault and harassment prevention programs.

USNA Response: Prospective USNA Company Officers are hosted every spring semester as members of the LEAD Master Program. They begin during the fall semester, training alongside experienced faculty in classroom leadership and content delivery. In the spring semester, they assume responsibility for their own Naval Leadership section of midshipmen, an opportunity which allows them to apply lessons learned to real-world leadership challenges.

Provide Midshipmen with Applied Leadership Experience

Requirement: USNA was to discuss how the prevention program will provide midshipmen with applied leadership experience using the climate assessment process.

USNA Response: Every aspect of a midshipman’s life is focused on applying leadership skills and assessing their professionalism in creating an effective command climate. Midshipmen are provided with opportunities to engage in leadership roles, culminating in leading the Brigade of the Midshipmen. DEOCS Survey results are briefed up and down the chain-of-command culminating with each of the 30 Company Officers briefing the results to their respective midshipmen. Midshipmen are held accountable to those results and challenged to improve their command climates.

Midshipmen Peer Evaluations

Requirement: USNA was asked to discuss steps taken to ensure that midshipman peer evaluations are conducted in such a way that does not hinder sexual harassment and sexual assault reporting.

USNA Response: USNA revamped their midshipman evaluation system, as governed by COMDTMIDNINST 1600.2J signed on August 3, 2018. Following completion of the pilot program during APY17-18, the Midshipman Development Report was overhauled to closely resemble the fitness report systems used by the United States Navy and Marine Corps. The old system employed a series of drop down menus using single adjective descriptions that had the potential to trigger victims of sexual assault and often became tools for midshipmen to shame each other. The new system uses Midshipman Development Traits and eliminates those potential outcomes with five areas evaluated for each class including leadership, character, professionalism, team driven, and judgement and tact. The aptitude system may not be used to bypass the processes established in either the Conduct System or Honor Program, and there is now a requirement to conduct midterm counseling and both midshipmen and COs play a delineated and definitive role in determining the final aptitude score. Sexual harassment reports are not incorporated into the evaluation process and therefore neither encourage nor discourage reporting.