

# Appendix B: United States Naval Academy



# Table of Contents

---

Appendix B: U.S. Naval Academy .....	2
Summary .....	2
Line of Effort 1: Prevention .....	4
Commendations .....	4
Suggested Enhancements .....	5
Action Item .....	6
Line of Effort 2: Investigation .....	7
Action Items .....	7
Line of Effort 3: Accountability .....	8
Commendations .....	8
Action Items .....	8
Line of Effort 4: Advocacy/Victim Assistance .....	10
Commendations .....	11
Suggested Enhancement .....	11
Action Item .....	11
Line of Effort 5: Assessment .....	13
Commendations .....	13
Suggested Enhancements .....	13
Implementation Progress: Secretary of Defense Initiatives Common for all MSAs .....	15
Targeted Interventions .....	15
Improving Sexual Assault Reporting .....	15
Expand Alcohol Policies .....	16
Assessment of Action Items from Previous Reports .....	17
Implement MSA-Modified Pre-Command Training .....	17
Submit Sexual Harassment Training for Approval .....	17
Develop and Execute Additional Metrics for SAPR Program .....	17

# Appendix B: U.S. Naval Academy



## Summary

The Department of Defense (DoD) assessed the United States Naval Academy's (USNA) policies, training, procedures, and initiatives for sexual assault prevention and response (SAPR) and sexual harassment prevention and response programs during academic program year (APY) 2014-2015. The Department used the structure of the 2013 *DoD SAPR Strategic Plan* to organize its assessment of SAPR and sexual harassment prevention and response programs into five lines of effort (LOE). Compliance in each LOE was determined by comparing USNA's SAPR and sexual harassment prevention and response programs to the requirements outlined in the following policies that were applicable during APY 14-15.

- DoD Directive (DoDD) 6495.01, "SAPR Program," Incorporating Change 2, January 20, 2015;
- DoD Instruction (DoDI) 6495.02, "SAPR Program Procedures," February 12, 2014;
- DoDD 1350.2 "Department of Defense Military Equal Opportunity Program," November 21, 2003; and
- DoDD 1020.02 "Diversity Management and Equal Opportunity (EO) in the Department of Defense," February 5, 2009.

Additionally, the Department referenced the following Service and Academy sexual harassment and assault policies:

- Chief of Naval Operations Instruction 5354.1F, "EO Policy," September 20, 2011;
- Chief of Naval Operations Instruction 5800.7A, "Victim and Witness Assistance Program," March 4, 2008;

- Secretary of the Navy Instruction (SECNAVINST) 1752.4B, "Department of the Navy (DoN) Policy on SAPR," August 8, 2013;
- SECNAVINST 5300.26D, "DoN Policy on Sexual Harassment," January 3, 2006;
- United States Naval Academy Instruction (USNAINST) 1752.1G, "SAPR Program," October 7, 2013; and
- USNAINST 5354.5C, "Prevention and Deterrence of Sexual Harassment, Misconduct & Assault," June 23, 2011.

Overall, USNA is in compliance with the Department's policies regarding sexual harassment and sexual assault. USNA exhibited structured and organized sexual harassment prevention and response and SAPR programs in both the on-site assessment and its supporting documentation. USNA has a proactive, highly visible SAPR program manager who reports directly to the Superintendent.

USNA's approach to the SAPR program separates it into two teams, USNA Sexual

Assault Prevention and Response Office (SAPRO) (for prevention and program management) and the SAPR Response Team (for response and victim care). The SAPR program manager oversees both teams in addition to all SAPR training and education for the midshipmen, including the Sexual Harassment and Assault Prevention and Education (SHAPE) Peer Educator program. The SAPR program manager also works closely with the Command Managed Equal Opportunity (CMEO) staff to incorporate sexual harassment concepts into training. Having a dedicated SAPR program manager who supports Academy programs, prevention, and response is a benchmark practice. The assessment team saw evidence of the SAPR program manager's influence

### Overall Status of Compliance:

● **In Compliance**

and guidance throughout all USNA operations.

DoD SAPRO Strategic Plan Lines of Effort (LOEs)	
LOE	Objectives
<b>LOE 1:</b> Prevention	Deliver consistent and effective prevention methods and programs.
<b>LOE 2:</b> Investigation	Achieve high competence in the investigation of sexual assault.
<b>LOE3:</b> Accountability	Achieve high competence in holding offenders appropriately accountable.
<b>LOE 4:</b> Advocacy/ Victim Assistance	Deliver consistent and effective victim support, response, and reporting options.
<b>LOE 5:</b> Assessment	Effectively standardize, measure, analyze, assess, and report program progress.

The SAPR Strategic Plan, published by USNA in October 2014, is aligned with the *DoD SAPR Strategic Plan*. USNA's strategy clearly delineates goals, prioritizes initiatives, and identifies responsible parties for plan execution. The SAPR strategy also effectively incorporates efforts to address and prevent sexual harassment. USNA's Strategic Plan is a benchmark for the other Academies.

The Department found sufficient evidence of progress to close three out of six previous Secretary of Defense initiatives and action items from prior assessment periods. The following pages capture observations on USNA's SAPR and sexual harassment prevention and response programs by LOE. The following observations supplement the Department's overarching observations and action items made for all three Military Service Academies (MSA) in the body of this report.

# Line of Effort 1: Prevention

---

USNA is in compliance with DoD and DoN policy requirements for the Prevention LOE.

USNA leadership continues to promote an environment of mutual dignity and respect in its engagements with the midshipmen. The Superintendent is focused on developing midshipmen into leaders of character. He re-administered their Oath of Office to emphasize each midshipman's commitment, obligation, and responsibility upon the return of midshipmen from summer training in August 2014. The Superintendent and the Commandant both attend the annual Gettysburg Leadership Retreat, where discussing the attributes and expectations of a leader necessary to prevent sexual assault and sexual harassment is one of several central themes. The Commandant of Midshipmen's "Be Excellent" campaign has

**Status of Compliance**  
**Line of Effort 1:**

● **In Compliance**

become a mantra for the midshipmen to be excellent "to yourself, to your shipmates, and to the institution." Midshipmen survivors (men and women) of

sexual assault created a video this year depicting how sexual assault and others' comments about the crime impacted their lives. Their intent was to promote awareness of the problem and motivate preventive action by the Brigade of Midshipmen, faculty, and staff. Feedback from viewers indicated greater understanding of what victims endure.

The Academy implemented innovative and interactive prevention education into the midshipmen's academic curriculum and its SHAPE program. The Academy's SHAPE program employs peer-led, small group discussions to teach sexual harassment and sexual assault prevention fundamentals. SHAPE's intent is to empower midshipmen with bystander intervention skills to better enable them to identify and address situations at risk for sexual assault.

Midshipmen at the Academy have a high interest in becoming SHAPE peer educators. All peer educators make a one-year commitment to serve on the SHAPE peer educator team.

Volunteer Fleet Mentors were added to the SHAPE program, providing midshipmen with an officer or senior enlisted member perspective on sexual harassment and sexual assault. Mentors guide midshipmen in these sessions to find solutions that contribute to a more respectful, egalitarian, and safer environment at USNA and in the fleet. USNA's SAPR training specialists regularly update the SHAPE curriculum and have included concepts from the *2014-2016 DoD Sexual Assault Prevention Strategy*, as well as changes based on feedback from the peer educators and the midshipmen population.

"Midnight Teachable Moments", another prevention program, allow midshipmen to consume alcohol under supervision while practicing skills to counter sexual harassment, binge drinking, and peer pressure. USNA implemented this peer-led, bystander intervention training program in APY 13-14 and expanded its availability this year. Six midshipman companies conducted the program throughout APY 14-15. USNA intends to continue the program in the next APY for midshipmen of legal drinking age in the remaining companies.

## Commendations

---

### Continued emphasis on innovative alcohol policies/ interventions and community outreach

USNA conducts multiple alcohol awareness initiatives, including the "Midnight Teachable Moments," 21<sup>st</sup> birthday dinner training, and alcohol awareness events with the local community. Midshipmen are allowed up to three alcoholic drinks while a representative

from the Naval District Washington police department provides a presentation on laws involving alcohol, past alcohol incident experiences with midshipmen, and techniques for responsible drinking at the 21<sup>st</sup> birthday dinner training. The police officer demonstrates a field sobriety test and allows participants to test their blood alcohol content with a breathalyzer at the end of the dinner.

The Academy collaborated with a local establishment in Annapolis to host an event that encourages responsible drinking practices. The event emphasizes helpful behaviors, including designating someone in a group to remain sober, drinking at a moderate pace, and using practices that limit absorption of alcohol into the body. The Commandant of Midshipmen also wrote letters to local bar and restaurant owners, midshipmen sponsors, and parents urging them to help midshipmen make wise choices concerning alcohol.

### **Continuous updating of a comprehensive SAPR education and training program**

USNA employs extensive feedback collection efforts to assess and update its SAPR education and training program. The SAPR Advisory Panel, chaired by the SAPR program manager and Director for Education and Clinical Services, also provides recommendations for improving the training and education program. One such improvement employs SHAPE peer educators to train faculty from one of the academic departments on the SHAPE program. Favorable feedback from the trained faculty is motivating USNA to expand SHAPE training to faculty from additional departments during the next APY.

### **Thoughtful incorporation of prevention principles in academic curriculum**

Midshipmen take four *Leadership, Ethics, and Law* courses during their four years. Academy officials have worked together to infuse themes from the SAPR and sexual harassment prevention and response

programs into these classes to demonstrate the importance of leadership in countering sexual harassment and sexual assault.

### **Expanded code of conduct to coaches**

USNA expanded its code of conduct for midshipman athletes to its coaches and coaching staff in APY 14-15. Coaches who violate this code or fail to act when they come across violations may be dismissed. All varsity athletes and coaches are required to sign a code of conduct, vowing to abide by expected behavior standards and to represent USNA in the best possible manner. This code prohibits certain actions, such as underage drinking and acquiring team residences. An individual will be removed from the team if he or she violates the code of conduct. The Department considers the code of conduct to be a best practice and encourages the other two MSAs to adopt this practice.

### **Suggested Enhancements**

#### **Consider restoring one full Professional Training Experience credit to Block Zero SHAPE and GUIDE training**

The Department observed that USNA had been incentivizing midshipmen to take the training to become SHAPE and GUIDE (Guidance, Understanding, Information, Direction, Education) peer leaders with one full training credit. The training is typically conducted during summer Block Zero training. USNA reduced credit for this training block to half a credit. This change requires midshipmen to take SHAPE and

Both the SHAPE and GUIDE programs are conducted by midshipmen. The SHAPE program is peer-education focused, whereas GUIDEs are provided in-depth education on SAPR topics and initiatives and are available to the Brigade as in-company assets for information and referral support. More information about the GUIDE program can be found under the Victim Assistance /Advocacy LOE.

GUIDE training in addition to some other summer training that provides them full credit. The Department encourages USNA to consider restoring full credit to SHAPE and GUIDE training so that involvement in the SHAPE and GUIDE programs continues to be incentivized. Reducing these opportunities to half credit reduces them in the eyes of the midshipmen, which may negatively impact midshipmen interest and participation.

### **Include NCIS in an appropriate block of SAPR training**

Naval Criminal Investigative Service (NCIS) indicated the desire to explain their services to midshipmen during SAPR training sessions to the brigade. Allowing NCIS to brief midshipmen will better acquaint them with the investigative process. USNA should consider identifying where and how NCIS can best support the SAPR training program and integrate them accordingly.

## **Action Item**

---

### **Tailor prevention of sexual harassment training to each class year**

SECNAVINST 5300.26D requires education and training programs to be in place at all levels.<sup>ii</sup> These programs will cover identification, prevention, and resolution of sexual harassment, and reprisal prevention, and will be implemented from entry through executive levels.

The Department observed that the USNA CMEO was working hard to ensure midshipmen received required sexual harassment training. However, this training does not vary from year to year.

USNA should develop an iterative sexual harassment training program. The chances of message fatigue are lessened when midshipmen learn new material throughout their four years at USNA. The body of the report features greater detail on this action item.

# Line of Effort 2: Investigation

This assessment addresses how well the Academy SAPR program supports and integrates with the criminal investigative process. USNA is in compliance with the Investigation LOE.

NCIS conducts investigations of all Unrestricted Reports of sexual assault at USNA. Upon receipt of an allegation, agents immediately notify the sexual assault response coordinator (SARC) to arrange

Status of Compliance  
Line of Effort 2:

● **In Compliance**

SAPR services for the victim. NCIS agents indicate they have a productive working relationship with the SARCs, victim

advocates (VA), judge advocates (JA), Victims' Legal Counsel (VLC), trial counsel, and local police departments. At the beginning of an investigation, NCIS immediately explains and offers VLC services to the victim prior to conducting an interview.

All NCIS agents currently assigned to USNA have attended the Navy's Family and Sexual Violence training at the Federal Law Enforcement Training Center in Brunswick, GA. NCIS attends USNA's monthly Sexual Assault Case Management Group. NCIS at USNA also has the benefit of surge support for large cases from other local NCIS units and NCIS Headquarters in Quantico, Virginia.

## Action Items

### Share case outcomes with the SARCs

Enclosure 9 of DoDI 6495.02 and SECNAVINST 1752.4B require all CMG members, including all SARCs assigned to the installation, to be provided case dispositions from the Military Criminal Investigative Organization (MCIO), DoD law enforcement, and JA.<sup>iii</sup>

USNA SARCs stated they are not always informed of the case outcomes. Victims now

often rely on the VLC case status and disposition updates, which often leaves the SARC out of the communication loop. The Superintendent's Legal Advisor and/or the NCIS Resident Agent should make the SARCs aware of all final case dispositions. SARCs can then use case outcome information as needed to improve or adjust the USNA response system.

### Ensure Restricted Report SAFE Kits completed at Mercy Hospital are retrieved and stored by NCIS IAW Navy policy

According to Enclosure 7 of SECNAVINST 1752.4B: "Upon completion of the Sexual Assault Forensic Exam (SAFE) Kit and securing of the evidence, the healthcare provider will turn over the material to NCIS or NCIS Consolidated Evidence Facility representative or the appropriate Military Service-designated law enforcement agency or MCIO as determined by the selected reporting option."<sup>iv</sup>

Officials at Mercy Hospital indicated they have been storing completed SAFE Kits for USNA midshipmen. This is not consistent with DoD or DoN policy. NCIS or the appropriate USNA representative should make contact with Mercy Hospital to collect any SAFE Kits and store them in accordance with DoN policy.

The Memorandum of Understanding (MOU) with Mercy Hospital in Baltimore should also be updated to clarify that NCIS must be notified after the completion of a SAFE for a midshipman who has filed a Restricted Report. The MOU should reflect that NCIS is to retrieve the SAFE kit and store it in accordance with the Navy policy in the event that the report converts to an Unrestricted Report in the future.

# Line of Effort 3: Accountability

This assessment addresses how well the Academy SAPR program supports and integrates with the military justice process. USNA is in compliance with the Accountability LOE.

The USNA JA and NCIS coordinate their efforts, from the initiation of an investigation to the final disposition of a case. USNA JAs indicate they have productive working relationships with other members of the Academy's response system.

Midshipmen found guilty of sexual harassment through the Midshipmen Conduct System are assigned four months of Dignity and Respect Remediation, rather than the standard conduct remediation assigned for

other misconduct. The Dignity and Respect Remediation focuses on themes of EO, understanding boundaries, and how

to foster an environment of dignity and respect. Midshipmen found guilty after an informal complaint of sexual harassment are required to develop a sexual harassment awareness and prevention training tool to provide to his or her company. Many times midshipmen choose to create the training in the form of XYZ cases, where the midshipmen will divulge at the end that they are midshipman X. XYZ cases are sexual harassment and sexual assault case studies that are used as a tool in discussion-based training to increase transparency and understanding of policies and standards of behavior among the Brigade of Midshipmen. XYZ cases are also provided to faculty, staff, and Naval Academy Athletic Association personnel in order to increase awareness and bridge the discussion outside the Brigade.

Status of Compliance  
Line of Effort 3:

● **In Compliance**

## Commendations

### Approach to collateral misconduct

Collateral misconduct by a victim is one of the most significant barriers to reporting sexual assault because of the victim's fear of punishment. USNA typically does not address the misconduct through disciplinary action and instead refers victims to appropriate counseling in the event of an Unrestricted Report where the victim may have engaged in some form of misconduct, for instance, underage drinking or other related alcohol offenses, fraternization, or other violations of certain regulations or orders. Factors such as how the misconduct came to light, the significance of the misconduct, and any other relevant facts about the case are taken into consideration when determining if disciplinary action is appropriate. USNA has made appropriate efforts to eliminate the barrier collateral misconduct creates to reporting so that victims will be encouraged to come forward, to better hold offenders appropriately accountable.

## Action Items

### Identify more effective accountability means for permanent party sexual harassment complaints

SECNAVINST 5300.26D outlines sexual harassment accountability measures for DoN. It states that appropriate action to resolve a substantiated incident of sexual harassment will depend upon the circumstances surrounding that incident. The full range of administrative and disciplinary actions is available to address sexual harassment. In the case of military personnel, these include informal counseling, comments in fitness reports and evaluations, administrative separation, and punitive measures under the Uniform Code of Military Justice.<sup>v</sup>

During the Department's on-site interviews, 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 should review their response subsequent to sexual harassment complaints to determine if this perception is accurate. Should there be evidence of inconsistency, USNA should take corrective action.

**Enhance feedback to midshipmen by using XYZ cases that represent the broad range of SAPR case outcomes**

Enclosure 10 of DoDI 6495.02 requires sexual assault prevention and response training to explain the nature of sexual assault in the military environment using scenario-based, real-life situations to demonstrate the entire cycle of prevention, reporting, response, and accountability procedures.<sup>vi</sup>

The XYZ cases used at USNA only highlighted cases where accused offenders were convicted. USNA should expand its training to include explaining the full range of possible case outcomes sets reasonable expectations for all midshipmen about the military justice system.

# Line of Effort 4: Advocacy/Victim Assistance

The USNA is in compliance with DoD and DoN policy requirements for the Advocacy/Victim Assistance LOE.

The SAPR Response Team at USNA consists of two full-time SARCs, a lead and a subsidiary, and two full-time SAPR VAs to provide services for the Brigade of Midshipmen, faculty, and staff.

The USNA VLC was the first VLC in the Navy and has been rapidly integrated into the Academy response system. The VLC provides legal services to victims of sexual assault, including helping victims to understand the investigation and military justice process, guarding their legal rights and interests, and facilitating access to recovery resources. Victims have the option of legal support from the VLC, or may choose instead to receive the assistance of the Victim Witness Assistance Coordinator (VWAC). If notified of a sexual assault, the USNA VWAC coordinates victim contact efforts with the VLC and SAPR Office. The VWAC does this to minimize the number of contacts made with the victim.

The midshipmen GUIDEs program provides resources for sexual assault outreach and education at the company level. The GUIDEs provide support service information to peers and assist company officers in various training and discussion forums. GUIDEs and SHAPE Peer Educators begin their summer training together, but the GUIDE training then focuses on ways to provide peer-to-peer support and referrals to other midshipman, as indicated.

The USNA CMEO created Character Advisors, a new company level leadership

opportunity for midshipmen to serve as well-informed counselors for fellow midshipmen on EO and sexual harassment issues. Character Advisors are trained using Defense Equal Opportunity Management Institute (DEOMI) online courses. They serve as EO subject matter experts within the company to provide resources, training, and liaison with the Brigade CMEO. USNA CMEO trained thirty midshipmen who can now offer support, provide reference materials, or bring midshipmen to the CMEO office to make complaints of sexual harassment.

Education and support programs at USNA address the unique needs of male victims. The Naval Academy has a chapter of the "One in Four" Men's Program, a national college and military program that aims to confront rape myths, promote sexual assault prevention, and challenge gender stereotypes. A male midshipman in the program performed an informational presentation for USNA faculty and staff for the first time in April 2015. The Midshipmen Development Center (MDC) also offers a support group for male survivors of sexual assault and abuse, which complements its women's support group. The weekly group is designed to be a safe and confidential place for midshipmen to engage in therapeutic discussions, facilitated by an MDC Clinical Social Worker.

The USNA launched a program to allow victims of sexual assault to request a leave of absence (USNAINST 1050.2) during APY 14-15. The Academy allows midshipmen who file Unrestricted Reports of sexual assault to request a leave of absence from the Naval Academy in support of their recovery. USNA created this option as an alternative to requesting an expedited transfer.

**Status of Compliance**  
**Line of Effort 4:**

● **In Compliance**

## Commendations

---

### Twelve additional CMEOs

USNA brought in a mobile training team from the Center for the Professional and Personnel Development to train 12 permanent party members to become CMEOs in addition to the USNA Commandant CMEO and Command Climate Specialist. The Department encourages USNA to advertise these additional resources to midshipmen.

### Well-organized SAPR program

USNA optimized its SAPR resources by dividing program responsibilities between two closely coordinated offices. USNA SAPRO works prevention and program management, which allows the SARCs in the SAPR Response Team to focus on victim assistance and the response system.

### Sexual assault procedures for representatives leading off-campus Activities

USNA's SAPR Office created an incident checklist for academy officials who travel with sports teams, clubs, and midshipmen engaged in other off-campus activities. These procedures guide the leader through the appropriate steps if an incident of sexual assault is reported to them during an off-campus activity. It provides telephone numbers for the DoD Safe Helpline and USNA's SAPR Response Line. The incident checklist helps to ensure that victim support is maintained even if the incident occurs off-campus. The Department considers this a best practice, and encourages the other two MSAs to adopt it.

### Continued collaboration with Mercy Medical Center

The sexual assault nurse examiner (SANE) program at Mercy Medical Center in Baltimore is a great resource for the Naval Academy. The SANE program director periodically addresses the midshipmen and

provides educational briefings to the GUIDEs twice a year on forensic evidence collection and the forensic exam process. The program director has also provided sexual assault forensic examination training to Brigade Medical Unit providers and USNA victim advocates.

### High quality, specialized care for victims

The Department observed that the mental healthcare delivered by the MDC is of high quality. An expert social worker is at the core of the MDC's services for sexual assault survivors. She provides individual and group therapy for victims while also supporting SAPR educational efforts at USNA. This year she started a support group for victimized men – the first of its kind at an MSA.

## Suggested Enhancement

---

### VLC and USNA SAPRO continue to coordinate and collaborate in order to ensure VLC participation in appropriate training

The Department encourages USNA to consider integrating the VLC into its response-focused sessions to the Brigade of Midshipmen.

## Action Item

---

### Ensure military officers in the chain of command overseeing midshipmen companies provide victims with case status updates

Enclosure 5 of SECNAVINST 1752.4B requires commanders to provide victims making an Unrestricted Report of sexual assault with monthly updates on the progress of their case. This is a non-delegable commander duty.<sup>vii</sup>

As discussed in the body of the report, the Department observed that victims are given several options on who delivers monthly case status updates. USNA is providing updates to victims and has a process in place to do so;

however, the update should be administered by someone within the victim's chain of command.

# Line of Effort 5: Assessment

---

USNA is in compliance with DoD and DoN policy requirements for the Assessment LOE.

The Naval Academy employs multiple data collection methods to assess its training program. This includes inviting midshipmen and Fleet Mentors to critique training that is provided by the SHAPE peer educators and guest speakers.

**Status of Compliance**  
**Line of Effort 5:**

● **In Compliance**

The SAPR training team regularly uses these critiques to assess relevancy, currency, and effectiveness of presentations and curriculum.

The class of 2018 (entering in APY 14-15) participated in a newly enhanced Plebe Summer Survey to measure opinions and attitudes about rape myths, bystander intervention, and other sexual harassment and sexual assault related concepts. Responses to the survey helped tailor SHAPE training to needs of the class.

## Commendations

---

### Strategic Plan can serve as a benchmark for the other Academies

USNA's SAPR Strategic Plan, published in October 2014, is aligned with the *DoD SAPR Strategic Plan*. USNA's strategy clearly delineates goals, prioritizes initiatives, and identifies responsible parties for plan execution. The SAPR strategy also effectively incorporates efforts to address and prevent sexual harassment. USNA's Strategic Plan integrates sexual harassment program equities exceptionally well and sets the benchmark for the other Academies.

### Monthly quality assurance reviews of DSAID data (sustain)

The Department observed that USNA's data in the Defense Sexual Assault Incident Database (DSAID) were complete and appropriately recorded after completing a DSAID review. This can be attributed to the USNA SARC conducting monthly quality reviews of the DSAID data. USNA responds quickly and effectively to all DoD DSAID requests.

### Assessing SAPR concepts from academic curricula and training; incorporating results back into curricula and training (sustain)

USNA's Training Specialist is invaluable to the program. The Training Specialist regularly assesses how SAPR concepts are being incorporated into academic and training curricula. Year after year, she has worked to keep USNA's SAPR education fresh and interesting. The other Academies could benefit from her approach to curriculum development.

## Suggested Enhancements

---

### Administer the climate assessment in the fall (September or October)

USNA conducts climate surveys during the spring semester. USNA could improve its communication of the survey results by administering the climate surveys in the fall and use the results to inform climate improvement efforts throughout the remainder of the APY. The Department encourages USNA to consider administering the newly developed Military Academy Organizational Climate Survey (MAOCS) in the fall.

### **Streamline the feedback process for climate assessment results**

Climate survey results are currently broken down by company, briefed to the Commandant, and compiled into company level briefings. The Commandant gives overall feedback from the results to the midshipmen, while company officers brief their respective companies. The CMEO briefs

results to all battalion and company officers and senior enlisted leaders. Multiple reviews of the climate survey result in significantly delayed out-briefs to the midshipmen. The Department encourages 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.

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

The following section provides the actions that USNA has taken to implement Secretary of Defense initiatives. The initiatives listed below were either issued by the Secretary of Defense in February 2015 or considered “in progress” by the Department in the APY 13-14 Report. While not all actions are complete, USNA provided evidence that it is making progress on each action.

Secretary of Defense Initiatives USNA Progress at a Glance	
	Status
Targeted Interventions	→ In Progress
Improving Sexual Assault Reporting	→ In Progress
Expand Alcohol Policies	● Complete
<span>● Complete</span> <span>→ In Progress</span> <span>✘ No Progress</span>	

## Targeted Interventions

**Requirement:** In 2014, the Service Academy Gender Relations Survey found that sophomore women at all three MSAs experienced 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.

**USNA Action:** The Naval Academy provided its plans to conduct targeted discussions to both Third Class Midshipmen and those who lead, interact with, and mentor midshipmen. The midshipmen will receive tailored training in calculated intervals, designed to foster critical thinking and behavior changes.

Looking beyond third class midshipmen, USNA will conduct targeted training and discussion with key stakeholders, including those who lead, mentor, coach, and otherwise interact with this year group. These discussions will address professional relationship expectations and factors behind higher rates of sexual assault experienced during the third-class year than the other three class years.

**Status: In Progress.** The Department looks forward to an update on targeted training implementation and execution in the Naval Academy’s forthcoming self-assessment in the next APY.

## Improving Sexual Assault Reporting

**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 continues to strive to decrease the margin between prevalence of sexual assault and actual reporting of these incidents. USNA conducted an online survey in April 2015 to assess ways to improve reporting and response. USNA intends to use the results from the 220 anonymous midshipman respondents to add credibility and capacity to its response system. USNA also continued its discussions between leadership and midshipmen, faculty, and staff to understand how retaliation is perceived at the Academy and its potential impact on climate and reporting.

**Status: In Progress.** USNA is analyzing the survey results to guide its future efforts. The Department looks forward to an update on its initiatives to improve reporting in the Naval

Academy's forthcoming self-assessment in the next APY.

## **Expand Alcohol Policies**

---

**Requirement:** Academies were to review and systematically expand institutional alcohol policies to address risk factors beyond the individual use of alcohol, to include such matters as training of alcohol providers, alcohol availability, and community outreach.

**USNA Action:** The Naval Academy Business Services Division (NABSD) requires all servers at the Academy to complete TIPS (Training for Intervention ProcedureS), a third party training program that is designed to prevent intoxication, underage drinking, and drunk driving by enhancing the skills of servers. The program addresses a variety of topics, including alcohol's effects on the body,

proper serving size, checking identification, documenting incidents, server responsibilities, evaluating cues for level of intoxication, and strategies for intervening when someone has consumed too much alcohol. All servers at the Naval Academy Club, as well as servers at events on the Yard that are catered by NABSD, are required to complete TIPS training. A trained server is also provided whenever a keg of beer is purchased from NABSD. A midshipman in uniform is present to check identification and to ensure that an environment of responsible drinking is maintained at any event at the Naval Academy Club where midshipmen are served alcohol.

**Status: Complete.**

# Assessment of Action Items from Previous Reports

The Department assessed the three open action items USNA had from prior assessments and found sufficient evidence to close two action items, with one remaining open.

Previous Action Items USNA Progress at a Glance	
	Status
Implement MSA Modified Pre-Command Training	● Complete
Submit Sexual Harassment Training for Approval	● Complete
Develop and Execute Additional Metrics for SAPR Program	➔ In Progress
● Complete   ➔ In Progress   ✖ No Progress	

## Implement MSA-Modified Pre-Command Training

**Requirement:** Academies were to provide an MSA-modified version of its Service’s pre-command training for all faculty, company/squadron officers, and senior enlisted leaders.

**USNA Action:** Pre-Command training was developed by USNA SAPRO and provided to company officers, and senior enlisted leaders first in May 2014 and will continue on a yearly basis. USNA SAPRO provided faculty with the opportunity to take the pre-command training in addition to their mandated annual training. Faculty have received and will continue to receive mandated training per the DoDI 6495.02 under the “Training and Requirements for DoD Personnel” section. These SAPR training requirements have been met for all military and civilian faculty, using the annual general military training and annual civilian SAPR training requirements at USNA. All USNA instructors are required to complete the “SAPR Training for Instructors” module on the USNA intranet. This Naval

Education and Training Command training module specifies requirements and expectations of the naval instructor unique to the classroom environment.

**Status: Complete.** Pre-command training was provided to company officers and senior enlisted leaders during APY 14-15.

## Submit Sexual Harassment Training for Approval

**Requirement:** The Academies were directed to comply with DoD policy by submitting sexual harassment training programs to DEOMI for approval.

**USNA Action:** The Command Climate Specialist at USNA has reviewed all training on sexual harassment awareness and prevention that midshipmen received during the APY 14-15. The training included all required topics, including the definition of sexual harassment, the types of sexual harassment, avenues to address sexual harassment, the Informal Resolution System, and the formal and informal complaint processes. Training also included points of contact for filing sexual harassment complaints at USNA.

**Status: Complete.** USNA’s Command Climate Specialist has been DEOMI trained and is an approved reviewer of its sexual harassment awareness and prevention training. All training complies with DoD and Navy policy.

## Develop and Execute Additional Metrics for SAPR Program

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

**USNA Action:** The USNA SAPR Advisory Panel reviews results from academy surveys and focus groups and has used them to modify training and SAPR response efforts. The SAPR Advisory Panel has offered two new initiatives based on these sources of data. The first is to create a position for a Human Dignity and Responsibility Assessment Specialist within the Office of Institutional Research. USNA's SAPR Advisory Panel recommended a full-time assessment specialist under the Director of Institutional Research, for the formal, comprehensive, continuous, and integrated assessment of SAPR, CMEO, and Alcohol and Drug Education Officer as a "human dignity and responsibility" set of programs. The second proposed initiative is the creation of an exit survey for commissioning 1/C midshipmen (seniors), designed to assess the effectiveness of SHAPE training across their tenure at the academy, by comparing these results to the 4/C midshipmen (freshman) survey. Since 2010, 4/C midshipmen (freshmen) have been provided a SHAPE Survey, designed to better understand attitudes and beliefs of incoming

freshmen and allowing for the adaptation of the SHAPE curriculum as warranted by the changing mindsets, behaviors, and education level of the entering class. A second voluntary survey has been proposed for 1/C midshipmen (seniors), to better understand the beliefs, attitudes, and behaviors. The USNA Advisory Panel discussed the issue and recommended that the initiative be re-explored. The ultimate goal would be to assess and compare changes in mindsets and behaviors from 4/C (freshmen) to 1/C (senior) midshipmen.

**Status: In Progress.** USNA, through its SAPR Advisory Panel, is consistently assessing feedback and reviewing data covering the full spectrum of the SAPR Program. The Department considers this action item to be in progress since the two initiatives proposed by the USNA SAPR Advisory Panel have not been completed. The Department looks forward to future updates.

---

<sup>i</sup> Department of Defense Sexual Assault Prevention and Response Office (2014). *2014-2016 Prevention Strategy*. Retrieved from <http://sapr.mil/index.php/prevention/prevention-strategy>

<sup>ii</sup> Secretary of the Navy Instruction 5300.26D 9.b., "DoN Policy on Sexual Harassment," January 3, 2006. Retrieved from <http://doni.daps.dla.mil/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-300%20Manpower%20Personnel%20Support/5300.26D.pdf>

<sup>iii</sup> Department of Defense Instruction 6495.02, Enclosure 9.1.d., "Case Management for Unrestricted Reports of Sexual Assault," Incorporating Change 2, July 7, 2015. Retrieved from <http://www.sapr.mil/index.php/dod-policy/dod-and-service-policy#DoD-policy-mod>

<sup>iv</sup> Secretary of the Navy Instruction 1752.4B, Enclosure 7 2.a.(8)(a), "Healthcare Providers Procedures," August 8, 2013. Retrieved from <http://doni.daps.dla.mil/Directives/01000%20Military%20Personnel%20Support/01-700%20Morale%20Community%20and%20Religious%20Services/1752.4B.pdf>

<sup>v</sup> Secretary of the Navy Instruction 5300.26D 7.b., "DoN Policy on Sexual Harassment," January 3, 2006. Retrieved from

---

<http://doni.daps.dla.mil/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-300%20Manpower%20Personnel%20Support/5300.26D.pdf>

<sup>vi</sup> Department of Defense Instruction 6495.02, Enclosure 10 3.c.2., "Training Requirements for DoD Personnel," Incorporating Change 2, July 7, 2015. Retrieved from <http://www.sapr.mil/index.php/dod-policy/dod-and-service-policy#DoD-policy-mod>

<sup>vii</sup> Secretary of the Navy Instruction 1752.4B, Enclosure 5 3.g.(2), "Commander and Management Sexual Assault Prevention and Response Procedures," August 8, 2013. Retrieved from <http://doni.daps.dla.mil/Directives/01000%20Military%20Personnel%20Support/01-700%20Morale%2c%20Community%20and%20Religious%20Services/1752.4B.pdf>