



Enclosure 2: United States Naval Academy Self-Assessment





THE SECRETARY OF THE NAVY
WASHINGTON DC 20350-1000

January 25, 2019

MEMORANDUM FOR UNDER SECRETARY OF DEFENSE FOR PERSONNEL
AND READINESS

SUBJECT: Department of Defense Academic Program Year 2017-2018 Report on Sexual Harassment and Violence at the Military Service Academies

As requested in your memorandum of July 3, 2018, attached is Department of the Navy input regarding efforts to combat sexual harassment and sexual assault at the United States Naval Academy during Academic Program Year 2017-2018. The submission includes programmatic self-assessments conducted by the Academy.

I am committed to a culture of dignity and respect, where both military personnel and civilian employees are measured against the highest ethical standards. I also want to ensure that victims receive coordinated supportive services, offenders are held appropriately accountable, and that sexual assault and sexual harassment are never tolerated.

The Naval Academy's Sexual Assault Prevention and Response Program reflects engaged leadership at all levels, beginning with peer-to-peer mentorship and reinforced by guidance from the Commandant of Midshipmen and the Superintendent. Training programs have evolved as the Academy continuously assesses for needed changes across all academic year groups and preparatory programs. The primary focus remains transitioning young adults into Junior Officers who embody our core values and are equipped to lead Sailors and Marines who treat everyone with dignity and respect.

Should you require additional information, my point of contact for this action is Ms. Melissa Cohen, Director, Department of the Navy Sexual Assault Prevention and Response Office. She may be reached by telephone at (703) 697-2180 or by e-mail at melissa.e.cohen@navy.mil.



Richard V. Spencer

Attachments:
As stated

cc:
DoD SAPRO

United States Naval Academy (USNA)

The following section requests an update on the Plans of Action submitted in response to the Office of the Under Secretary of Defense for Personnel and Readiness June 2017 Memorandum. Additionally, the following section requests an update on the status of assigned tasks from the Sexual Assault Prevention and Response Strategic Plan “Task List.”

1. Promote Responsible Alcohol Choices – To produce changes in attitudes and behaviors related to alcohol use, as well as change the context in which alcohol use occurs, the MSAs will submit plans to address attitudes and behavior around alcohol use and misuse.

1.1 Summarize and list new and existing responsible alcohol choices training programs.

Our goal this Academic Program Year (APY) was to produce changes in attitudes and behaviors related to alcohol use, as well as change the context in which alcohol use occurs. Our program addressed the culture that surrounds alcohol use and misuse. We sought to maintain an environment that not only promoted responsible use of alcohol, but also healthy alternatives to alcohol. The program focused on holding everyone accountable for their actions and highlighted the essential role that leaders play in setting the example for all midshipmen to follow.

Established a Mission Statement – To accomplish our goals, the Commandant’s Alcohol Working Group (AWG) first developed a mission statement that provided the foundation for our focused efforts: “To develop junior officers who understand and demonstrate the responsible use of alcohol by taking personal ownership of their actions, assuming responsibility for the welfare of their shipmates, and avoiding the destructive use of alcohol.” Around this, we built an education program that sought to increase awareness and collective responsibility.

Brigade-Wide Briefs – We continued the past precedent of four Brigade-wide briefs aimed specifically at addressing alcohol issues. These briefs occurred at the beginning of each semester during the Reform period, prior to departing on Summer Training, and during Alcohol Awareness Week prior to Spring Break.

Midnight Teachable Moments – We continued and increased participation in the Midnight Teachable Moments program, a company-level scenario-based training event aimed at addressing issues surrounding alcohol that midshipmen may see while on liberty.

“Keep What You’ve Earned” – We continued and expanded the “Keep What You’ve Earned” campaign, utilizing those that have been negatively affected by alcohol as a resource to educate the Brigade and advance our mission statement.

Guardian Angels – The midshipman staff developed the Guardian Angel program. This involved midshipman leadership taking responsibility for the actions of other midshipmen on liberty and ensuring that everyone made it home safely. Not only did this decrease the number of potential alcohol related incidents, it served as a leadership example for those serving in the program and those observing their actions.

Eliminated Ineffective Program – We eliminated the “21st Birthday Training” program because the AWG, comprised of influential midshipmen and officers in Bancroft Hall, determined that it was ineffective in curbing the abuse of alcohol and often encouraged it. All program associated resources were terminated.

Targeted Message at an Important Time – Alcohol Awareness Week was again conducted the week prior to Spring Break. This involved daily discussion topics pertaining to responsible use, company-

level training, an incredibly meaningful Brigade-wide brief given by three individuals whose lives have been permanently altered by alcohol abuse, and a 5K race to promote responsible choices.

1.2 Discuss additional implementation plans required to deploy the curriculum, including training for permanent party staff.

Formalized Training Plan – The AWG began the process of creating a formalized training plan with specific objectives for each class. The AWG met to discuss the most effective methods for getting our message out to the Brigade and the most important objectives to get across for each year group. Permanent party staff will plan a key role in those messages.

Midnight Teachable Moments – The frequency of the Midnight Teachable Moments training was doubled from 15 times a year to 30 times a year due to input directly from midshipmen involved in the Alcohol Working Group. Feedback on the effectiveness of the program was incredibly positive, and we intend to continue with this training and expand it to include more underclass midshipmen. Since it occurs at the company level, Company Officers (CO) and Senior Enlisted Leaders (SEL) play a huge role in the delivery and implementation of this important training.

XYZ Cases – “XYZ Cases,” published for the midshipmen, faculty, and staff similarly to Plan of the Week announcements, were utilized throughout the APY updating midshipmen on alcohol use policies and using conduct adjudications as a preventative method to help guide midshipmen in their future decision making choices.

SHAPE Curriculum Collaboration – The AWG coordinated and collaborated with the Director of Prevention Education to ensure SHAPE curriculum addressed appropriate messages of responsible alcohol use and its importance in sexual assault prevention. Conversely, we ensured that all alcohol training included appropriate messages sensitive to SAPR victim concerns addressing proper prevention methods taught throughout the 4-year SHAPE curriculum.

1.3 Summarize efforts to review and list any changes made to the institution’s alcohol policy.

Updated Instruction – Reviewed COMDTMIDNINST 5350.1C, which establishes an Alcohol and Drug Education Officer (ADEO) and corresponding responsibilities for all members of Commandant’s Cost Center. An updated instruction will include streamlined processes for requesting alcohol training events, a discussion of new programs being implemented, and a training plan to be carried out each year.

Breathalyzers – Breathalyzers were used as a training tool at Midnight Teachable Moments and other sanctioned, controlled, company-level events. They were not used at the gate as midshipmen returned from liberty as they had been in the past. This practice was discontinued due to midshipmen feedback that it became a competition to see who had a higher BAC and was counterproductive to our prevention efforts.

Sanctioned Tailgating – We broadened tailgating at the USNA sporting events to include opportunities for supervised unit-level social events beyond the fall football season. COMDTMIDNINST 1531.1, the Commandant’s Tailgating Instruction, was signed and implemented to govern the policy and procedures ensuring the safe and responsible execution of these events under appropriate supervision.

Firstie Club – “Firstie Club” was established and utilized in the fall semester as an option for First Class Midshipmen to consume alcohol in an on-base, supervised setting during the week. The Alley at the Naval Academy Club was selected as the location for Firstie Club. The club was open to First Class Midshipmen on Thursday nights throughout the fall semester. It was not utilized during the

spring semester due to midshipmen choosing to take advantage of authorized town liberty on week nights.

Second Class Club – The framework was laid for Second Class midshipmen to open a “Second Class Club” toward the end of spring semester in preparation for their use of Firstie Club the following fall. The plan involved an educational setting with interaction from senior officer leadership. While Second Class Club was not implemented this year, plans continue for it to be utilized in the spring of 2019.

1.4 Discuss the office identified to have the primary responsibility to collect data, analyze results, regularly brief on progress, and recommend courses of action to leadership.

The Alcohol and Drug Education Officer (ADEO) program, working with the AWG and Brigade DAPA advisors, provides recommendations for alcohol program changes to the Commandant of Midshipmen. The Commandant is briefed weekly on alcohol-related incidents, statistics comparing incidents year-over-year, and current treatment plans for midshipmen with alcohol abuse problems.

1.5 Discuss new and existing milestones and metrics used to assess new and ongoing alcohol programs.

The AWG and the ADEO program are the primary methods of feedback from the Brigade on the effectiveness of training programs. These teams are constantly assessing ways in which to improve our message in a way that will resonate with midshipmen. In addition, statistics on alcohol-related incidents are updated weekly and briefed to the Commandant.

2. Reinvigorate Prevention – To reduce sexual assault, sexual harassment, and other readiness-impacting behaviors, the MSAs will work with their respective Military Service’s sexual assault prevention and response leadership to ensure the Academies’ sexual harassment, hazing, and bullying prevention efforts are integrated with the overall sexual assault prevention program.

2.1 Summarize and list new and existing prevention training initiatives.

This APY, we sought to reduce sexual assault, sexual harassment, and other readiness-impacting behaviors by continuing to work with DoD and DON sexual assault prevention and response leadership to ensure sexual harassment, hazing, and bullying prevention efforts were integrated with the overall sexual assault prevention program. We recognize that these efforts will take time and need to remain adaptable as the culture and environment outside the institution continues to change. The events surrounding Harvey Weinstein and the #metoo movement weighed heavily on the environment and popular culture surrounding our midshipmen throughout the year. Our Sexual Harassment and Assault Prevention Education (SHAPE) program operated in parallel and separately from our response efforts, but we sought advice from experts in the field, most notably Dr. Dorothy Edwards, to further refine that distinct departure from response-based training to prevention-based training. Even though we were greatly disappointed Dr. Edwards’ availability was cut off, after what seemed a promising start, we continued the revisions to the curriculum to keep it a solution-focused program equipping midshipmen with the skills and aptitude necessary to lead Sailors and Marines. The program continues to be facilitated by subject matter experts, and midshipmen are taught by specially-trained midshipmen following an updated syllabus informed by the latest research and innovative methods. We continue our commitment to adapting our program to best prepare midshipmen for all leadership challenges in the Fleet and Marine Corps and fulfilling the mission of the United States Naval Academy to develop leaders morally, mentally, and physically that are dedicated to a career in Naval service.

Director of Prevention Education - An important task accomplished this APY was promoting our Training Specialist into the previously gapped Director of Prevention Education position, giving her more access to the leadership and formally codifying her duties and responsibilities.

Revamped Initial SAPR Training for Plebes in Plebe Summer – We streamlined the summer program to remain in compliance with all instructions requiring new accessions receive training within 14 days of reporting, and to put company leadership in front of the new plebes sooner. Instead of three phases, we reduced the program to two, with the 2nd phase being a 90-minute SAPR discussion conducted at the platoon level by the CO or SEL teaching alongside a member from the SAPR department. Initial feedback was very positive from both midshipmen and company leaders, citing that the unified message aids information retention and allows permanent party staff to play a more prominent role in shaping attitudes and beliefs by clearly defining their expectations early on. Leaders were better able to convey the standards they require with regard to dignity and respect and were able to do so much earlier in the training cycle than in years past.

SHAPE Third Class Curriculum – The female-only session was rewritten to focus on identifying relevant gender expectations and how they impact individual and collective experiences as military women. Overwhelming feedback from female midshipmen requested that their revamped session generate strategies for fostering supportive environments premised on treating everyone with dignity and respect. This feedback originated from female peer educators that saw the changes to the Third Class male-only sessions that were implemented this APY and demanded their sessions be updated, too.

Equal Opportunity (EO) and Sexual Harassment (SH) Training – EO and SH training is approved annually by DEOMI to incorporate recurring changes and reflect the current state of the Navy. The USNA Command Managed Equal Opportunity (CMEO) office further tailors this curriculum to administer it to the Brigade of Midshipmen. Training discussions are led at the platoon level by the CO and SEL, along with CMEO's and CCS's guidance. Elements of EO and SH concepts are also incorporated into the SHAPE program curriculum.

Leadership, Ethics, and Law (LEL) 4-Year Curriculum – The academic core leadership curriculum taught by the LEL department is a key facet of our prevention program because it addresses dignity and respect at its most basic level and connects it to the tenets of being a naval officer. The core LEL courses, one taken each year, build on the midshipman experience in successive order: developing the individual during their plebe year; an individual of character in their second year; a leader of character in their third year; and finally a leader of character effectively utilizing the framework of the Navy's legal system during their fourth year. These courses are continually updated to support SAPR initiatives as they relate to command climate and treating Sailors and Marines with dignity and respect.

2.2 Provide implementation plans required to deploy the curriculum, train education providers, assess the quality of implementation, and understand its impact on behavior.

Four Year Graduated Program – The SHAPE program currently has nine mandatory midshipmen-led education sessions (four for plebes, three for Third Class, and two for Second Class) that are supplemented by a mandatory presentation from an outside guest speaker for each of the four academic classes. First Class Midshipmen receive SHAPE education as part of their Capstone Course. Capstone discusses real-life sexual assault and sexual harassment case studies in both small and large groups moderated by officers and senior enlisted leaders. SHAPE focuses on broadening midshipmen's awareness of sexual harassment and assault by emphasizing their role as an active bystander. Cultural issues are addressed. Myths are deconstructed and accepted behaviors are emphasized. Midshipmen are taught SAPR is a leadership issue, and the program is dedicated to providing them with practical tools to intervene proactively and foster professional environments based on the values of treating all Sailors and Marines with dignity and respect. These concepts build on each other as midshipmen develop in age, experience, and rank.

Importance of Detailed but Flexible Script – Each peer-educated session has a detailed script with educators extensively trained on that script, but we encourage them to use their own language, and not to read the script verbatim. Deviation from the language is accepted but not from the content or flow. SHAPE sessions take place during the evening hours to best integrate the learning into busy schedules. Each 1-hour training session simultaneously employs more than 30 midshipmen peer educators and 15 fleet mentors in order to train an entire regiment of same-year midshipmen (approximately 500+) in one night. Each session is led by two SHAPE peer educators accompanied by an active duty fleet mentor, and is discussion-based to encourage active participation. Videos, case scenarios, stories, and activities that promote active participation are utilized to solidify prevention concepts.

Peer Educators are the Cornerstone – The SHAPE program has more than 80 midshipmen peer educators. They are volunteer midshipmen who must formally apply to the program and submit recommendation letters from a current SHAPE peer educator and officer or senior enlisted in their chain of command. They undergo an interview and selection process after that. Once selected, educators must annually attend an intensive 72-hour train-the-trainer course during Block Zero Training period. They receive a full summer Professional Training Event (PTE) credit for this intensive two-week course. Often these volunteers give up leave and other training opportunities to be a part of the program. The training consists of subject-matter lectures and discussions, session modeling and practice on curriculum delivery, teaching and public speaking skills, and team building exercises.

SHAPE Curriculum Assessment – Quality of implementation is continually assessed. Formal peer-to-peer feedback is anonymously provided by the midshipman students via Google Survey software after every session. Outside speaker performance is evaluated by the audience via the same software and used by the speakers to modify their presentations in future engagements. All feedback is reviewed by the midshipmen peer educator team and used to address problems or deficiencies in delivery. Subject matter experts, through the Director of Prevention Education, use the feedback to modify curriculum content or make revisions addressing audience reception of important concepts.

Overall USNA Prevention Program Assessment – A survey assessing the attitudes and beliefs in relation to rape myth acceptance and bystander intervention is disseminated to midshipmen twice in their four year careers at USNA. On entering the Academy, plebes receive this survey during their Plebe Summer indoctrination. At the completion of the entire SHAPE curriculum, the First Class receive the survey during their final semester. We currently have data from the plebe classes beginning in 2012. The Class of 2018 was the first “Senior” class to take the survey as First Class Midshipmen, and we hope to have data in a few years to assess whether the 4-year SHAPE program changed or improved attitudes and beliefs surrounding rape myth acceptance and bystander intervention.

2.3 Discuss new and improvements to existing methods for preparation of permanent party staff to support prevention initiatives.

Inter-Semester SAPR Training Update – As discussed in 2.1, the new Plebe Summer Phase II training more effectively utilizes permanent party staff directly in charge of midshipmen. In addition to receiving training from the SAPR Department to then execute midshipmen training side-by-side with SAPR Department instructors, they also receive refresher training between the first and second semester. That mandatory session addresses any updates to the prevention program and allows a mid-year assessment of both prevention and response efforts across all 30 companies.

Fleet Mentor Program – Every SHAPE session has a volunteer officer or senior enlisted leader present to aid in guiding the midshipmen SHAPE instructors. The cadre has never been stronger with over 60 volunteers participating last APY. Every major academic department and every battalion have representatives from the permanent staff ranks.

State of the SAPR Program Series – Last APY, we began a series of “State of the SAPR Program” discussions held at the Departmental level where the SAPR Program Manager was the guest speaker at various department meetings and at a special session of the Faculty Senate. Updates on the program included curriculum updates, results of the 2016 SAGR Survey, and response procedures and responsibilities. These sparked great collaboration and increased program knowledge throughout the Yard (campus).

New Guest Speaker – Guest Speakers CAPT Roy Nafarrete (Change the Culture) and Don McPherson (Gender Relations) were added into the program during the APY, and they both spoke to permanent party faculty and staff. Don McPherson has been added to the permanent curriculum of SHAPE speaking to Third Class Midshipmen. Collaboration with West Point during the fall SHARP Summit helped us secure this valuable addition to our program. Future plans include adding a presentation from a military survivor of sexual assault to be given to the Second Class.

Coach, Officer Representative, and Athletic Trainer Reporting Protocol and Procedures – The SAPR department assisted Naval Academy Athletic Association (NAAA) in updating its trainer/coach care protocol and report procedures (in wake of the events occurring at Michigan State) to ensure that all athletes at the Naval Academy receive the appropriate care and are protected from inappropriate behavior while participating in athletic activities. The Program Manager continues to address all coaches and officer representatives on an annual basis updating them on key issues of the program.

Beginning this APY, the LEL NL110 (Preparing to Lead) instructor cohort, both permanent party and rotational instructors, participated in a robust collective faculty seminar specifically focused on providing foundational knowledge and understanding to all instructors. This was an improvement to our previous model, which relied heavily on weekly curriculum meetings to deliver key information. This innovation in faculty development allowed subject matter experts to better prepare instructors with important concepts before the beginning of the formal academic year. We observed a significant improvement in our instructors’ preparedness and comfort with all topics (especially the SAPR and other life skills topics) improving the moral development of the students.

2.4 Discuss the activities and responsibilities of the office or entity assigned to track the results of prevention initiatives, coordinate with various stakeholders, and report to the Superintendent.

SAPR Program Manager – The SAPR Department, led by the SAPR Program Manager (Navy O-6), serves as the key advisor to the Superintendent on the USNA SAPR program. He/she exercises administrative oversight of the program, including management of all instructions and the overall strategic training and education plans. He/she shall collaborate with the Lead SARC in matters involving response protocols for all first responders, including watchstanders, SAPR Victim Advocates (VA), medical personnel, chaplains, legal personnel, Base Security, MDC personnel, and Fleet and Family Services staff. He/she shall: enhance communication and information-sharing across the campus; serve as liaison to Service and DoD higher authorities in SAPR program matters; conduct outreach and collaborate with local community to augment or enhance the program; work with designated midshipmen GUIDEs and SHAPE Peer Educators for outreach and training; and serve as the command SAPR Point of Contact, ensuring responsive command management of alleged sexual assaults and compliance of SAPR program requirements. Sexual harassment prevention efforts and other efforts of diversity and equal opportunity are conducted by an active duty officer (currently an O-3) who works directly for the Commandant of Midshipman. Both offices coordinate training sessions and messages overlap both programs. The SAPR Program Manager billet is nominated by the Navy Bureau of Personnel and accepted by the Superintendent. The SAPR Program Manager signs all performance evaluations of Naval Academy SAPR department employees.

Director of Prevention Education – The Director of Prevention Education (DPE) reports directly to the SAPR Program Manager as the senior civilian subject matter expert in the topics of sexual assault and sexual harassment prevention, education, and training. The DPE position has the overall responsibility of strategic planning, implementation, and assessment of the Naval Academy's sexual assault prevention and response efforts. The DPE is responsible for research, development, implementation, and maintenance of all SAPR prevention programming. The DPE is the subject matter expert advising the Superintendent and Commandant through the Program Manager. The DPE has the responsibility for the training and education of all midshipmen, staff and faculty in the areas of sexual assault and sexual harassment, and the DPE ensures that all programming is aligned with DoD, DON, and USNA directives. This training includes “Train the Trainer” responsibilities of all midshipmen designated as SHAPE Peer Educators and midshipmen serving as Guidance, Understanding, Information, Development, Education (GUIDEs). During this APY, the Director of Prevention Education was promoted to the GS-12 paygrade from her previous Training Specialist position at the GS-11 paygrade. The promotion assists in access to leadership and overall visibility throughout the Yard.

Academic Faculty Liaison – Dr. Judy Rosenstein, Associate Professor of Sociology, SHAPE Content Consultant, and Research Expert assists the program in her official capacity as the subject matter expert within the academic realm of the program. Her position description contractually binds her to the SAPR Program in addition to her academic duties in the Leadership, Ethics, and Law (LEL) Department. She is the point of contact and lead for the assessment surveys, and she assures SHAPE compliance with all the latest prevention research.

Academic Assessment Report – The USNA AY18 Academic Assessment Report assesses our leadership program every year. LEL assessed 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 LEL classes and directly assists in enhancing a culture of respect and developing leaders of character equipped to address an environment that seeks to prevent sexual assault. Our efforts are aligned with the USNA SAPR strategic plan. We will continue to collaborate and modify our approaches when appropriate.

3. Enhance Culture of Respect – To establish and promote continuing respect between cadets and midshipmen, the MSAs will take steps 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.

3.1 Discuss efforts and plans to address command climate overall and specifically to target the problem areas described in the directive.

A culture of respect lies at the heart of training midshipmen to become commissioned officers. We reviewed and revised our indoctrination training, military education, academic programs, and permanent party in-service and preparatory programs. Guidance comes straight from the Superintendent and Commandant that the Naval Academy shall maintain a culture that is free from sexual violence, sexual harassment, hazing, and bullying. Collaborating across the entire spectrum of Naval Academy leaders who contribute to midshipmen development, a Life Skills Working Group identified many topics vital to preparing young men and women to be effective commissioned officers. The topics ranged from healthy nutrition and sleep habits to relationship/interpersonal skills and conflict resolution. Many of the topics were already sufficiently covered over the four-year training plan, but we enhanced our efforts on several important topics. Indoctrination training, core academic classes, and supplemental seminars offered throughout the four-year course of study by various subject matter experts were implemented. The Commandant's Staff, SAPR Department, Midshipman Development Center, Department of Leadership, Ethics, and Law, Leadership Education and

Development Division, Division of Professional Development, and Chaplains Center all played vital roles in these efforts. Specifically, the Naval Academy has rolled out a new initiative:

New Life Skills Handbook – Program managers thoroughly reviewed the academic leadership curriculum and drew intentional links between courses that reinforce the principles of building and maintaining a culture of respect. Morality and actions that marginalize abusive behavior were highlighted and reinforced. A Life Skills Handbook was created to cover topics that midshipmen and faculty/staff identified as needing more attention. The handbook was prepared as a LEAD Master’s Degree project and supported by USNA leaders across multiple key departments involved with the development of midshipman training and mentorship. The handbook’s desired end state is to have Naval Academy graduates who are well prepared to tackle life’s challenges once they leave Bancroft Hall. Admittedly, not all lessons can be learned in the classroom or captured by military training, but the handbook attempts to provide a resource for the key influencers in the lives of midshipmen (coaches, faculty and officer representatives, company officers, sponsor families, etc.,) who have unique opportunities to engage midshipmen individually at the point of impact as they work through the challenges of life. The handbook suggests critical conversations to have with midshipmen. If the simpler tasks in life can be mastered, then maybe the difficult life skills can be more effectively overcome. Topics include nutrition, healthy sleeping habits and active coping mechanisms, active listening skills, and harmful effects of pornography. Professional skills such as communication and negotiation tactics, signs of fraternization, and social media navigation are addressed, along with mastering the basics such as planning meals, paying bills, and buying insurance. Ten subject matter experts from across the USNA faculty and staff contributed to the 23 life skills topics in this handbook. The goal is that these guides aide productive discussion and facilitate the life skill development of midshipmen that is difficult to achieve in formalized and less personalized settings.

3.2 Discuss new and existing methods used to evaluate and assess implementation and outcomes of programs developed to reinvigorate prevention and enhance a culture of respect.

In addition to the assessment tools already addressed in 2.1 and 2.2:

Results of Office of People Analytics (OPA) Survey – Results of the survey taken in March of 2018 will directly inform the strategic plan going forward. While we know that prevention education takes many years to show progress, incremental changes are made where survey results suggest change is needed.

First Class Exit Survey – The Class of 2018 was the first graduating class to participate in a survey that measures midshipmen’s attitudes and beliefs at the completion of their four-year SHAPE curriculum. The results will be compared with their plebe year survey to determine any progress or effectiveness of USNA programs.

Brigade Pulse Check and Annual Climate Survey – 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 the complainants resources to help resolve particular situations. It’s an all-inclusive outreach effort that is tailored to meet and address overall climate needs. 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, EO returns to one-on-one interviews and builds another plan to address the shortcomings of the previous plan. It’s an ongoing process designed to stimulate greater communication until the conflict is resolved.

4. Improve Sexual Assault and Sexual Harassment Reporting – To instill a culture of reporting sexual assault, harassment, and other misconduct, the MSAs will review the findings of previous MSA reports and provide a plan to reduce barriers to reporting within the Academies.

<p>4.1 List and describe efforts to encourage greater sexual assault reporting.</p> <p>We have worked hard to establish and maintain a culture at the Naval Academy that reduces barriers and promotes the reporting of sexual assault, harassment, and other misconduct. We continue to ensure that we are in full compliance with all DoD and DON instructions and remain committed to holding all perpetrators accountable. Local programs like our Leave of Absence program and support groups at the Midshipman Development Center (MDC) were utilized by record numbers of midshipmen this APY and remain important tools to encourage midshipmen to seek proper care for short and long-term healing. Faculty, staff, and midshipmen recommitted themselves to improve our culture of dignity and respect and reduce the number of incidents involving sexual harassment and sexual assault. Providing the best care possible to our victims and survivors is essential to retaining the trust of the midshipmen and encouraging reports. We also remain committed to holding perpetrators accountable for their actions.</p>
<p>4.2 Describe any updated Academy policies that pertain to sexual assault reporting.</p> <p>During the APY, we had ten midshipmen take advantage of our new Leave of Absence (LOA) option available for victims of sexual assault. Five returned fully integrated back into the Brigade, while four processed out of the institution for medical reasons. One midshipman is currently on LOA with future plans still pending. The LOA option gives midshipmen more reasons to file unrestricted reports, and our response office and the Commandant continue to receive feedback from midshipmen that this new option represents a great improvement to our reporting process.</p>
<p>4.3 Discuss steps taken to improve sexual harassment reporting and/or use of Military Equal Opportunity resources to resolve issues of sexual harassment.</p> <p>New anonymous reporting protocol now allows midshipmen the opportunity to report EO and sexual harassment concerns without the stigma traditionally attached to “whistle blowers.” Members or active bystanders who wish to remain anonymous now have the option to report without being identified.</p>
<p>4.4 Provide the status of any updates to sexual harassment training.</p> <p>EO Sexual Harassment training for the Fourth Class Midshipmen is now completed during Plebe Summer. Departmental training for all hands and a refresher training for CO/SEs are completed every September. All command members are familiar with the CCS and CMEO billets and midshipmen, faculty, and staff constantly reach out to report concerns and observations of unacceptable behaviors.</p>
<p>4.5 Discuss new and existing metrics used to track efficacy of sexual assault and sexual harassment policies.</p> <p>Per OPNAVINST 5354.IG and OPNAVINST 5300.13, all informal and formal equal opportunity and sexual harassment complaints are documented on a 5354/2 EO form, and the metrics are reported quarterly to OPNAV-173 by USNA’s CCS.</p>
<p>The following section lists Observations from the APY16-17 MSA Report and Tasks from the DoD SAPR Strategic Plan “Task List”.</p>
<p>1. Observations and Tasks</p>
<p>1.1 Discuss strategic dialogue accomplished this academic program year with MSA Leadership to facilitate exchange of SAPR best practices.</p> <p>Executive SAPR Discussion Each Semester – The Naval Academy operates on an academic year timeline with the year starting in August and finishing in late May. Therefore, the advantageous times to update and evaluate our strategic vision occur at the beginning of each semester. The SAPR Program Manager and Director of Prevention Education gather inputs from faculty, staff, and midshipmen during August and September, and they sit down with the Superintendent, Commandant, and key members of their respective staffs to update and reassess our prevention plan. This APY, we conducted these discussions in OCT 2017 and JAN 2018. Items on the October agenda included SHAPE curriculum updates, summary of changes being made at the other service academies, updates on our progress on the DoD SAPR Plan of Action, summary of current DoD and DON efforts, progress on the 2018 MSA OPA Survey, and a “Pulse of the Brigade.” The January agenda included:</p>

top level Superintendent priorities to discuss with the Chief of Naval Operations; more discussions on the other service academy efforts, DoD, and DON programs; updates on the DoD Plan of Action and SAGR Survey preparations; and the “Pulse of the Brigade.” In addition to program personnel changes, we also discussed the many outside collaborations of the year with both local community organizations and national military and civilian organizations. The Harvey Weinstein events and the #metoo movement entered into the conversation this year and definitely affected the Brigade in ways that may or may not be measured in this year’s SAGR Survey. The feedback from our SAPR Peer Educators, GUIDEs, and Fleet Mentors is that midshipmen were talking about it a lot in their SHAPE sessions with follow-on conversations continuing into Bancroft Hall. Response efforts are also discussed. We update leadership on numbers of Restricted and Unrestricted Reports and pass along any trends that we observe if there are any. Once again this year, mid-semester seems to produce the most reports (October/November and March/April). Feedback from our midshipmen indicates that this is the time that midshipmen begin taking on the most amount of stress as 6-week grades are due along with so many other demands on their time such as athletic practices and military deadlines. Midshipmen often realize during this stress-induced time that they cannot handle a past sexual assault incident and reach out for help.

Executive Summary of Professional Conventions Attended – This year the SAPR Program Manager and Director of Prevention Education attended the Relationships 101 SHARP Summit at West Point during the fall semester and the Student Affairs Administrators in Higher Education (NASPA) Strategies Convention in Portland during the spring semester. The Superintendent and Commandant are briefed after every external engagement. The West Point Summit yielded a few changes in our SHAPE curriculum, the most significant change being the replacement of Coach Joe Ehrmann with Don McPherson as our spring semester guest speaker. The NASPA Convention yielded some positive confirmation that our program is leading the way in prevention education, utilizing the latest research informing our curriculum.

Monthly Sexual Assault Case Management Group Discussions – SACMG allows the Superintendent a forum to address to all the most influential leaders his thoughts on trends and feedback that he observes during each month. While the focus is predominantly on response efforts, these efforts often inform prevention programming.

Board of Visitors – The Board of Visitors (BOV) meets three times a year and is comprised of key members of Congress, leaders of industry, and influential graduates. The SAPR Program Manager attends every meeting and is available to discuss program updates with the members. 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 often provide us with their thoughts on the direction of our program.

Brigade Command Operations Report and Semester Inputs – The SAPR Department holds a prominent seat at the 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, the SAPR efforts are captured in the Commandant’s Operations Report, that is archived for future executive planning efforts.

State of the SAPR Program with Department Heads – This APY, the SAPR Program Manager 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 Program manager received feedback from each department on concerns and applied programmatic feedback to best tailor response care and prevention curriculum changes across all departments.

1.2 Discuss the steps the USNA will take to increase the Defense Equal Opportunity Climate Survey (DEOCS) response rate. (The USNA response rate decreased from 40% to 27% for the latest DEOCS.)

The DEOCS survey is a voluntary survey and will remain that in the future when the survey is administered. The CMEO will seek increased support from the company leadership this year. Our plan is to have the COs/SELs take the survey on board and sell the "why" to their midshipmen, so there is more incentive to have midshipmen's voices heard. We will be getting the word out to the company leadership sooner than last year, so they can have time to prepare and brief their companies in small group settings.

1.3 Discuss the steps established that ensures prevention efforts will be planned and sequenced to reinforce key prevention principles throughout the midshipman experience.

In addition to the initiatives discussed in 2.1 and 2.3, The following list is a combination of the core courses taught within the LEL department that reinforce key prevention principles:

NL110 – *Preparing to Lead* course for plebes seeks “*To empower students with the skills, strategies, and knowledge necessary to maximize their personhood, preparing them to realize their personal and professional potential as leaders of character in the Navy or Marine Corps.*” Every plebe learns to embrace a culture of respect within the Brigade of Midshipmen and later in the Navy and Marine Corps. The program provides a foundation for developing people of character equipped to create and maintain an environment that prevents sexual assault. Leaders of character treat other people with dignity and respect. That lesson is the central theme of 12 of our 26 lessons in the NL110 course. Nearly 50% of the class time is devoted to explaining and exemplifying the crucial connection between an individual's ability to influence another's performance and the character habit of treating other people virtuously.

NE203 – This course teaches moral objectivism versus moral relativism to get students to think about moral judgments when in another culture. “*Do we just accept their norms, even if they violate our values because we are in their culture? When we go to a foreign port, do we check our values at the brow, or do we take them with us?*” It teaches the case study “We Treat Her Like Everyone Else,” which discusses issues of fair treatment between genders. It discusses bystander intervention in the context of several cases (Abu Ghraib, the Omelas story among others). It teaches Kantian ethics, which is based on the categorical imperative (moral test) that applies the virtue of respect for all human beings. Finally, the course describes the fundamental elements of character and moral reasoning, and it applies them to the personal and professional challenges of military leadership.

NL310 – This course develops midshipmen to be leaders of superior moral character. Course objectives address ethical leadership based on morals and leader behaviors and outcomes associated with contemporary theories of leadership (authentic, servant, ethical, and transformational leadership theories). NL310 builds upon the foundations established by NL110 and NE203 as the midshipmen progress through the LEAD program curriculum.

Practical Application During the Final Year – Midshipmen put the previous three years' academic work to practical use when they assume actual peer leadership billets running the operations of the Brigade. During their First Class (senior) year, 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 but the management tools needed to respond if such an event does occur.

SHAPE Strategic Plan Update – The first session for all Third Class Midshipmen on social conformity was eliminated due to overwhelming midshipman feedback that the session was ineffective and

redundant. Therefore, the key points of that training were inculcated into other sessions. The Third Class curriculum now begins with the dynamic “Speak About It” program. Our goal is that this provocative show will start that all-important Third Class year off on a stronger note and stave off negative attitudes that historically develop among midshipmen during that year. Other key changes include the elimination of Coach Ehrmann’s discussion of being “Leaders of Character” and replacing it with a discussion from a military survivor of sexual assault. All of these changes are from direct input made from midshipmen and officers involved with the SHAPE program.

1.4 Discuss steps taken to prepare Company Officers and Senior Enlisted Leaders to support the USNA’s way forward in their sexual assault and harassment prevention programs.

In addition to the items discussed in 2.3, the future USNA Company Officers are hosted every spring semester by the LEL Department as members of the LEAD Master Program. They begin during the fall semester, training alongside experienced LEL faculty in classroom leadership and content delivery. In the spring semester, they assume responsibility for their own Naval Leadership section of midshipmen. This opportunity allows them to transfer the psychological and sociological theories taught in NL110 — like the virtues of integrity, loyalty, ownership, civility, dignity, and respect — and apply them to real-world leadership challenges of being in charge of midshipmen living in Bancroft Hall.

1.5 Discuss how the prevention program will provide midshipmen with applied leadership experience using the climate assessment process.

Sections 2.2., 3.1, 3.2, 1.2, and 1.3 address our efforts to provide midshipmen with leadership experience. That experience culminates in them actually leading the Brigade of Midshipmen as First Class and forces them to use the climate assessment process continually throughout both semesters leading up to commissioning.

1.6 Discuss the USNA policy regarding the Sexual Assault Response Coordinator’s authority to obtain Sick in Quarters status, if approved for implementation.

The discussions surrounding this authorization have been tabled for now. The level of cooperation between the chain of command and the SAPR Response Office continues to provide the necessary relief to victims without involving medical chits. A Sick in Quarters chit is required to be posted on the door of the midshipman’s room and possibly invites increased scrutiny that can be avoided during these often delicate situations. Currently, a SARC request to the individual’s COC is sufficient. This strong relationship between stakeholders also provides greater confidentiality up and down the chain of command.

1.7 Discuss steps taken to ensure that administrative records that support Unrestricted and Restricted reporting follow privacy, security, and records management policies.

All documents supporting restricted and unrestricted reports are kept in a double-lock file within the SAPR Response Office. Files sent electronically are secured in the AMRDEC SAFE application when transferred.

1.8 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.

The Naval Academy has completely revamped its midshipman evaluation system. This brand new program is governed by COMDTMIDNINST 1600.2J that was signed on 3 AUG 18. At the completion of the pilot program during APY17-18, the Midshipman Development Report was overhauled from the old system to more 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/survivors of sexual assault and often became tools for midshipmen to shame each other with hateful descriptive words. The new system uses *Midshipman Development Traits* and eliminates those potential outcomes. There are now five areas evaluated for each class: leadership, character, professionalism, team driven, and judgment and tact. The aptitude system may not be used to bypass the processes established in either the Conduct System or Honor Program. There is now a requirement to conduct midterm counseling and both

midshipmen and commissioned officers play a delineated and definitive role in determining the final aptitude score. Sexual harassment or assault reports made or not made play no role in the evaluation process and therefore neither encourage nor discourage reporting.

1.9 Discuss steps taken to identify a single point of contact that gathers data from a variety of sources, conducts overall program evaluation, and makes recommendations to the Superintendent based on that data.

The SAPR Program Manager is the single point of contact with direct access to the Superintendent. Inputs from the Director of Prevention Education, the Academic Faculty Liaison, the USNA Lead SARC, key members from the SHAPE/GUIDE midshipmen leadership, and leadership in the Commandant's Staff help guide strategic discussions and implement key initiatives as appropriate.

1.10 Discuss steps taken to develop and implement framework to capture prevention efforts for (and gaps in) all pre-entry pathways for Service members at the MSA.

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. 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.