



## Appendix B: United States Naval Academy





DEPARTMENT OF THE NAVY  
UNITED STATES NAVAL ACADEMY  
121 BLAKE ROAD  
ANNAPOLIS MARYLAND 21402-1300

9 September 2021

MEMORANDUM FOR DEPARTMENT OF DEFENSE SEXUAL ASSAULT  
PREVENTION AND RESPONSE OFFICE

SUBJECT: Submission for the Annual Report on Sexual Harassment and Violence at  
the Military Service Academies, Academic Program Year 2020-2021

1. In accordance with Section 532 of the John Warner National Defense Authorization Act for Fiscal Year 2007 requirement to conduct annual assessments of Military Service Academies, and in response to your memorandum dated 6 Jun 2021, I am forwarding the U.S. Naval Academy (USNA) draft Sexual Assault Prevention and Response (SAPR) program compliance assessment, sexual harassment program compliance assessment, prevention self-assessment, and supporting documentation.
2. USNA is fully compliant with DoD policies regarding sexual assault and sexual harassment. Our self-assessment found sufficient evidence of compliance in all functional areas.
3. Our prevention self-assessment revealed evidence of continued refinement, integration, and critical evaluation of primary prevention efforts. Prevention of destructive behaviors remains one of my top priorities across the institution.
4. My point of contact for this action is [REDACTED], USNA SAPR Program Manager [REDACTED].

A handwritten signature in black ink that reads "S. S. BUCK".

S. S. BUCK  
Vice Admiral, USN  
Superintendent

# U.S. Naval Academy

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## Executive Summary

The United States Naval Academy (USNA) executed an extensive self-assessment process for Academic Program Year (APY) 2020-2021, comprised of a programmatic data call, prevention self-assessment, Sexual Harassment Prevention program compliance assessment, and Sexual Assault Prevention and Response (SAPR) program compliance assessment.

Compliance in each area was determined by using the compliance assessment tools provided by the Department of Defense (DoD) and comparing USNA's programs to the requirements outlined in governing instructions.

Overall, USNA is in compliance with the Department's policies regarding sexual harassment and sexual assault. There is sufficient evidence of compliance in all functional areas. The following pages capture observations on USNA's Sexual Harassment and Sexual Assault Prevention and Response programs, including several significant accomplishments.

For example, in APY 20-21 USNA partnered with the National Opinion Research Center (NORC) to create an outcome evaluation of their Sexual Harassment and Assault Prevention Education (SHAPE) program's effectiveness. The first phase of this multi-year partnership, contracted through DoD, focused on planning and construction of the survey instrument. Next year's phase will begin the baseline data collection, starting with the Class of 2025.

In addition, USNA's SAPR prevention team has continued to leverage DoD contracts with other external partners to broaden their collaborative relationships beyond USNA. The RAND Getting to Outcomes (GTO) team remained an integral contributor to USNA's efforts to continue to build and evaluate their prevention programs, as did the Center for Disease Control's (CDC) Violence Prevention Technical Assistance Center (VPTAC).

Indicative of the strong support USNA leadership showed for the SAPR Program, prevention education was one of the few programs allowed to be executed "in-person" as USNA balanced a COVID-19 driven environment with prevention efforts. Having modified the forums for delivery, and abiding by all COVID-19 protocols, USNA was able to complete their full SHAPE curriculum during APY 20-21 utilizing in-person training.

Throughout APY 20-21, response efforts were also reformed to ensure continuity of care amid the pandemic. With the midshipmen off-site for a significant portion of the APY, response personnel maintained continuous availability, ensuring accommodation of support across all time zones and varying domestic situations.

Following the USNA report is a summary of the Naval Academy Preparatory School's SAPR program for APY 20-21.

# Programmatic Data Call Summary

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USNA made significant effort to address Sexual Harassment and Sexual Assault during APY 2020-2021. The strategic level summaries below describe challenges confronted and progress made in four functional areas:

- Student Culture
- Sexual Assault and Sexual Harassment Reporting
- Victim Care and Advocacy
- Reduce and Stop Sexual Assault and Harassment

## Functional Area 1: Student Culture

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USNA continued to make considerable effort to address challenges with student culture. One of USNA's key initiatives from the previous year was the formation of the Midshipman Affairs Team (MAT); a multi-disciplinary integrating body designed to facilitate collaboration, communication, and data synthesis among prevention workforce, stakeholders, and leaders.

In APY 20-21, MAT membership expanded to include midshipmen representation to work alongside the prevention workforce (e.g. SAPR, Command Managed Equal Opportunity (CMEO), Alcohol and Drug Education, Suicide, mental health services, and chaplains), as well as representatives from major departments and divisions from across the institution (e.g. athletics, academics, and medical). Three First Class midshipmen were hand-selected to the team due to their status as key influencers within the Brigade, and they were active participants at each MAT meeting during the APY. These midshipmen provided the team with the pulse of the Brigade, which afforded the MAT the ability to tailor messaging and programming of counter-destructive behavior prevention activities. These insights proved particularly useful and relevant during Restriction of Movement (ROM) periods which occurred during both Fall 2020 and Spring 2021 due to spikes in COVID-19 numbers, and which found midshipmen confined to Bancroft Hall.

Despite the operational challenges associated with COVID-19, the MAT continued to meet monthly to share relevant observations, ensure consistent messaging across all programs, discuss challenges and best practices, and aggregate information to assist USNA leadership to better understand trends and mitigate risk factors. Academy leadership was highly engaged in MAT activities with the Deputy Commandant present at monthly meetings, the Commandant attending meetings upon invitation, and the Superintendent receiving updates from the MAT Chair.

Additionally in APY 20-21, a midshipmen "Culture Council" was established by members of the Brigade Staff in an effort to support continuous and effective communication between the leaders of USNA's culture-focused programs. Presiding members of the Culture Council included the Brigade Alcohol and Drug Education Officer (ADEO), Brigade Dignity and Respect Officer (BDRO), Brigade Honor Advisor, Brigade Resiliency Officer (BRO), Brigade Religious Programs Officer (BRPO), Brigade Learn, Educate, Apply, and Dedicate (LEAD) Officer, Diversity Peer Educator (DPE) Lead, SAPR GUIDE Program Commander, and SHAPE Program Commander. The Culture Council convened weekly in order to address and provide solutions for the deficiencies consistently seen within the Brigade's culture. Using open and honest conversations as their primary tool, they sought to extend the trainings received on the topics of drug and alcohol

use; diversity, equity, and inclusion; honor; leadership and development; mental and physical health; religious accommodation; and sexual assault and harassment into Bancroft Hall. Through the promotion of midshipmen-led education, empowerment, and vulnerability, the Culture Council believes that, “together, we can build our Brigade’s culture from within.”

In January 2021, in collaboration with RAND GTO, USNA executed a Pilot Climate Assessment (PCA) with USNA’s 21<sup>st</sup> Company. The goal of the assessment was for midshipmen peer leaders to gain experience leading change by accessing data on challenges their units face and employing tools to address climate problems under their leadership. The Fall semester midshipmen leadership and the conditions they set forth were the target for this assessment. While both the Fall semester Company Commander and Executive Officer found value in the feedback received, they no longer held the same leadership positions in the Spring semester to be able to act on the feedback. Concurrently, the Spring semester midshipmen leadership also received the feedback from the Fall semester assessment. However, as a result of the COVID-19 environment and the lack of in-person leadership opportunities, they were unable to effectively implement the feedback. The assessment proved to be a helpful tool as a leadership and climate exercise for individual leaders, but the challenges associated with COVID-19 protocols negatively impacted both participation rates and effective implementation of outcome data. USNA leadership continues to remain invested in, and supportive of, tools that aid in midshipmen leadership development.

## Functional Area 2: Sexual Assault and Sexual Harassment Reporting

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USNAINST 1752.2H, “Sexual Assault Prevention and Response (SAPR) Program,” includes information about the Catch a Serial Offender (CATCH) Program, Safe to Report policy, and the USNA Leave of Absence policy. USNA dedicated significant effort to training midshipmen about the CATCH Program, and further details will be provided at the end of this section. Additionally, USNA recognizes that minor collateral misconduct by a victim of sexual assault remains a significant barrier to reporting the assault because of the victim’s fear of punishment. As a result, USNA continued to train midshipmen on the Safe to Report policy which aims to eliminate collateral misconduct as a barrier to reporting sexual assault, thereby ensuring victims receive available medical and counseling services. Lastly, USNA’s Leave of Absence Policy provides midshipmen victims up to a year away from the institution to enable them to concentrate on their physical and psychological well-being, as well as to focus on any ongoing investigation and potential judicial processes.

USNA continued to encourage reporting of both sexual assault and sexual harassment. They also recognized that there is sometimes confusion between harassment and assault that may, in turn, lead to a reluctance to report. USNA has therefore taken the initiative to update their overarching guidance on both sexual harassment and sexual assault to further clarify what defines each destructive behavior and also show where there are overlaps and causation between the two. USNAINST 5354.5C, “Prevention and Deterrence of Sexual Harassment, Misconduct, and Assault,” underwent review in APY 20-21 and its revision is expected to be complete in the Fall 2021.

In an effort to increase reporting of sexual harassment, USNA continued to train midshipmen on their anonymous reporting option that was created in APY 19-20. This online form that allows midshipmen to report an incident without revealing their own identity, or the identity of the



offender, became fully operational in October 2020. It is important to note that if the anonymous complaint does not contain enough information to conduct an investigation, leadership documents the incident in a Memorandum for the Record. While this does not necessarily result in offenders immediately being held accountable for their actions, it does give leadership insight into the types of behaviors that are occurring and need to be addressed, while allowing USNA to document and monitor trends and patterns. The anonymous form also has options for reporting instances of reprisal/retaliation, as USNA does not tolerate any form of retaliation.

To further utilize student influencers during APY 20-21, SAPR GUIDEs implemented their expanded role as a resource for sexual harassment, in addition to fulfilling their traditional focus on sexual assault. The mission of the SAPR GUIDE program is to provide Guidance, Understanding, Information, Direction and Education needed for individuals seeking support regarding incidents of discrimination, sexual harassment or sexual assault. This team of about 70 midshipmen, spread throughout the Brigade, works to ensure that all midshipmen are treated with dignity and respect by acting as trusted peer resources. Previously, GUIDEs were only trained to provide support for issues associated with sexual assault, but in APY 19-20 their comprehensive two-week training program was expanded to include sexual harassment and discrimination/equal opportunity. As a result, in APY 20-21, GUIDEs served as peer resources for both the SAPR and CMEO areas, able to encourage help seeking and counter existing narratives that are barriers to reporting for both sexual harassment and sexual assault. Additionally, GUIDEs built a curriculum for in-company training, therefore improving their visibility as a resource for their peers. Lastly, in response to common questions the GUIDE team often receives, they created a "How to Help a Friend" brief which provides guidance about how to support victims. This brief is also posted prominently on the USNA SAPR webpage.

The Midshipmen Development Center (MDC) has continued their Peer Advisor program which includes intensive training to prepare participants with communication skills and knowledge of available mental health resources and how to access them. During APY 20-21, the restrictions and protocols set forth due to the COVID-19 environment resulted in an increase in mental health concerns. Therefore, the Peer Advisors increased their role by providing more person-to-person checks, providing more training and education on self-care in a Restriction of Movement (ROM) environment, along with conducting numerous online discussions and support meetings. The Brigade Resilience Officer, who reports to both Brigade leadership and the MDC Director, continued to provide oversight to the Peer Advisors' outreach, training, and education activities while MDC continued to provide clinical and content expertise for training and consultation.

Recognizing that the midshipman Squad Leader billet is one of significant influence among the Brigade, USNA's Culture Council collaborated with their peer counterparts from the Mental Health Task Force (an entity that falls under the MDC) to orchestrate a Squad Leader Leadership Education Development Program (LDEP). The intent was to equip the Squad Leaders with further knowledge and tools to help counter destructive behaviors. Serving as a pilot LDEP for Squad Leaders, the event was a single day training session at the start of the Spring 2021 semester. Focus areas for this training included: trust in small unit leadership, active listening/coaching workshop, connecting with your Squads on a personal level, fostering a culture of appreciation and trust, and irresponsible alcohol use and its repercussions. Overall, the peer-led training of identified key influencers proved to be useful and effective.

An additional peer helping group, the Alcohol and Drug Education Officers (ADEOs), continued to support their peers in their understanding of, and compliance with, the USNA alcohol policy. There are ADEOs at the Brigade, Battalion and Company levels. This group helped administer a comprehensive prevention education program to their peers which emphasized

responsibility and moderation and provided specific guidance to the Brigade regarding the responsible use of alcohol through the USNA alcohol policy. ADEOs received training to prepare them to provide this education to their peers, and a partnership with the Maryland Collaborative, an organization working to implement evidence-based strategies to reduce excessive college drinking in Maryland, has strengthened the team's knowledge and experience in facilitating training and providing peer support. The ADEOs also leveraged RAND GTO support to initiate Checkup-To-Go; a personalized, evidence-based, online intervention program developed by San Diego State University. Checkup-To-Go is scheduled to launch in Fall 2021.

USNA's Diversity and Inclusion Office also launched their peer helper program during APY 20-21, as well as coordinated the first Diversity Peer Educator (DPE) Training with the Stockdale Center for Ethical Leadership. These sessions were six hours long, and included lessons on active listening, facilitation, diversity/inclusion terminology and other subjects associated with the DPE Personal Qualification Standard. Additional DPE training is scheduled to be conducted at the start of APY 21-22, and full implementation of the program is expected by the Fall 2021.

Finally, USNA continued to make concerted efforts to publicize the CATCH program as part of the actions to address results of the Annual Report on Sexual Harassment and Violence APY 18-19. CATCH is featured prominently in SAPR training briefs and discussions, and is shared as an option for victims by their Sexual Assault Response Coordinator (SARC) or Victim Advocate (VA). In the two years since the implementation of the CATCH Program, USNA has witnessed a steady increase in Restricted reports, with CATCH participation. APY 20-21 totaled 27 Restricted reports, 17 higher than the previous APY, and of those 27 reports 17 requested participation in the CATCH program. While USNA cannot solely attribute the uptick in reporting to CATCH, it is highly likely that the program significantly influenced participation in the reporting process. Furthermore, by providing immediate access to a private computer space for victims to activate their credentials, USNA was able to maintain a high average of participation in the program. USNA's percentage of CATCH credentials requested compared to actual activation of the credentials stands at 77% (referenced from SAPRO Catch Data for June 2021; 31 requests for credentials with 24 entries made: 77%).

## Functional Area 3: Victim Care and Advocacy

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USNA maintained no disruptions to continuity of victim care and advocacy over the last academic year amidst the COVID-19 environment. USNAINST 1752.2H, "Sexual Assault Prevention and Response (SAPR) Program," remained in effect, providing information on SARC requirements for data entry and management. Specifically, the Lead SARC was responsible for ensuring all sexual assault reports were entered into the Defense Sexual Assault Database (DSAID) within 48 hours of the initial report, and all DD Form 2910s were uploaded to DSAID within 48 hours of receipt. No other means of data collection was utilized at USNA. Of note, only USNA's two SARCs had access to DSAID, and DD2910 forms were uploaded at the time information was input into DSAID. Additionally, USNA updated its Victim Resource Guide for 2021. The Guide is prominently posted on the SAPR Intranet page, which is accessible via a link provided on the main USNA Intranet page. Both the Victim Resource Guide and the SAPR Intranet page are highlighted during all USNA SAPR trainings.

USNAINST 5354.1B, "Command Managed Equal Opportunity Program," remained in effect ensuring leaders at all levels assist and support sexual harassment complaints. The Brigade

CMEO and the Command Climate Specialist (CCS) received and process all sexual harassment complaints, as well as facilitated training and discussions, and provided access to resources. There were additional resources available to midshipmen, including the Midshipman Development Center (MDC) and Chaplains assigned to each Company. CMEO and CCS promoted these resources during formal training and informal discussions.

During APY 20-21, USNA continued to operate its Response Office at full staffing levels: two SARCs and two full-time VAs. Staff were issued government laptops, as needed, to ensure proper connectivity. Additionally, they were able to provide in-person support when necessary, while observing required COVID-19 protocols for social distancing and use of masks. With an additional twelve collateral duty VAs, USNA upheld a robust response program to provide comprehensive support and care for their survivors, ensuring safety assessments were performed with each survivor. MDC continued providing mental health services via virtual means, as well as in-person services when able. Lastly, the expanded portfolio of the GUIDE peer helper team also aided victims in getting in touch with the appropriate resources.

USNA was able to secure a full-time SAPR duty vehicle, with a dedicated parking spot near the Response Office in Dahlgren Hall, for cases involving victim transport to care facilities off the Yard. Additionally, the SAPR Program made a substantial investment in office furniture, lighting, and display materials for the Response Office to ensure the area remains a comfortable and functional safe space.

All SAPR personnel have unencumbered access to leadership, and senior leaders are very engaged with SAPR activities and programs. The Program Manager briefs the Commandant on a weekly basis, and at a minimum, briefs the Superintendent at least once a month. Additionally, the SARCs and VAs have direct access to the Superintendent on a monthly basis during the Case Management Group (CMG) meetings. Institutionally, the monthly MAT meetings enable communications between senior leaders, outside of the direct chain of command, to include departments such as athletics and academics.

During APY 19-20, USNA was the first Military Service Academy (MSA) to execute the transfer of a survivor of sexual assault to another MSA. USNA also received a transfer from another MSA. In APY 20-21, the internal working group of stakeholders from across the Academy continued its work following the transfers to ensure support and acclimation for both transferees, the status of which was briefed monthly to the Superintendent at the CMG. Throughout APY 20-21, USNA continued its active participation in the DoD SAPRO-led MSA Transfer Working Group.

USNA worked diligently across APY 20-21 to mitigate the COVID-19 pandemic impacts to their SAPR program. To begin with, USNA prioritized SHAPE prevention training as “essential in-person” training. Senior leadership recognized that face-to-face training was a critical component of the SHAPE curriculum, and as a result authorized continued in-person training amidst all other in-person cancellations. Although this meant executing approximately five times the number of total SHAPE sessions, USNA’s prevention team worked tirelessly to find time available in the Master Calendar as well as secure locations that would accommodate physical distancing. This effort was supported by a large number of Fleet Mentors - officers and senior enlisted members with vast experience in the Navy and Marine Corps - who volunteered to supplement midshipmen SHAPE Peer Educators during all SHAPE training sessions. Lastly on the SHAPE front, USNA successfully executed the guest speaker portion of the SHAPE curriculum virtually, with each class receiving a one-hour presentation from a different high-impact speaker.



Additionally, despite some disruptions from COVID-19, USNA was able to execute Sexual Assault Awareness and Prevention Month (SAAPM) in-person for the first time since 2019. USNA also actively supported the Office of People Analytics Mixed Methods Survey, which was undertaken as a virtual alternative to the traditional SAGR survey as a result of COVID-19, with the aim of identifying peer influencers within the Brigade. Moreover, the GUIDEs creatively executed their in-company trainings while fully adhering to COVID-19 protocols, including training developed using USNA's enduring partnership with the One Love Foundation.

The Response staff also implemented a COVID-19 strategy to ensure the effectiveness of their office, despite the ongoing pandemic. With the midshipmen off-site for a significant portion of the APY, response personnel were able to maintain continuous availability, ensuring accommodation of support across all time zones and varying domestic situations. To ensure the full spectrum of response services, the staff adjusted their manpower and office hours to enable the office to remain staffed with an in-person responder to the maximum extent possible, while abiding by all COVID-19 protocols. At the same time, a duty phone was also utilized. Response staff were able to be on-site within 15 minutes, when necessary, if a call came in via the duty phone when the office was not manned. With respect to victim support from the MDC office, they routinely conducted virtual "check-ins" with their survivors to ensure continuity of care.

## Functional Area 4: Reduce and Stop Sexual Assault and Harrassment

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USNA conducted a prevention self-assessment for APY 20-21 using the process established by DoD SAPRO for the baseline assessment in APY 18-19.

The Prevention Plan of Action (PPoA) is the foundation for sexual assault prevention within the DoD. Sexual assault prevention requires a holistic, comprehensive approach executed with unity of effort. The assessment conducted by DoD SAPRO in 2019 provided a baseline of USNA's prevention capabilities in line with the PPoA elements and revealed that USNA did not have a clear strategic prevention education plan that was comprehensive, targeting multiple risk and protective factors across all levels of the social ecology and including policies, programs, and practices. USNA embraced this assessment and focused energy and effort toward addressing the deficiencies identified. As a result, tremendous progress has been made toward establishing a comprehensive prevention education strategy across the full spectrum of destructive behaviors that affect our midshipmen. This year's self-assessment was the second critical look at some elements of this new prevention plan. A working group made up key leadership from the SAPR Program completed the comprehensive self-assessment. The self-assessment process was intensive, but very valuable for USNA's SAPR team leadership.

For each of the self-assessment areas USNA identified strengths and gaps based on evidence reviewed and collected.

- **Leadership:** The SAPR Program remained an institutional priority across all USNA leadership levels, and leaders were engaged on the issues of sexual harassment and assault. Leaders supported the SHAPE and GUIDE programs by their participation and commitment of midshipmen time. This was evident in leadership's decision to allow the SHAPE curriculum to be executed in-person while most other in-person events were canceled due to COVID-19. The Superintendent and Commandant of Midshipmen, specifically, were visible and vocal about prevention. In particular, the Superintendent personally briefed the SHAPE Peer

Educators and GUIDEs during their summer training. Additionally, leadership has demonstrated full support for continued DoD SAPRO funded contracts with external partners to broaden collaborative relationships beyond USNA, to include NORC, RAND GTO, and VPTAC. While USNA leaders continued to hold prevention staff accountable, formal documentation was not always utilized. Going forward, the institution will explore means of rewarding behavior that promotes healthy climates, as well as continue to reduce siloing across efforts and data that comprises the total prevention workforce.

- **Prevention Workforce:** Strengths included a dedicated Director of Prevention Education, who has expanded her influence beyond sexual harassment and assault by assisting other prevention areas in development of their programs and activities. Additionally, USNA maintained a robust network of experienced Fleet Mentors who volunteered to support prevention activities such as SHAPE. However, while staffing levels were sufficient to support the midshipmen SAPR programming, the ability to go beyond baseline requirements for USNA's non-midshipmen key influencers (e.g. faculty, staff, GS, NAF) remained limited under their current manpower. Additionally, the use of collateral duty officers and senior enlisted for critical prevention billets will continue to pose a challenge for continuity and throughput. To mitigate risk, prevention leaders will monitor productivity and recommend changes to leadership as needed. Going forward, USNA will continue to collaborate with VPTAC to work to establish an enduring training plan for new prevention staff.
- **Collaborative Relationships:** The SAPR prevention team continued to drive prevention efforts, both specific to SAPR as well as the broader efforts across USNA. The MAT continued to evolve and remained an enduring, cross-cutting prevention working group at USNA. MAT membership expanded to include midshipmen representation to work alongside the prevention workforce. Three First Class midshipmen were hand-selected to the team due to their status as key influencers within the Brigade, and they were active participants at each MAT meeting during the APY. A particular collaborative strength was the partnership with the Leadership Education and Development (LEAD) Program, which has bolstered prevention efforts by ensuring consistency of messaging between prevention programs and related curricula such as leadership and ethics. The Senior Prevention Consultant from LEAD ensured continuity for collaboration between both internal and external partners to provide evidenced-based best practices. The SAPR prevention team has continued to leverage DoD contracts with external partners to broaden their collaborative relationships beyond USNA. However, in stark comparison to the SAPR Office, the majority of military collateral duty holders lack the same depth of collaborative relationships. Going forward, USNA will continue to leverage the MAT and Prevention Working Group (PWG) to facilitate collaboration for collateral duty prevention workforce members.
- **Data:** USNA maintained both formal and informal channels for obtaining feedback about prevention needs and training experiences. A particular program that excelled within this framework area was SHAPE, which consistently solicited and implemented feedback from each training session. Another identified strength in this area is the ongoing and comprehensive, third-party, scientific effectiveness evaluation of the SHAPE program. However, while there are clear areas of strength with the data framework, USNA recognizes that across the totality of their prevention workforce, there is inconsistencies in data collection. Additionally, there is currently no systematic presentation of the prevention data to leadership. Going forward, USNA will continue to work on a synthesized method for presenting leaders with the status of all prevention efforts.

- Resources: SAPR prevention had a dedicated budget for staffing and implementation, and prevention staff had sufficient resources for programs, activities and professional development. USNA was also able to fully leverage DoD SAPRO-funded external contracts. However, because the total prevention workforce crosses multiple Cost Centers, there was not a centralized budgetary process for all prevention activities. Unfortunately, not all prevention activities have a dedicated budget similar to the SAPR Program. The MAT provides a forum that can help identify potential resource shortfalls and work to develop and advocate for solutions to help ensure adequate support across all prevention activities.
- Comprehensive Approach to Prevention: The MAT and PWG facilitated improved coordination across prevention efforts in order to synchronize messaging. Furthermore, extensive coordination with the SAPR Senior Prevention Consultant ensured all activities were evidenced-based. Ultimately, the SHAPE program was recognized as the institutional model serving as a well-established, multi-component prevention program. Additionally, the rigorous outcome evaluation to determine SHAPE's effectiveness will only serve to strengthen the program in the future. However, most prevention activities executed outside of SHAPE do not have an evaluation component. Additionally, prevention efforts beyond the midshipmen do not currently have the same level of rigor as activities targeted at the Brigade. Going forward, USNA will continue to refine and improve prevention efforts, and focus on expanding their reach, wherever possible, to those who directly lead, mentor, and impact the midshipmen on a daily basis.
- Quality Implementation: USNA effectively leveraged the MAT to regularly monitor implementation of prevention programs and activities, assessing any gaps and overlaps. Specifically, within the SHAPE program there were numerous opportunities to monitor implementation and provide feedback. However, USNA still lacks maturity in a systematic approach to ensuring consistency and quality across all prevention activities. As such, they will continue to expand the rigor with which activities are evaluated, using DoD-SAPRO contract support when feasible.
- Continuous Evaluation: The MAT/PWG greatly improved communication and collaboration among stakeholders and leaders. Through the MAT/PWG, USNA was able to monitor the impact of prevention initiatives and discontinue activities that were not effective. Unfortunately, USNA lacks a systematic approach to evaluation across all prevention areas, which creates a potential for ineffective prevention activities to continue. Also, while the SAPR Program maintains regular communication mechanisms between program leaders and USNA leadership, the totality of the prevention workforce does not currently have similar mechanisms in place. Lastly, constant turnover in collateral duty prevention roles limits the continuity necessary for continuous evaluation. To mitigate these gaps, USNA will explore the feasibility of utilizing the MAT to set appropriate and manageable expectations for timely results and feedback of prevention activities aimed at eliminating destructive behaviors. Moreover, USNA will work to manage prevention staff turnover to better support continuous evaluation processes.

# Sexual Harassment Prevention Program Compliance Assessment

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In accordance with tasking from the Under Secretary of Defense (Personnel and Readiness), and as part of the APY 20-21 Data Call for the Department of Defense Report on Sexual Harassment and Violence at the Military Service Academies, USNA conducted a Sexual Harassment program compliance self-assessment. The Sexual Harassment Prevention Program Compliance Tool was used to execute its assessment, organized into nine functional areas:

- Sexual Harassment Program Policy Requirements
- Procedures and Requirements for Processing Sexual Harassment Complaints
- Anonymous Complaints
- Responding to Sexual Harassment Complaints
- Requirements for Prevention and Response Training and Education Programs
- Retaliation
- Investigation Procedures
- Data Collection and Reporting Requirements
- Command Climate Assessment

Compliance in each area was determined by comparing USNA's programs to the requirements outlined in the governing instructions referenced in the Program Compliance Assessment Tool, principally DoD Instruction 1020.03, Change 1 (December 29, 2020), "Harassment Prevention and Response in the Armed Forces."

Overall, the self-assessment determined that USNA is in compliance with the Department's policies regarding sexual harassment prevention and response, with sufficient evidence of compliance in all nine functional areas. The following pages capture the results and observations of USNA's sexual harassment prevention and response programs.

## Functional Area 1: SH Program Policy Requirements

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USNA is in compliance with DoD policy requirements for Sexual Harassment programs.

The overarching USNA sexual harassment program is codified in USNAINST 5354.1B, “Command Managed Equal Opportunity Program,” where the Superintendent ensures leaders at all levels assist and support sexual harassment complaints. Specific to the Brigade of Midshipmen, COMDTMIDNINSTs 5354.1B, “Command Equal Opportunity and Sexual Harassment Program for the Brigade of Midshipmen,” 5354.2, “Dignity and Respect Remediation Program,” and 1610.2K “Administrative Performance and Conduct System” govern the sexual harassment program. The Superintendent, through designated personnel, ensures that leaders at all levels are held appropriately accountable for fostering a climate of inclusion and one that does not tolerate sexual harassment. The Brigade CMEO and the CCS receive and process all sexual harassment complaints, as well as facilitate training and discussions, and provide access to resources. All training materials are approved by the Defense Equal Opportunity Management Institute (DEOMI), to include information regarding how to identify sexual harassment, DoD standard definitions and types of harassment, as well as points of contact. Information regarding sexual harassment prevention and response is prominently posted near classrooms, passageways, and dormitories. While USNA has not established its own 24-hour toll free hotline, it actively uses and advertises the Department of the Navy (DoN) Sexual Harassment and Inspector General 24-hour hotlines, which are prominently displayed on CMEO posters throughout USNA.

There are additional resources available to midshipmen, including the MDC and Chaplains assigned to each Company. CMEO and CCS promote these resources during formal training and informal discussions. In cases where sexual harassment complaints are substantiated, administrative and/or disciplinary action is taken in accordance with the Midshipmen Regulations (COMDTMIDNINST 5400.6W). In the event a midshipman is found guilty of a conduct offense related to sexual harassment or discrimination, they may be assigned to the Dignity and Respect Remediation Program. This program allows a mediator, assigned by the Commandant of Midshipmen, to meet individually with the midshipman for 4-6 months in order to address the infraction.

After having completed expanded training in APY 19-20 to incorporate sexual harassment into their portfolio, SAPR GUIDEs fully implemented their additional role as resources and referral agents for CMEO and CCS during APY 20-21. Additionally, having recognized that real-time situations are often ambiguous and murky, USNA utilized the DoD SAPRO-funded contract with RAND GTO to create a “kneeboard” card, similar in style to tactical checklists used in the Fleet, to assist GUIDEs in correctly corresponding complainants to resources.

## Functional Area 2: Procedures and Requirements for Processing Sexual Harassment Complaints

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USNA is in compliance with DoD policy requirements for processing sexual harassment complaints.



The Superintendent, Chief of Staff and Commandant of Midshipmen are notified of all sexual harassment reports, and complaints are filed with the CMEO using form 5354/2. Informal complaints are addressed at the lowest possible level, and documented in compliance with SECNAVINST 5300.26E and OPNAVINST 5300.13. Formal complaints are processed within 72 hours of receipt, to the maximum extent possible, and are forwarded to the Superintendent. All complainants are notified when an investigation begins and are advised of how the process works. Complainants are given periodic updates until completion of the process, debriefed on whether the complaint was substantiated or unsubstantiated, and informed of appeal options if the complaint is unsubstantiated. Reports are closely monitored to ensure timely resolution (14 days for informal complaints and 60 days for formal complaints, in accordance with OPNAVINST 5300.13). All completed final reports are submitted from the Commandant to the Superintendent within 20 days after the date the investigation commenced. The final reports are reviewed by the Staff Judge Advocate for legal sufficiency. Quarterly complaint reports are submitted to OPNAV N1730E.

## Functional Area 3: Anonymous Complaints

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USNA is in compliance with DoD policy on anonymous sexual harassment complaints.

In APY 20-21, the anonymous sexual harassment reporting mechanism, which was created in collaboration with RAND GTO, was fully implemented on the USNA Intranet. This form affords members anonymity if they do not desire to reveal their identity, and is accessible to all midshipmen and staff.

The Superintendent and leaders at all levels ensure actions are taken regarding anonymous complaints. Anonymous reports that contain enough information to permit the initiation of an investigation are acted upon in accordance with OPNAVINST 5300.13. Anonymous complaints that do not meet the threshold for an investigation are documented in Memoranda for Record and used by the CMEO/CCS to monitor trends and address systemic patterns, as well as areas for emphasis in training.

During APY 20-21, the anonymous complaint form generated two complaints. USNA's CMEO and CCS intend to further train midshipmen on the new anonymous reporting option.

## Functional Area 4: Responding to Sexual Harassment Complaints

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USNA is in compliance with DoD policy on responding to sexual harassment complaints.

All midshipmen are informed of reporting and resolution options, and are made aware of all available resources such as CMEO, CCS, MDC and Chaplains. Complainants are also informed of the process for appealing administrative findings.

## Functional Area 5: Requirements for Prevention and Response Training and Education Programs

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USNA is in compliance with DoD policy requirements for sexual harassment prevention and response training and education.

Training is delivered exclusively by instructors who possess the requisite skills and competencies. USNA's implementation of SHAPE Peer Educators to provide sexual harassment training to fellow midshipmen allows sexual harassment training to be given in conjunction with SAPR training. Prior to facilitating any sessions on sexual harassment and/or sexual assault for their peers, SHAPE Peer Educators are trained by experts, to include the CMEO and CCS in the case of sexual harassment topics, during a dedicated, intensive, two-week period in the summer prior to the start of the next APY. Training includes information on how to identify sexual harassment, DoD standard definitions, types of harassment, and procedures for submitting complaints. Topics and content are approved annually by DEOMI and training is continuously tailored based on trends and challenges the Brigade is facing. Fleet scenarios are included in the training, when appropriate.

During APY 20-21, USNA continued their partnership with RAND GTO to expand the scope of the "Spectrum of Misconduct" poster project from the previous APY. Unfortunately, COVID-19 precluded GTO from completing their evaluation on the effectiveness of the posters. However, the poster project has continued to augment the formal training midshipmen receive on sexual harassment and sexual assault. The poster addresses the differences between both destructive behaviors using a visual spectrum, and display of the posters was expanded beyond Bancroft Hall to other buildings across the installation. The overarching message is that USNA "sweats the small stuff" and not a single behavior depicted across the spectrum will be tolerated.

## Functional Area 6: Retaliation

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USNA is in compliance with DoD requirements for retaliation associated with sexual harassment complaints.

USNA training and education programs include retaliation and reprisal associated with sexual harassment complaints in accordance with DoD and DoN directives, with specific content to support challenges unique to USNA. Leaders at all levels comply with established processes for reporting retaliation associated with sexual harassment complaints, and processes are in place to address retaliation through leadership, IG complaints and investigations, JAG investigation, and CMEO/CCS involvement. Retaliation complaint data received through leadership, IG, and CMEO/CCS channels are reviewed quarterly. The Superintendent has delegated the assessment of the metrics to evaluate retaliation prevention and response effectiveness to the Commandant of Midshipmen.

## Functional Area 7: Investigation Procedures

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USNA is in compliance with DoD requirements for investigations.

USNA provides notification to those who have submitted a complaint of retaliation regarding how their complaint was resolved.

USNA complies with updates to social media policies as reflected in USNA social media etiquette guidance and DoN social media handbook. Midshipmen receive social media training from the Public Affairs Office and are also required to sign a document acknowledging understanding of the DoN and USNA policies.

## Functional Area 8: Data Collection and Reporting Requirements

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USNA is in compliance with DoD requirements for data collection and reporting requirements.

USNA complies with DoD and DoN policy for tracking data on harassment, to include tracking and reporting on non-consensual distribution of private images on all forms of media, including social media, personal cell phones, and the internet.

Quarterly reports on all formal, informal, and anonymous complaints are submitted to OPNAV N170E as required. Annual summary of sexual harassment statistical data is submitted to DoD ODEI and SAPRO per the annual report process.

## Functional Area 9: Command Climate Assessment

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USNA is in compliance with DoD policy requirements for Command Climate Assessments (CCAs).

The Superintendent implements the CCA program by ensuring climate assessments are conducted throughout USNA within 120 days after commander's assumption of command and annually thereafter, in compliance with assessment timelines as outlined in OPNAV 5354.1G. Results and analysis of the climate survey are provided to both the leader requesting the survey and the leader at the next level of the chain of command as soon as possible but no later than 30 days after receiving the results. Survey requests require leadership acknowledgement before approval from office of People Analytic (OPA).

Leadership reviews survey results and briefs them to the command, with an opportunity for all members of the command to participate. Follow-on assessments to include focus groups, one-on-one interviews, records review, and other forms of assessments based on DEOCS reports are utilized to validate responses and implement a Plan of Action and Milestones (POA&M) to address challenges.

# Sexual Assault Prevention and Response Program Compliance Assessment

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In accordance with tasking from the Under Secretary of Defense (Personnel and Readiness), and as part of the APY 20-21 Data Call for the Department of Defense Report on Sexual Harassment and Violence at the Military Service Academies, USNA conducted a SAPR program compliance self-assessment. USNA used the SAPR Program Assessment Tool to execute its assessment, organized into six functional areas:

- SAPR Program Policy Requirements
- Reporting Options and Procedures
- Commander Response Procedures
- SARC and SAPR VA Procedures
- Case Management Group
- Training

Compliance in each area was determined by comparing USNA's programs to the requirements outlined in the governing instructions referenced in the Program Compliance Assessment Tool, principally DoD Instruction 6495.02, Change 5 (April 9, 2021), "Sexual Assault Prevention and Response: Program Procedures."

Overall, USNA is in compliance with all of the Department's policies regarding sexual assault prevention and response, with sufficient evidence of compliance in all six functional areas. The following pages capture the self-assessment results, observations, and plans for continuous improvement of USNA's sexual assault prevention and response programs.

## Functional Area 1: SAPR Program Policy Requirements

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USNA is in compliance with DoD, DoN and OPNAV policy requirements for SAPR programs.

USNA continued to operate in accordance with USNAINST 1752.2H.

The SAPR Response team includes two SARCs, one of which is designated as the Lead SARC and serves as the single point of contact for coordinating access to care are resources to ensure that sexual assault victims receive appropriate and responsive care. Both SARCs perform their duties in accordance with policy and procedures, including notification to the chain of command (as appropriate) and opening a case in DSAID within 48 hours. SARCs and VAs have unimpeded access to the Superintendent and the immediate commander of the midshipman victim. All communication is conducted properly and with required confidentiality, and all medical information is safeguarded according to policy and procedures. Documents are retained in accordance with applicable instructions.

The Response team is fully staffed to meet current mission requirements. USNA also has 12 uniformed collateral-duty VAs who maintain a 24 hour, 7 days per week sexual assault response capability. All SARCs and VAs are Defense Sexual Assault Certification Program (D-SAACP) certified in accordance with DoD Instruction 6495.03.

During APY 20-21, USNA did not assess any victims to be in high-risk situation and was therefore not required to stand up a multi-disciplinary High-Risk Response Team.

Should midshipmen victims be involuntarily separated, they are informed that they may request a review of the circumstances of and grounds for involuntary separation.

## Functional Area 2: Reporting Options and Sexual Assault Reporting Procedures

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USNA is in compliance with DoD policy requirements for reporting options and procedures.

USNA delivered support and services independent of any decision made by a victim to participate in an investigation.

Victim privacy is of the utmost importance, and therefore midshipmen and staff are regularly trained on reporting options, procedures, and personnel with whom communications are entitled to confidentiality. Policies and procedures are in place to ensure commanders immediately report information about a sexual assault to NCIS for investigation, as well as to ensure healthcare personnel initiate emergency care and notify a SARC or VA. Reporting is timely (within 24 hours) to the Superintendent and Commandant of Midshipman with the appropriate amount of personally identifiable information, depending on which reporting option is selected. Additionally, USNA Lead SARC is attentive to the requirements on exceptions to Restricted Reporting. Lastly, USNA complies with the obligation, when applicable, to seek victim's preference regarding jurisdiction in a military or civilian judicial system.



## Functional Area 3: Commander SAPR Response Procedures

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USNA is in compliance with DoD, DoN and OPNAV policy requirements for Commander response procedures.

The SARC has direct access to the Superintendent, and met with him prior to his assumption of command on 26 July 2019, and again on 15 August 2019, reviewing response policy and available reporting options. The Staff Judge Advocate provided the Military Rules of Evidence (MRE) 514 brief, which governs aspects of victim confidentiality. The Superintendent utilizes the “Commander’s 30-Day Checklist for Unrestricted Reports,” submits an 8-day incident report in writing after receiving an Unrestricted Report, and provides monthly updates to victims who have filed an Unrestricted Report within 72 hours of the CMG.

SARCs train all military responders who serve as collateral duty VAs in accordance with DoD policy and requirements. Additionally, USNA’s two SARCs, two VAs, and 12 collateral duty VAs are all trained to conduct a safety assessment of each victim, and such an assessment is always completed upon intake. Moreover, the Superintendent utilizes the USNA Director of Prevention Education and staff to conduct training on prevention of reprisal, retaliation, ostracism, and maltreatment, which is also codified in the USNA SAPR Instruction.

USNA has Memorandums of Understanding (MOUs) with two civilian medical facilities, Anne Arundel Medical Center and Mercy Medical Center. These MOUs allow victims to receive sexual assault forensic examinations (SAFE) and include the appropriate requirements for handling SAFE kits and for contacting a USNA SARC.

## Functional Area 4: SARC and SAPR VA Procedures

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USNA is in compliance with DoD policy requirements for SARC and SAPR VA procedures.

The USNA SAPR Response team consists of two SARCs (one designated as Lead SARC), two permanent, civilian VAs, and 12 collateral duty VAs, all of whom are D-SAACP certified prior to assuming their duties, to provide services for the Brigade, faculty, and staff. The SARCs exercise oversight responsibilities for VAs providing victim advocacy services. While the SARCs assist with meeting training requirements, USNA has a Director of Prevention Education who is charged with executing all SAPR related training. This allows USNA to go beyond merely meeting minimum annual requirements, for example training midshipman as SHAPE Peer Educators and GUIDE peer helpers and thus arming the Brigade with a wealth of capable peer resources.

The DoD Safe Helpline and other outreach materials are widely publicized at USNA, including on the public facing and internal internet systems. The GUIDE peer helpers also facilitate outreach efforts at USNA.

As part of the intake process, the SARC gives the victim a hard copy of the DD Form 2910 and provides the victim all relevant information about confidentiality issues, MRE 514, VLC services, protective orders, and resources available in the event of retaliation, reprisal, ostracism, or maltreatment. The SARC maintains liaison with commanders, DoD law enforcement, NCIS, and

civilian authorities, as appropriate. Additionally, the SARC consults with leadership, as appropriate, to discuss mitigation of risk factors at the Academy.

With respect to assessments on the effectiveness of the SAPR Program, USNA continues to evaluate best practices. During APY 20-21, USNA partnered with NORC at the University of Chicago on a multi-year project to plan a comprehensive, objective, third-party evaluation of their program. Moreover, USNA collaborated with RAND GTO to create an evaluation of the effectiveness of the peer support program, with projected implementation in APY 21-22.

## Functional Area 5: Case Management Group

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USNA is in compliance with DoD policy for Case Management Group (CMG) procedures.

The Superintendent chairs the monthly CMG to review individual cases, ensure each victim has received a safety assessment, and facilitate monthly victim updates. Furthermore, the Superintendent directs system accountability, entry of disposition and victim access to quality services, as well as ensures training, processes, and procedures are complete for system coordination. The Lead SARC serves as the co-chair. All required CMG members, to include NCIS, actively participate each month.

The CMG chair ensures retaliation, reprisal, ostracism, and maltreatment allegations involving the victim, SARCs, and SAPR VAs remain on the CMG agenda for status updates until the victim's case is closed or the allegations have been appropriately addressed.

## Functional Area 6: Training

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USNA is in compliance with DoD policy requirements for training.

Every new midshipman receives initial SAPR training within 14 days of reporting. Beyond Plebe Summer, midshipmen receive between one and four hours of SHAPE training each year, as well as SAPR training briefs every time the Brigade reforms (at the start of Fall and Spring semesters), and prior to summer training and Fleet cruises. Training utilizes adult learning theory and interactive scenarios, and includes instruction on DoD sexual assault policy, definitions and reporting options.

All service members, regardless of rank, receive annual SAPR training including an explanation of what constitutes reprisal, retaliation, ostracism, and maltreatment in accordance with Service regulations and Military Whistleblower Protections. Furthermore, support of the Military Whistleblower Program is a required Critical Element for all civilian supervisors. As such, all managers and supervisors have received specialized training explaining how to handle retaliation, reprisal, ostracism, and maltreatment allegations.

The SAPR office also conducts specialized training with Athletic Department coaches and staff, as well as civilian faculty, as needed. Any department or division can request additional SAPR training and prevention staff will accommodate their specific needs.

All sexual assault responders are certified before assuming their duties and receive at least annual training thereafter, along with opportunities to attend conferences and seminars throughout the year, which are fully resourced within the SAPR budget.

# Naval Academy Preparatory School

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## Executive Summary

The Naval Academy Preparatory School (NAPS) was assessed for compliance in applicable areas for APY 20-21. Overall, NAPS is in compliance with DoD policies regarding sexual harassment and sexual assault.

The NAPS mission is to enhance midshipman candidates' moral, mental, and physical foundations to prepare them for success at USNA. Demanding military, physical, and character development programs complement the academic preparation to fully prepare students for the challenges of life at a service academy.

NAPS is the first time a majority of students are exposed to the military and military training requirements. Their Candidates ages range from 17-22, thus the approach to and consistency of training is critical. Their training program continued to be a strength, starting during their Indoctrination period and continuing throughout their academic year. Candidates received SAPR training in small group settings led by the SARC and command VAs. Additionally, they were exposed to several SAPR events during the month of April in support of SAAPM.

NAPS is fortunate to have a collaborative relationship with the Naval Station (NAVSTA) Newport SARC, characterized by open lines of communication, teamwork, and trust. The SARC has direct access to the Commanding Officer and meets all policy requirements in the areas of training, reporting, and victim care. Additionally, the SARC meets all timelines for reporting and DSAID entry. Appropriate forms, databases, and personnel are updated when required and depending on report type. NAVSTA Newport has a 24/7 SA response capability. NAPS also has collateral duty SAPR VAs who are certified through D-SAACP prior to assuming their duties. Only properly qualified and trained personnel respond or provide services.

For all Unrestricted reports, the 30-Day Checklist is utilized, NCIS is informed, and all follow on administrated requirements are completed in the allotted time. Policies are in place to honor a victim's choice to participate or not participate in an investigation, protect confidentiality by limiting 'need to know' personnel, and work with the Staff Judge Advocate and SARC for all sexual assault cases. Military Protective Orders str offered to the victim and alleged offender and remain in effect for the duration of the investigation. Expedited transfer is offered as an option to victims who are prior-enlisted, and the option for a Leave of Absence was added to the most recent update to the NAPS local instruction.

The Commanding Officer received all required training within 30 days of assuming command. The Commanding Officer attended the installation CMG when the command had active cases, and met with victims within 72 hours after completion of the CMG in accordance with policy.