



## Appendix B: Navy Self-Assessment of the United States Naval Academy





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OFFICE OF THE ASSISTANT SECRETARY  
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SEP 30 2020

MEMORANDUM FOR THE DIRECTOR, DEPARTMENT OF DEFENSE SEXUAL  
ASSAULT PREVENTION AND RESPONSE OFFICE

SUBJECT: 2020 SECNAVCONGRESSIONALS-2106.1: DoD Annual Report on Sexual  
Harassment and Violence at the Military Service Academies, Academic  
Program Year 2019-2020 – UPR005027-20

Reference: (a) Under Secretary of Defense Memorandum, dated 22 June 2020, Data Call for  
Department of Defense Annual Report on Sexual Harassment and Violence at the  
Military Service Academies, Academic Program Year 2019-2020

Enclosure: (1) Annual Report on Sexual Harassment and Violence at the United States Naval  
Academy, Academic Program Year 2019-2020

In response to the subject tasker and per reference (a), enclosure (1) is submitted as the  
final narrative of the United States Naval Academy's (USNA) Annual Report on Sexual  
Harassment and Violence, Academic Program Year (APY) 2019-2020.

USNA is in compliance with Department of Defense policies regarding sexual  
harassment and sexual assault across all functional areas. Throughout APY 2019-2020, USNA  
improved prevention efforts and strengthened response support for both sexual assault and sexual  
harassment programs.

My point of contact for this matter is Lisa Moore, 703-695-4217 or email:  
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A handwritten signature in black ink, reading "C. Kessmeier", is positioned above the typed name.

Catherine L. Kessmeier  
Principal Deputy Assistant Secretary of the Navy  
(Manpower and Reserve Affairs)  
Performing the Duties of the Assistant Secretary of  
the Navy (Manpower and Reserve Affairs)

# U.S. Naval Academy

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## Executive Summary

The United States Naval Academy (USNA) executed an extensive self-assessment for Academic Program Year (APY) 2019-2020, 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, 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 19-20 USNA established the Midshipman Affairs Team (MAT), a multi-disciplinary organization designed to increase collaboration across the institution to better support midshipmen in their pursuit of moral, mental and physical excellence. Embedded within the MAT is the Prevention Working Group (PWG), including leaders from all the programs that address destructive behaviors, such as sexual assault, sexual harassment, discrimination, suicide, alcohol misuse and intimate partner violence. This team collaborated to develop a comprehensive prevention plan for the Brigade of Midshipmen.

USNA also executed the first ever transfer of a survivor of sexual assault to another Military Service Academy, leading the way in the development of an enduring policy for all three academies. Another new effort is the creation of a SAPR Application for smart phones, which is being designed by midshipmen majoring in Computer Science and Information Technology who have chosen the project for their Capstone coursework. Their goal is to have a useable app completed for midshipman use by the end of APY 20-21. USNA also made considerable effort to improve training and preparation for peer helping groups, and expanded these programs to provide better support for the Brigade of Midshipmen.

Throughout APY 19-20, USNA improved prevention efforts and strengthened response support for both sexual assault and sexual harassment. The following narrative highlights a number of accomplishments, and points to opportunities for continued growth and improvement which generate focus areas for APY 20-21.

Following the USNA report is a summary of the Naval Academy Preparatory School's SAPR program for APY 19-20.

# Programmatic Data Call Summary

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USNA made significant effort to address Sexual Harassment and Sexual Assault during APY 2019-2020. The strategic level summaries below describe challenges confronted and progress made in three functional areas:

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

## Functional Area 1: Student Culture

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USNA made considerable effort to address challenges with student culture. One of USNA's key initiatives this year was the formation of the MAT. In November 2019, COMDTMIDNNOTE 1700 established the MAT. The charter for the MAT later became a USNA Instruction, signed by the Superintendent (USNAINST 1752.3). Members include prevention staff for each of the destructive behavior areas (e.g. SAPR, Command Managed Equal Opportunity (CMEO), Alcohol and Drug Education), as well as representatives from major departments and divisions from across the institution (e.g. athletics, academics, medical). This effort allows an opportunity for greater collaboration among stakeholders who are most involved with monitoring and influencing student culture. The team meets 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.

The Brigade of Midshipmen completed their most recent Defense Equal Opportunity Management Institute (DEOMI) Equal Opportunity Climate Survey (DEOCS) in November 2019. The Commandant of Midshipmen personally de-briefed about half of the Brigade by company on the survey results. Battalion Officers or Company Officers de-briefed the remaining companies, as directed. USNA leadership remains committed to using the tools available for climate assessment and leveraging results to drive continuous improvement.

USNA developed a plan for a Climate Assessment Pilot that enables midshipman peer leaders to gain experience in leading change by assessing data on challenges their units face and employing tools to address climate problems, and to increase their responsibility in addressing climate issues under their leadership. The PWG, with oversight from the MAT, will lead the pilot using the framework established by the DEOCS process. The PWG and members of the fall 2020 Brigade leadership team will develop a survey. The survey will be administered to the midshipmen of 21<sup>st</sup> Company at the start of the spring semester. The PWG will analyze the results and share them with midshipman leaders for both fall and spring semesters, who will then de-brief the results to their company and assess their leadership efforts and any follow-on actions required. Members of the PWG, as well as the company leadership (Company Officer and Senior Enlisted Leader), will support the entire process. Following this initial pilot program, the PWG will assess the utility of the process in assisting midshipman leaders and make a recommendation for future implementation of the program on a larger scale.

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

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USNA continues to encourage reporting of both sexual assault and sexual harassment. Several initiatives have contributed to that effort. The recent revision to USNAINST 1752.2, Sexual Assault Prevention and Response (SAPR) Program, includes information about the Catch a Serial Offender (CATCH) Program, as well as a Safe to Report policy. USNA recognizes that minor collateral misconduct by a victim of sexual assault is one of the most significant barriers to reporting the assault because of the victim's fear of punishment. The Safe to Report policy aims to eliminate collateral misconduct as a barrier to reporting sexual assault, and thereby ensure victims receive available medical and counseling services.

USNA has implemented an anonymous reporting option in an effort to increase reporting of sexual harassment. The CMEO worked with the USNA Forms Manager to create an online form to allow midshipmen to report an incident without revealing their own identity or the identity of the offender. If the anonymous complaint does not contain enough information to conduct an investigation, the CMEO or Command Climate Specialist (CCS) documents the incident in a Memorandum for Record. While this does not necessarily allow for accountability for an offender, it does give leadership insight into the types of behaviors that are occurring and need to be addressed, and allows units to monitor trends and patterns. Issues can be discussed in a general sense at the small unit level, or whatever level is appropriate based on the circumstances.

One change recently incorporated is the expansion of the duties of the SAPR GUIDEs. The mission of the 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 80 midshipman, spread throughout the Brigade, act as trusted peer resources to ensure that all midshipmen are treated with dignity and respect. Previously, GUIDEs only provided support for issues associated with sexual assault, but this year's training included sexual harassment and discrimination/equal opportunity. This effort will increase understanding of resources available and the different reporting options in both the SAPR and CMEO areas, encourage help seeking, and counter existing narratives that are barriers to reporting.

Another effort to encourage help-seeking, reporting and bystander intervention is the development of a SAPR Application for smart phones. SAPR staff partnered with the Computer Science Department to have students enrolled in one of its advanced courses design an application that includes several useful SAPR-related functions. For example, "Expect Me" will allow the user to enable up to three friends to track their movements in real time via GPS while they are in transit walking or using a ride sharing service. The app also features easy access to resources, reporting option information, and intervention strategies in a format designed by midshipmen, for midshipmen. Further development of the app is now included as a capstone project for Computer Science and Information Technology students in APY 20-21.

One of the initial projects taken on by the MAT was to perform a culture analysis of USNA, looking at perceived norms, trends and issues identified in surveys and focus groups, and collaborating to discuss what programs currently exist to address those issues, as well as what programs and activities may be needed. That effort is ongoing, but it has already informed our comprehensive prevention plan by identifying risk and protective factors within the Brigade of Midshipmen.

USNA participated in a series of workshops regarding retaliation, reprisal, ostracism and other related topics. Prevention staff attended a workshop hosted by the Department of the Navy Sexual Assault Prevention and Response Office, and later arranged for the same speaker to visit USNA to provide specialized training for key influencers of midshipmen such as Company Officers, Senior Enlisted Leaders, and prevention staff. The speaker also met with midshipmen to get a sense of the issues facing the Brigade and how USNA can effectively address these difficult topics in the future.

USNA has strengthened efforts to prepare peer helping groups to better support the Brigade of Midshipmen. Peer helping groups received updated training to addresses concerns and counter inaccurate narratives in the Brigade, based on past survey and focus group results. The goal was for these midshipmen peer-led groups to have improved information and to empower them to encourage greater help seeking from resources that can assist midshipmen with experiences of sexual assault, sexual harassment, stress, mental health challenges and other troubling situations. After a rigorous selection process, Sexual Harassment and Assault Prevention Education (SHAPE) Peer Educators and GUIDEs went through a comprehensive two week training program to prepare them for their duties and responsibilities. The Midshipmen Development Center (MDC) has a Peer Adviser program which includes intensive training to prepare participants with communication skills and knowledge of available mental health resources and how to access them. This year the cadre of team members was expanded to include one Peer Adviser from each class for each company. Training and engagement opportunities are continuously developed and occur at least monthly. The Brigade Resilience Officer, who reports to both brigade leadership and the MDC Director, provides oversight to the Peer Advisors' outreach, training, and education activities. MDC provides clinical and content expertise for training and consultation. Another peer helping group, the Alcohol and Drug Education Officers (ADEOs), support midshipmen in their understanding of and compliance with the USNA alcohol policy. There are ADEOs at the Brigade, Regiment, Battalion and Company levels. This group helps administer a comprehensive prevention education program to their peers which emphasizes responsibility and moderation and provides specific guidance to the Brigade regarding the responsible use of alcohol through the USNA alcohol policy. ADEOs receive training to prepare them to provide this education to their peers. A partnership with the Maryland Collaborative, an organization that implements evidence-based strategies shown to reduce excessive college drinking in Maryland, has strengthened the team's knowledge and experience in facilitating training and providing peer support.

USNA made concerted effort to publicize the CATCH program as part of the actions to address results of the Annual Report on Sexual Harassment and Violence APY18-19. Midshipmen, faculty and staff received program information through a series of informational briefs, training sessions, email and small group discussions. In addition, we displayed posters and provided pamphlets to reinforce our training. The brigade learns about the CATCH program at least twice yearly during reform briefs, and during each SAPR training session. As a result of our efforts we have had several victims who filed restricted reports request a password in order to enter information into the database, and we were the first Navy command to get a match.

## Functional Area 3: Victim Care and Advocacy

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USNA has improved victim care and advocacy over the last academic year. USNAINST 1752.2, Sexual Assault Prevention and Response (SAPR) Program, was revised, providing updated

information on SARC requirements for data entry and management. Specifically, the Lead Sexual Assault Response Coordinator (SARC) is responsible to ensure that SARCs enter all sexual assault reports into the Defense Sexual Assault Database (DSAID) within 48 hours of the report, and upload the DD Form 2910 to DSAID within 48 hours of receipt.

The most impactful change toward victim care has been the addition of two permanent civilian Victim Advocates (VAs) to our response staff. We now have two SARCs and two full-time VAs, doubling the size of the Response staff from APY18-19. With an additional twelve collateral duty VAs, USNA has a robust response program to provide comprehensive support and restorative care for our survivors. All SAPR personnel have unencumbered access to leadership, and senior leaders are very engaged with SAPR activities and programs. The SAPR staff also updated the USNA SAPR Resource Guide which was provided to all midshipmen, faculty and staff.

USNA was the first MSA to execute the transfer of a survivor of sexual assault to another MSA. Internal stakeholders collaborated to establish a process for considering a transfer request, and communicated with their counter-parts at the gaining MSA to work out the specific requirements for the midshipman (e.g. academic program, administrative requirements). These groundbreaking efforts will help inform the enduring policy currently being developed by a cross-service working group.

The COVID-19 pandemic significantly impacted SAPR efforts in APY 19-20. While the response to the outbreak required staff to re-think processes for providing care, we leveraged all options for communication, including virtual means, to maintain services. There were no disruptions to continuity of care and privacy was always a primary consideration. Staff were issued government laptops, as needed, to ensure proper connectivity. Response staff were able to provide in person support when necessary, while observing required protocols for social distancing and use of masks. MDC continued providing mental health services via virtual means as well. COVID-19 created challenges for prevention, as the midshipmen did not return to campus following Spring Break in March 2020. The prevention staff did not complete the spring SHAPE curriculum, so some make-up sessions will be required in the next academic year. While COVID-19 was also disruptive to our plans to observe Sexual Assault Awareness and Prevention Month (SAAPM), we held some virtual events, including a candlelight vigil and some social media activities. Our staff and the midshipmen SHAPE and GUIDE teams used creativity to salvage the opportunity to recognize this important event in our prevention program. Another significant disruption due to COVID-19 was the postponement of our Service Academy Gender Relations (SAGR) survey. USNA did not complete the survey the week following Spring Break as originally scheduled because the midshipmen did not return to campus. This prevented us from collecting sexual harassment and assault prevalence data that is critical to our program evaluation and curriculum development efforts.

# Prevention Self-Assessment

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USNA conducted a prevention self-assessment for APY 2019-2020 using the process established by DoD SAPRO for the baseline assessment in APY 2018-2019.

The Prevention Plan of Action (PPoA) is the foundation for sexual assault prevention within the Department of Defense. 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, significant progress has been made toward establishing a comprehensive prevention education strategy across the full spectrum of destructive behaviors that affect our midshipmen. This self-assessment was the first critical look at some elements of this new prevention plan.

The self-assessment process was intensive, and valuable for prevention team leadership. A working group made up of four members of the MAT/PWG completed a comprehensive self-assessment process looking at the Academy-level prevention program and three different prevention activities. Over the course of APY 19-20, the PWG collected data on existing programs and activities across the full range of prevention areas. For the self-assessment process we chose to review and report on prevention activities focused on sexual harassment and sexual assault. For sexual harassment prevention, we examined the development, dissemination and evaluation of a Continuum of Sexual Misconduct poster created by the CMEO Officer with support from the RAND Getting to Outcomes (GTO) team. We also assessed our evolving efforts with the midshipmen GUIDE program as the critical access point between CMEO and SAPR as a peer helping team. Finally, we re-assessed our SHAPE program, which was part of the baseline assessment conducted by DoD SAPRO last academic year.

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

- **Leadership:** USNA leaders are engaged on the issues of sexual harassment and assault. They support the SAPR program as a whole, and prioritize the SHAPE and GUIDE programs by their participation and commitment of midshipman time. The Superintendent and Commandant of Midshipmen, specifically, are visible and vocal about prevention. The Superintendent personally briefed the GUIDEs and SHAPE Peer Educators during summer training, which was conducted even after COVID-19 mitigation efforts canceled most other training events. He also personally led small group discussions with every 1/C midshipman in a small group setting during the Spring 2020 semester ("Supe Chats"). The Superintendent subsequently addressed every 4/C midshipman specifically about sexual assault and sexual harassment. The COVID-19 response hampered plans to address the remainder of the brigade as midshipmen did not return to campus after spring break. However, his dedication of considerable time and energy clearly demonstrated the Superintendent's commitment to

these important issues. The MAT has engaged other leaders across USNA, and continued emphasis on this team and its mission will strengthen leadership support for prevention across the board.

- **Prevention Workforce:** Strengths include a dedicated Director of Prevention Education, who not only influenced the sexual harassment and sexual assault programs, but also assisted other prevention areas by supporting their program development and activities. An additional full-time prevention staff member was recently hired, which is tremendous value added to the prevention team. All members of the PWG have participated in the process of collecting data on current programming and developing the comprehensive prevention plan. We have formed a cohesive group that is engaged and mutually supportive. The use of collateral duty officers and senior enlisted for critical prevention billets will continue to pose a challenge for continuity and throughput, but prevention leaders will monitor productivity and recommend changes to leadership as needed.
- **Collaborative Relationships:** Creation of the MAT codified and enhanced already positive relationships amongst internal stakeholders. Linkages between the prevention workforce and major influencers across the institution, such as academics and athletics, have been critical to advancing prevention efforts. A particular strength is 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 MAT has had a positive impact on prevention efforts, but there is room for improvement and greater support of program oversight. The team must continue to solidify and mature in order to become an enduring part of the USNA leadership landscape.
- **Data:** USNA has identified key contributing factors to sexual harassment and sexual assault using existing data collection tools such as the DEOCS, SAGR survey and Office of People Analytics (OPA) focus groups. These findings inform the comprehensive prevention plan across all destructive behavior areas. One area for improvement is in the use of evaluation techniques for prevention programs and activities. While SHAPE regularly uses process evaluation to inform revisions, other prevention activities would benefit from regular data collection to support evaluation. This is a focus area moving forward, and members of the PWG will submit an annual evaluation of the extent to which delivery of a program or activity adheres to the original protocol and effectively meets the stated objectives. Further, the MAT will provide oversight and monitor program effectiveness.
- **Resources:** Prevention efforts have dedicated budgets for staffing and implementation, and prevention staff have sufficient resources for programs, activities and professional development. Because prevention areas cross multiple cost centers, there is not a centralized budgetary process for all prevention activities. The MAT can provide oversight that will ensure adequate support across all areas. DoD SAPRO has provided additional resources with contract support from RAND GTO and Center for Disease Control's (CDC) Violence Prevention Technical Assistance Center (VPTAC). PWG leaders are working to ensure prevention efforts established with this assistance will be sustainable beyond the expiration of the contract support.
- **Comprehensive Approach to Prevention:** The PWG expended considerable time identifying risk and protective factors associated with prevention efforts. This work has helped inform the initial comprehensive prevention plan, but continued effort is required to ensure the approach is cohesive. Information about prevention programs and activities must continue to be shared and analyzed to ensure they are complementary and not duplicative. Additional work is also required to ensure our approach targets all levels of the social-ecological model.

- **Quality Implementation:** The MAT meets monthly and at each meeting members brief the larger team on their current efforts in the prevention space in order to prevent segregated lines of effort and to promote collaboration. In addition, moving forward, members will submit annual reports to summarize their efforts, including the evaluation of the effectiveness of their programs and activities. There is also a requirement for new programs and activities to contain an evaluation component to measure effectiveness. Outside of the SHAPE program this area has not been a strength, but solid plans for improvement are in place.
- **Continuous Evaluation:** USNA needs a more systematic approach to evaluation in order to avoid continuation of prevention activities that are ineffective. Formation of the MAT/PWG has improved communication and collaboration among stakeholders and leaders, and this will be the mechanism to improve evaluation and better assist leaders in setting appropriate and manageable expectations for prevention efforts and the elimination of destructive behaviors.

Based on our self-assessment, our focus moving forward is to continue to refine our comprehensive prevention plan, incorporate more evidence-based approaches, and conduct evaluation for each program and activity executed. Further, we will expand the role of the MAT and PWG in monitoring the execution of prevention efforts and identifying gaps and any overlaps that could lead to oversaturation or training fatigue. We will also bolster communication between the MAT and senior Academy leadership to better support and maintain alignment with strategic goals and decision-making.

USNA finds that current staffing levels for the prevention team are adequate to complete the mission. While most prevention staff are collateral duty and/or rotational staff, we have added an additional civilian full-time prevention staff member (Training Specialist). Further, the prevention team has grown in some critical areas, such as Alcohol and Drug Education. This position, previously held by one collateral duty officer, expanded to a team of four officers and senior enlisted leaders during APY 19-20. While still a collateral duty, the team concept has allowed for greater capacity and productivity. USNA will continue to analyze staffing levels in the prevention space, including leadership for the MAT/PWG, which is critical for the enduring success of that team. All prevention leaders have indicated they have adequate resources to execute their mission. However, there is not a process in place to monitor budgetary requirements across the different cost centers that own prevention efforts. This is another area where the MAT can provide more centralized oversight.

The initial project for the PWG was to develop, implement and conduct formative evaluation for a comprehensive prevention education strategy across the full spectrum of destructive behaviors that affect our midshipmen. Focus areas included sexual assault, sexual harassment, drug and alcohol misuse, suicide, intimate partner violence and discrimination. We also considered several signature behaviors to incorporate and promote in an effort to accentuate the positive, including the following:

- Treat every person with dignity and respect
- Take responsibility for your actions
- Hold others accountable for their actions
- Be a leader and encourage leadership in others
- Intervene when necessary
- Develop and maintain healthy relationships

- Grow personally and professionally every day
- Embrace diversity of ideas, experiences and individuals
- Exercise discipline and integrity

Simultaneous with the effort to provide baseline training for our prevention staff, we stepped through an incremental process to develop our comprehensive prevention program. Steps included collecting data on all currently executed programs and activities, reviewing activity alignment to the social-ecological model, identifying risk and protective factors applicable to each area, and creating individual program logic models that would later feed into a larger, sweeping logic model for all of USNA prevention. The CDC's VPTAC supported these efforts.

After almost a year of consistent effort, USNA developed a comprehensive prevention plan that will start to be implemented in APY 20-21. Some inherent challenges may make training and education sessions difficult, such as the restrictions required in the COVID-19 environment. However, we will focus on improving every area of the program and continue to grow our prevention capabilities. We will continue to work to identify gaps in prevention programming and institutionalize a prevention framework that shows all collaborations and intersections.

This past academic year USNA had the opportunity to partner with the CDC's VPTAC team to deliver baseline onboarding training for our PWG. We conducted a four part prevention workshop that provides a common foundation for the team members who have varied knowledge and experience working with prevention systems. Members of the PWG are also engaged in on-going professional development through various professional organizations, such as the Maryland Collaborative (to reduce college drinking and related problems), the National Association of Student Personnel Administrators (NASPA), the Maryland Coalition Against Sexual Assault (MCASA) and the National Organization for Victim Assistance (NOVA). In order to support new prevention staff we are working with VPTAC to develop a standardized baseline training curriculum that can be administered by USNA personnel to ensure all PWG members have common language and understanding of foundational prevention concepts when they take on their prevention roles.

As previously described, USNA institutionalized a sustainable integrating body that facilitates collaboration, communication, and data synthesis among prevention workforce, stakeholders, and leaders by forming the MAT in November 2019. Initially established by the Commandant of Midshipmen, the governing instruction for the MAT was changed to a USNA instruction signed by the Superintendent in order to emphasize the strategic reach and broad institutional impact of the team. The Chairperson of the MAT is designated in writing by the Superintendent, and USNAINST 1752.3 defines the MAT membership and responsibilities. Long term objectives for the MAT and the PWG include the following:

- Meet regularly to compare notes on program efforts, ensure consistent messaging across all programs, close gaps, and eliminate redundancy that can lead to oversaturation and training fatigue.
- Discuss challenges and best practices, and aggregate information to assist USNA leadership to better understand trends and mitigate risk factors.
- Develop, implement and conduct formative evaluation process for a comprehensive prevention education program across the full spectrum of destructive behaviors that affect the Brigade of Midshipmen.

Members of the MAT who are representing a larger division/department will regularly communicate with the population they represent to share information on team efforts and to solicit for issues and concerns appropriate for discussion at MAT meetings. Members will share all relevant efforts and information with the team in order to prevent segregated lines of effort and promote collaboration. In addition, each member will provide a written annual report to summarize their efforts that pertain to the MAT. PWG members will include an evaluation of the extent to which delivery of a program or activity adheres to the original protocol and effectively meets the stated objectives.

# 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 2019-2020 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 the 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: "Harassment Prevention and Response in the Armed Forces," February 8, 2018.

Overall, the self-assessment determined that USNA is in compliance with the all of 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 USNA Sexual Harassment program is codified in COMDTMIDNINSTS 5354.1B and 1610.2J, and ensures that leaders at all levels are held appropriately accountable for fostering a climate of inclusion that does not tolerate sexual harassment. The Brigade CMEO and Command Climate Specialist (CCS) receive and process all sexual harassment complaints, as well as facilitate training and discussions, and provide access to resources. DEOMI approves all training materials, and information regarding sexual harassment prevention and response is prominently posted near classrooms and in passageways and dormitories. While USNA has not established its own 24-hour toll free hotline, it actively uses and advertises 24-hour hotlines managed by the Department of the Navy and the Navy Inspector General offices, with the information prominently displayed on CMEO posters throughout USNA.

There are additional resources available to the brigade, including the MDC and Chaplains assigned to each Company. In cases where sexual harassment complaints are substantiated, administrative and/or disciplinary action is taken in accordance with Midshipmen Regulations. 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.

One highlight from APY 19-20 was the strengthening of the SAPR peer support organizations to include sexual harassment. While leaders at all levels have always assisted and supported with sexual harassment complaints, in order to motivate greater help seeking by midshipmen USNA formalized the practice of using existing SHAPE Peer Educators and SAPR GUIDES as resources and referral agents for CMEO and CCS. SHAPE and GUIDE training was expanded to provide additional training to team members so they are able to assist their peers in identifying available resources and understanding the benefits they provide.

Another highlight this year was the establishment of a Military Service Academy Working Group on sexual harassment. Per the recommendation from the APY18-19 annual report, the CMEO/CCS team formed a working group with the other Service Academies to meet monthly and share best practices, common trends, concerns, and resources in the area of sexual harassment.

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

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

Informal complaints are addressed at the lowest possible level, and documented in compliance with SECNAVINST 5300.26E & 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 investigations are submitted by the Commandant to the Superintendent, and are reviewed for legal sufficiency. 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. Quarterly complaint reports are submitted to OPNAV N170E.

The Diversity Office, by virtue of its close ties to Affinity Groups, helps encourage and direct members to seek assistance from the CMEO and CCS on sexual harassment concerns and resources. The SAPR Office also encourages members who report equal opportunity or sexual harassment concerns, whether they are bystanders or complainants, to contact the CMEO.

## Functional Area 3: Anonymous Complaints

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

Anonymous reports that contain enough information to permit the initiation of an investigation are acted upon in accordance with OPNAVINST 5300.13, while anonymous complaints that do not meet the threshold for an investigation are documented in Memoranda for Record (MFR) and used by the CMEO/CCS to monitor trends and address systemic patterns, as well as areas for emphasis in training.

One highlight from APY 19-20 was USNA's partnership with RAND GTO, utilizing the contract vehicle made available by DoD SAPRO. GTO assisted USNA in creating a new anonymous sexual harassment reporting mechanism in order to encourage increased reporting of incidents of sexual harassment. This form is available on the USNA Intranet to afford members anonymity if they do not desire to reveal their identity. This option augments the traditional reporting mechanisms in place (in-person or via email to the CMEO), and aims to encourage more reports from active bystanders and from those who prefer not to be identified.

## 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 options and procedures, to include formal, informal, anonymous, and informal resolution options, and they are made aware of all available resources, such as CMEO, CCS, the MDC, and Chaplains. Complainants are also informed of the process for appealing administrative findings. This process begins with the CMEO and appeals are routed through the Commandant to the Superintendent.

## 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.

Instructors who possess the requisite skills and competencies deliver sexual harassment training. USNA's use of SHAPE Peer Educators to provide sexual harassment training to fellow midshipmen allows sexual harassment training to be given in conjunction with SAPR training. Training includes information on the definition of sexual harassment, types of harassment, and procedures for submitting complaints. DEOMI approves topics and content annually and training is continuously tailored based on trends and challenges the Brigade is facing. Fleet scenarios are used when appropriate.

One highlight from APY 19-20 was USNA's partnership with RAND GTO to create, refine, and implement a plan for deployment of the *Spectrum of Sexual Misconduct* poster. This poster augments the formal training midshipmen receive on sexual harassment and sexual assault. Feedback from previous SAGR surveys, OPA Focus Groups and Command Climate Surveys revealed a knowledge deficiency regarding the distinction between sexual harassment and assault, and the different reporting options and the associated program resources. The poster addresses the differences using a visual spectrum, and the posters are displayed throughout Bancroft Hall, with plans to expand them to other buildings as appropriate. The Brigade CMEO, with support from GTO, is conducting an evaluation of the poster to determine its effectiveness in addressing the deficiency.

## 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 address retaliation and reprisal associated with sexual harassment complaints in accordance with DoD and Navy 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, Judge Advocate General (JAG) investigation, and CMEO & CCS involvement. Retaliation complaint data received through leadership, Inspectors General, and CMEO/CCS channels are reviewed quarterly.

## Functional Area 7: Investigation Procedures

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USNA is in compliance with DoD requirements for investigation procedures.

The CMEO reviews policies and procedures for filing a report of retaliation with each complainant upon receipt of their complaint. 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 Department of the Navy social media handbook. Midshipmen receive social media training and sign a document acknowledging understanding of Navy 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.

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.

USNA complies with DoD and Navy 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.

## 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. The leader requesting the survey and the leader at the next level of the chain of command receive the climate survey results and analysis as soon as possible, but no later than 30 days. Survey requests require leadership acknowledgement before approval from DEOMI.

Leadership reviews survey results and briefs them to the command with an opportunity for all members of the command to participate. Focus groups are utilized to gather more information about deficiencies as appropriate.

# 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 2019-2020 Data Call for the Department of Defense Report on Sexual Harassment and Violence at the Military Service Academies, USNA conducted a Sexual Assault Prevention and Response (SAPR) program compliance self-assessment. USNA used the SAPR Program Compliance 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.

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 policy requirements for SAPR programs.

The SAPR Response Team includes two SARCs, one of which is designated as the Lead SARC, who 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 have unimpeded access to the Superintendent and the immediate commander of the midshipman victim, and are the single point of contact for coordinating access to care and resources. All communication is conducted properly and documents are retained in accordance with applicable instructions.

One major improvement during this APY was successful hiring action to fill two previously vacant permanent civilian VA billets. The Response Team is now fully staffed. 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 DoDI 6495.03.

Another accomplishment is the recent revision to USNAINST 1752.2, Sexual Assault Prevention and Response (SAPR) Program. The revised instruction now includes all required references, introduces the Safe to Report policy, and explains the Catch a Serial Offender (CATCH) Program.

While existing cases have not required USNA to conduct a High Risk Response Team meeting, USNA is trained on the procedures and will conduct a mock High Risk Response Team meeting annually to ensure understanding of the process by all parties involved. This meeting will include, at a minimum, the alleged offender's immediate commander, the victim's SARC and SAPR VA, the Military Criminal Investigation Organization (MCIO), the Judge Advocate, the Victim Witness Assistance Program assigned to the case, the victim's healthcare provider or mental health and counseling services provider, and the person who conducted the safety assessment.

## Functional Area 2: Reporting Options and Procedures

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

Reporting is timely (within 24 hours) to the Superintendent and Commandant of Midshipman, with the appropriate amount of personally identifiable information, depending on the reporting option selected. 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 the Naval Criminal Investigative Service (NCIS) for investigation, as well as to ensure healthcare personnel initiate emergency care and notify a SARC or VA.

One of USNA's successes during APY 19-20 was the successful implementation of the CATCH program. USNA's Lead SARC has been providing lessons learned to colleagues across DoD regarding CATCH implementation after USNA was the first Navy command to record a match.

Victim privacy is of the utmost importance, and USNA ensures that records of sexual assault are compliant with privacy, security, and records management policies.

## Functional Area 3: Commander Response Procedures

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USNA is in compliance with DoD 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 to review the SAPR Policy Toolkit for Command Teams, including response policy and available reporting options. The Staff Judge Advocate provided the Military Rules of Evidence 514 brief, which governs aspects of victim confidentiality. The Superintendent utilizes the "Commander's 30-Day Checklist for Unrestricted Reports", and submits an 8-day incident report in writing after receiving an Unrestricted Report. The Director of Prevention Education and staff execute SAPR training requirements. These requirements, codified in the USNA SAPR instruction, include training on prevention of reprisal, retaliation, ostracism, and maltreatment.

In addition to the two SARCs, USNA has two permanent civilian VAs and 12 collateral duty VAs, all of which are trained to conduct a safety assessment of each victim, which is done upon intake. 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 of Midshipmen, faculty, and staff. The SARCs exercise oversight responsibilities for VAs providing victim advocacy services. As noted previously, while the SARCs assist with meeting training requirements, the Director of Prevention Education is charged with executing all SAPR-related training. This allows USNA to go beyond just meeting annual requirements, for example training midshipman as SHAPE Peer Educators and GUIDEs and thus arming the Brigade of Midshipmen with capable peer resources.

The SARC gives the victim a hard copy of DD Form 2910 and provides the victim all relevant information about confidentiality issues, Military Rules of Evidence 514, Victims' Legal Counsel (VLC) services, protective orders, and resources available in the event of retaliation, reprisal, ostracism, or maltreatment. The SARC also consults with leadership, as appropriate, to discuss mitigation of risk factors at the Academy.

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

## 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. The Lead SARC serves as the co-chair. The CMG discussion facilitates monthly victim updates, directs system accountability, entry of disposition and victim access to quality services, and ensures training, processes, and procedures are completed. 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 VAs remain on the CMG agenda for status updates until the victim's case is closed or the allegations have been appropriately addressed.

In October 2019 USNA clarified with OPNAV N17 and DoD SAPRO that policy requiring "commanders" to directly debrief victims on a monthly basis could include use of the Battalion Officer (O6/O5), who participates in the CMG and then de-briefs the victims from their Battalion. The size of the command and the difference in rank between the Commander (Superintendent, O9) and a midshipman victim, coupled with the requirement for a victim to meet monthly for a debrief, is a barrier to reporting. However, each victim is advised that they can request a one-on-one meeting with the Superintendent at any time. USNA is in compliance with policy requirements for Case Management Group (CMG) procedures with this one approved exception to policy.

## 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, to include the Superintendent personally addressing the new Plebes on the SAPR program. To meet this requirement during COVID-19, the Superintendent and USNA SAPR team recorded asynchronous training for Plebes to view during their 14-day Restriction of Movement (ROM) period. To supplement this training, the USNA SAPR team made door to door visits to follow up with each Plebe face-to-face to ensure they understood the training and to answer any questions. Beyond plebe summer, midshipmen receive between 1 and 4 hours of SHAPE training each year, as well as SAPR briefs each time the Brigade reforms (at the start of fall and spring semesters), and prior to summer training and 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 in-person SAPR training, including an explanation of what constitutes reprisal, retaliation, ostracism, and maltreatment in accordance with Service regulations and Military Whistleblower Protections. Because of their unique roles in the lives of midshipmen, Company Officers and Senior Enlisted Leaders receive tailored training with a special emphasis on identifying reprisal, retaliation, ostracism, and maltreatment. 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 SARCs and VAs are certified before assuming their duties and receive at least 32 hours of continuing education every two years. The SARCs are putting together a more robust training plan for new and existing VAs in order to ensure all are meeting on a regular basis and maintaining the proper knowledge level. The VA team must have regular engagement and open lines of communication to share best practices and stay current on changes and developments in the field.

# 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 19-20. Overall, NAPS is in compliance with Department of Defense 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 the U.S. Naval Academy. 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 staffed with its own SARC, who has direct access to the Commanding Officer and manages a response program that meets all requirements for training, reporting, and victim care and advocacy. The SARC ensures all victims are offered the services they are entitled to and discusses options for reporting. The SARC meets all timelines for reporting and DSAID entry. NAPS also has collateral duty SAPR VAs who are certified through D-SAACP prior to assuming their duties.

The SARC met with the new Commanding Officer within 30 days of assuming command, and the Commander's 30-day Checklist is consistently used for Unrestricted Reports. The Commanding Officer attends the SACMG when the command has active cases, and meets with victims within 72 hours after completion of the CMG in accordance with policy.

Midshipman Candidates are introduced to SAPR concepts that ease their transition to USNA. The training program is a strength, starting during the Indoctrination period and continuing throughout their 10 month program. Curriculum includes explanation of the CATCH program, and emphasizes that retaliation of any kind is not tolerated. Candidates receive SAPR training in a small group setting led by the SARC, and they attend dynamic presentations by guest speakers when available. They are also exposed to SAAPM with several events planned during the month of April. Appropriate training and education resources are posted visibly throughout the command.

NAPSINST 1752.2E, the NAPS SAPR instruction, was revised in APY 19-20 and is consistent with USNA's SAPR instruction. The option for a Leave of Absence was added with the instruction revision. Expedited Transfer is also offered as an option to victims who are prior-enlisted, and Military Protective Orders are issued when warranted.

Similar to USNA, NAPS has a SAPR GUIDE program, which helps peers with awareness of reporting options and available resources. One goal for APY 20-21 is to better align the NAPS training program with USNA's new comprehensive prevention program in order to best prepare Midshipman Candidates for their transition to USNA.