



**2012–2013 Academic Program Year Annual Report**

**on**

**Sexual Harassment and Sexual Assault at the**

**United States Merchant Marine Academy**

# Table of Contents

	Page
Foreword.....	i
Executive Summary.....	ii
Legislative Requirement.....	1
Existing Policies, Procedures and Processes.....	1
Sea-Year Training Policies.....	3
Reported Sexual Assault and Sexual Harassment Offenses.....	4
Disposition of Completed Investigations.....	4
Table: Disposition of Completed Investigations.....	5
Review of 2011-2012 Service Academy Gender Relations (SAGR) Survey Results.....	5
Plan of Action.....	6
Summary of Focus Group Results.....	6
Conclusion.....	8
 <b><u>Appendices</u></b>	
Appendix A – Excerpt from the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009.....	11
Appendix B – Sexual Assault Prevention and Response Program Campaign.....	13
Appendix C – 2013 Student Focus Group Guide.....	16
Appendix D – 2011-2012 Plan of Action.....	23

## **Foreword**

The Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (P.L. 110-417) requires that the United States Merchant Marine Academy (Academy or USMMA) conduct an annual assessment to determine the effectiveness of the Academy's policies, training and procedures with respect to sexual harassment and sexual assault prevention.

The Academy contracted with the Defense Manpower Data Center (DMDC) to conduct Service Academy Gender Relations Focus Group sessions with midshipmen, faculty and staff. The Academy now uses the DMDC to administer both its written survey and focus groups, enabling it to standardize its survey methodology, align results with the other four Federal service academies, and compare and contrast its findings with each of the service academies. This has allowed the Academy to better identify sexual assault prevention and response program deficiencies, determine root causes and to update its Plan of Action to correct those deficiencies.

The Academic Program Year 2012-2013 represents the first full year of implementation of several key aspects of the Academy's program, including the employment of a full-time Sexual Assault Response Coordinator (SARC) and a full-time Civil Rights Director, the establishment of a 24/7 hotline, the designation and training of student victim advocates, the use of small group training and an improved reporting system for "at sea" incidents. We believe these initiatives have had the effect of increased trust and confidence in the Sexual Assault Prevention and Response (SAPR) Program.

As a result of our efforts, the Academy has seen an increase in the number of reported sexual assaults as compared to the previous year. We attribute that to training which has created a heightened awareness of sexual assault and response among students, faculty and staff, and to the appointment of student advocates who have provided an additional outlet for reporting. While the absence of sexual harassment reporting would suggest that we have made progress in achieving the appropriate culture, Focus Group results reveal that this is not the case, so additional emphasis is required in this area. While our goal of completely eliminating sexual assault has not been achieved, the Focus Group results suggest that Midshipmen now have greater levels of trust in Academy leadership to ensure their privacy and take appropriate action which has created an environment where they are more willing to come forward and make reports.

Additional efforts are necessary to provide for the safety and well-being of our students, faculty and staff, and we take this responsibility very seriously. The U.S. Department of Transportation, the Maritime Administration, and the Academy are committed to creating a living and working environment that upholds the Academy's honor code, ensures safety and respects the dignity of every Midshipman and member of the faculty and staff.

Anthony R. Foxx  
Secretary of the U.S. Department of Transportation

## **Executive Summary**

The Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (P.L. 110-417) requires the Academy to prescribe a policy and conduct an assessment at the Academy during each Academic Year to determine the effectiveness of sexual harassment and sexual assault prevention policies, training, and procedures. In even-numbered academic years [*e.g.*, Academic Program Years (APY) that start in an even number year and extend through the following odd numbered year], the Academy performs a self-assessment that includes an analysis of data and reporting of changes to policies, training and procedures. This report is for APY 2012-2013.

In APY 2012-2013, the Academy had four reports of sexual assault, all of which involved Midshipmen. A detailed breakdown of these incidents is provided in the body of this Report. Incidents include one incident occurring at the Academy, two incidents occurring during Sea Year, and one incident occurring at an off-campus location. During the reporting period, there were no reports of sexual harassment. Three of these reports were restricted; the remaining report was unrestricted and referred for an investigation.

The Academy promulgated a revised Policy on Sexual Assault Prevention and Response at the start of APY 2012-2013. The Policy includes quarterly training for all Midshipmen as well as training for Plebe Candidates during Indoctrination, pre- and post-Sea Year training and semi-annual training for Midshipmen in Regimental leadership positions. Additionally, annual training is provided to all faculty, administrators, staff, Academy first responders and victim advocates.

During APY 2012-2013, Plebe Candidates received training during Indoctrination and all Midshipmen participated in presentations of nationally recognized speaker programs such as “Sex Signals,” “Kelly and Becca” and the “Hook Up.” In addition, Midshipmen participated in small group scenario-based training along with interactive on-line training provided to both augment classroom and group sexual assault prevention and alcohol abuse prevention training.

The Academy implemented a 24/7 hotline and fostered a relationship with the Nassau County Rape Crisis Center. The Academy also designated and trained student victim advocates to provide another reporting outlet for victims. Further, the Sexual Assault Response Coordinator (SARC) and the Civil Rights Director were in place during the reporting period to implement the Academy’s training and prevention programs.

As a follow up to the previous year’s Service Academy Gender Relations Survey, conducted by the Defense Manpower Data Center (DMDC), the Academy contracted with DMDC to conduct the Service Academy Gender Relations Focus Groups to obtain open and honest feedback from the students, faculty and staff. The results proved to be informative, as the Academy identified three main issues: 1) certain campus locations were likely flashpoints for sexual assault, 2) sexual assault prevention training for Midshipmen embarking on Sea Year training must be more robust, and 3) Midshipmen need to be given more ownership of the problem so they can have greater responsibility for the solution. The Academy has revised the Plan of Action to concentrate on addressing these key issues.

**This Report represents the fourth self-assessment of the sexual harassment and sexual assault program at the Academy. The Academy continues to revise and enhance its Plan of Action detailed in the APY 2011-2012 Report to Congress and is making progress toward eliminating sexual assault and sexual harassment.**

## **Legislative Requirement**

This report is produced in compliance with the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (P.L. 110-417), title XXXV – Maritime Administration, section 3507.<sup>1</sup> The Act requires that the Academy perform an annual assessment to determine the effectiveness of its policies, training and procedures with respect to sexual harassment and sexual assault involving its personnel.

In odd-numbered academic years (*e.g.*, APY 2011-2012), the annual assessment consists of an anonymous voluntary survey of Midshipmen, an analysis of the survey results, and formulation of a Plan of Action. In even-numbered years (*e.g.*, APY 2012-2013), the Academy performs a self-assessment that includes an analysis of data and reporting of changes to policies, training and procedures. For APY 2012-2013, the Academy contracted with DMDC to conduct Focus Group sessions as a direct follow-up to the previous year's survey to support the self-assessment. This is the fourth report submitted to Congress since implementation of the Duncan Hunter Act's requirements.

## **Existing Policies, Procedure and Processes**

The policies related to prevention of sexual assault and sexual harassment listed below were in effect during the reporting period. These policies are available to Midshipmen and Academy personnel through the Academy's intranet.

- Superintendent Instruction 2006-08, "Policy Against Harassment, Discrimination or Sexual Harassment"
- Superintendent Instruction 2006-10, "Confidentiality at USMMA"
- Superintendent Instruction 2012-07, "Statement of Student Rights under the Family Educational Rights and Privacy Act (FERPA)"
- Superintendent Instruction 2012-08, "Policy On Sexual Assault Prevention and Response"
- Superintendent Instruction 2013-02, "Policy Against Discrimination and Harassment, Including Sexual Harassment of Midshipmen"

The revised sexual harassment policy, Superintendent Instruction 2013-02, was implemented on February 4, 2013, which superseded Superintendent Instruction 2006-08, "Policy Against Harassment, Discrimination or Sexual Harassment."

The term "sexual assault," is defined in Superintendent Instruction 2012-08 as:

Sexual assault, a crime of violence, is the intentional touching of a sexual nature against the will (by the use of force, physical threat, or abuse of authority), or without the consent of the victim. The victim of sexual assault may be male or female and the perpetrator of the sexual

---

<sup>1</sup> Relevant text appears in Appendix A.

assault may be of the same or opposite sex. Sexual assault includes, but is not limited to the following:

- Unwanted kissing, groping, fondling, or other more aggressive physical acts, such as rape, nonconsensual sodomy (oral or anal sex), or attempts to commit these acts;
- Sexual contact with someone whom you reasonably should have known was impaired due to the use of alcohol or drugs (including prescription medications);
- Sexual contact with someone who is “passed out,” sleeping, or otherwise incapacitated;
- Sexual contact with someone who is unable to say “no” and/or change their mind due to the presence of coercion or intimidation; and
- Sexual contact with someone who is under the age of consent in the jurisdiction in which the sexual assault occurs.

The term “restricted reporting” is described in Superintendent Instruction 2012-08 as:

Restricted reporting allows Midshipmen who are sexual assault victims to disclose, on a confidential basis, the details of their assault to specifically identified individuals and receive medical treatment and counseling at a location of the victim’s choice (on, or off-campus), without triggering the official investigative process. Midshipmen who are sexually assaulted and desire restricted reporting under this policy can report the assault only to the Academy’s SARC, a Sexual Assault Victim Advocate (SAVA) or an Academy Health Care Provider (HCP), each of whom must immediately forward the report to the SARC. SAVAs or HCPs who fail to report sexual assaults to the SARC will be held accountable for such failure. Midshipmen may also report the assault to the Academy’s Chaplain. This policy on restricted reporting is in addition to the current protections afforded under privileged communications with a Chaplain and does not alter those protections.

Restricted reports cannot be made to anyone other than those identified in the paragraph above.

Midshipmen who initially elect to make a restricted report can, at any time after their initial restricted report, decide to pursue unrestricted reporting, which will result in the initiation of criminal and administrative investigatory proceedings. As sexual assault forensic exam evidence kits collected from victims are retained only for 12 months after the initial report of the sexual assault, victims have a limited window of opportunity to convert a restricted report to an unrestricted report and still have all of the physical evidence available for investigation.

The term “unrestricted reporting” is described in Superintendent Instruction 2012-08 as:

Unrestricted reporting allows Midshipmen who are sexually assaulted and desire medical treatment, counseling and an official investigation of their allegations to report their assault to the SARC, law enforcement, through the chain of command (including Company Officers and other Commandant’s uniformed staff members), a SAVAs, an Academy HCP, a Midshipman Human Relations Officer, or any trusted advisor, faculty or staff member. A report of sexual assault made to anyone other than the SARC must immediately be forwarded to the SARC, who will have primary responsibility for handling the report, including

notifying appropriate law enforcement personnel and the Academy staff responsible for the administrative investigation. Individuals who fail to report sexual assaults to the SARC will be held accountable for such failure. Details regarding the incident will be limited to only those personnel who have a legitimate need to know. Use of the unrestricted reporting option is encouraged as it provides for immediate formal criminal and administrative investigations. It is the only option that can lead to accountability (i.e., offenders held accountable) and prevent offenders from re-offending.

The term “sexual harassment” is defined in Superintendent Instruction 2013-02 as:

Sexual harassment is defined as unwelcome sexual advances, requests for sexual favors and other unwelcome verbal or physical conduct of a sexual nature or conduct directed at a person because of his or her gender, including, but not limited to, when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of status in a course, program or activity, including Regimental duties, or
- Submission to or rejection of such conduct is used as a basis for an academic or Regimental decision affecting the individual, or for a decision regarding an individual’s status in a course, program or activity, including Regimental duties, or
- Such conduct has the purpose or effect, when judged from the perspective of a reasonable person in the position of the complaining individual, of substantially interfering with an individual’s academic or Regimental performance, or
- Such conduct has the purpose or effect, when judged from the perspective of a reasonable person in the position of the complaining individual, of creating an intimidating, hostile or offensive learning environment.

Note that crude or offensive behavior would be included under “unwelcome conduct.”

Midshipmen who are sexually harassed can report through the chain of command (including Company Officers and other Commandant’s uniformed staff members), to a SAVA, an Academy HCP, a Midshipman Human Relations Officer, or any trusted advisor, faculty, or staff member. There is no restricted reporting option for sexual harassment. A report of sexual harassment triggers an administrative investigation which will be adjudicated within the Academy’s disciplinary system. Incidents of sexual harassment committed by staff and faculty members are investigated and adjudicated through the Academy’s Civil Rights Office.

## **Sea-Year Training Policies**

Both Academy policy and Federal law require Midshipmen to complete creditable sea service in order to be eligible for the Merchant Marine Officer License exam during their First Class (senior) Year. Sea service requirements vary by major, but in general require at least 300 days at sea, which is served on U.S.-Flag and some foreign flagged commercial vessels.

As part of the at-sea training, Midshipmen are informed that companies are required to have a zero tolerance policy for sexual assault and sexual harassment and established written procedures defining harassment and discrimination, including an explanation of how to report such incidents



and the disciplinary measures that will be taken to punish offenders. Midshipmen are advised to learn the sexual assault, sexual harassment and discrimination policies of the shipping company with which they are placed. In addition, the Academy has a database of policies from the companies on whose ships Midshipmen are assigned.

During this reporting period, the sea-year sexual harassment and sexual assault training was enhanced by incorporating a briefing specific to sea-year challenges, and was delivered by the SARC. An all-female session was further provided by the Office of Professional Development and Career Services, which arranged for a presentation by a recent female Academy graduate who is currently sailing in the maritime industry to provide advice and guidance to the female Midshipmen.

In the event of an incident at sea, such as a sexual assault, Midshipmen are trained to contact specific personnel at the Academy using a code word to communicate their situation. Once a Midshipman contacts the Academy, the responsible personnel arrange for the Midshipman's immediate safe return to the Academy or other location, as deemed appropriate. The Academy SARC provides support services to individuals sexually assaulted at sea, and serves as a liaison with the U.S.-Flag or foreign-flag vessel company to ensure that the complaint is handled promptly and appropriately.

## **Reported Sexual Assault and Sexual Harassment Offenses**

During APY 2012-2013, the Academy had four reports of sexual assault, all of which involved Midshipmen. Three reports were restricted; the remaining report was unrestricted and was referred for an investigation. Two of the incidents occurred during Sea-Year, one occurred at the Academy and one occurred at an off-campus commercial establishment. The one incident investigated that occurred at sea resulted in no charges being filed, in part because the victim declined to participate in the investigation.

During APY 2012-2013, there were no complaints of sexual harassment. However, based on results of the Focus Group Survey conducted by DMDC, we know that there are incidents of sexual harassment occurring and additional focus will be placed on this area.

The Academy has seen a rise in the number of reported sexual assaults compared to the previous year. We attribute this to our training (both regarding what constitutes sexual assault and how to report complaints) which has created an increased awareness of sexual assault and response among students, faculty and staff, and the appointment of student advocates has provided an additional outlet for reporting. While our goal of completely eliminating sexual assault has not been achieved, the Focus Group Survey results suggest that Midshipmen now have greater levels of trust in Academy leadership to ensure their privacy, have respect for their dignity and to take appropriate action. This has created an environment where they are more willing to come forward and make reports.

The accomplishments listed in Appendix B may have contributed to the increased levels of trust and confidence in the program.

## Disposition of Completed Investigations

Of the four reported sexual assaults, three incidents were documented by restricted report, which means that in accordance with the victim's wishes no investigations were initiated. One incident was referred to the Federal Bureau of Investigation (FBI), which worked in coordination with the U.S. Coast Guard, as the incident occurred in international waters while the Midshipman was participating in Sea-Year training. This incident was initially investigated by the FBI, but was later discontinued when the victim declined to participate further in the investigation. This incident was reported two years after the incident occurred, and after the victim had already graduated from the Academy. In all four incidents, the victims were female, and all alleged suspects were male; two suspects were crew members of shipping companies, one was another Midshipman, and the last suspect was an employee of an off-campus commercial establishment.

**Table 1: Disposition of Completed Investigations**

Incident	Victim	Subject	Investigation	Result
1	Midshipman	Ship crew member	None	Restricted report
2	Midshipman	Midshipman	None	Restricted report
3	Midshipman	Commercial establishment employee	None	Restricted report
4	Midshipman	Ship crew member	Referred	Investigation discontinued when the victim declined to participate

Restricted reporting does not generate an immediate investigation. However, the victim is provided medical care, counseling and support services that are critically important following an incident. A victim may elect to pursue an investigation at a later time by changing the report to unrestricted.

## Review of 2011-2012 Service Academy Gender Relations (SAGR) Survey Results

The SAGR Survey of 2011-2012 revealed that the Academy had a persistent sexual harassment and sexual assault problem compounded by a lack of trust in the ability of leadership to address the problem. The survey showed that Academy culture was pervasively sexist and that nearly the entire female population had witnessed some sort of sexist behavior on campus. The survey indicated that Sea-Year was a time when Midshipmen were particularly vulnerable to sexual harassment and sexual assault, not only from shipping company employees, but from their fellow classmates as well. The survey identified a need for the Academy to improve its overall training efforts with an increased emphasis on awareness and intervention techniques. The survey suggested that the isolated location of the Academy campus was a contributing factor to sexual harassment and sexual assault, and that more off-campus activities and opportunities also would help. Finally, the survey pointed out improvements that could be made to the SAPR Program itself, such as developing standard operating procedures and defining metrics to measure the

effectiveness of the program. The 2011-2012 Plan of Action was formulated to address these findings.

## **Plan of Action**

During APY 2012-2013, the Academy continued the implementation of prevention initiatives first outlined in the APY 2011-2012 Report to Congress. The status of these initiatives can be found in Appendix D. The areas identified for improvement and immediate attention in that report related to the following:

- Reinforcing a “no tolerance and full reporting” climate
- Correcting a perceived sexist climate at the Academy
- Preventing peer and crew member sexual assault and sexual harassment aboard commercial vessels
- Improving intervention and prevention training among faculty, staff and senior leadership
- Intensifying awareness, prevention and training among Midshipmen
- Improving the variety and quantity of after-class activities
- Refining Standard Operating Procedures for reporting and investigation
- Developing self-assessment tools
- Increasing gender diversity among Academy employees and the Regiment of Midshipmen

These comprehensive initiatives are the foundation for the Academy’s sexual harassment and sexual assault prevention and response program going forward.

## **Summary of Focus Group Results**

For this reporting period, the Academy contracted with the DMDC to conduct the SAGR Focus Group survey. This action resulted in Focus Groups that included randomly selected Midshipmen as well as randomly selected personnel from the faculty and staff. The direct feedback from these groups provided valuable information from across the Academy population.

The SAGR Focus Group sessions were held on March 18-19, 2013, and involved a total of 108 personnel: 75 Midshipmen from all four classes (freshmen, sophomores, juniors and seniors) and 33 employees (athletic, Regimental staff, other staff and faculty members). Separate sessions were conducted for male and female students in the freshmen and senior class years as well as separate sessions for men and women in sessions that combined sophomores and juniors. A total of nine groups, each of which met only once, was facilitated.

DMDC designed its Focus Group questions to qualitatively validate the quantitative data in the 2011-2012 SAGR Survey. DMDC analysts looked for follow-up topics that might clarify or expand upon findings from the previous year’s survey. Six question areas were developed. The Student Focus Group Guide, used to facilitate the sessions, can be found in Appendix C of this report. Those areas of interest, with a summary of findings, include:

- 1. Sexual Assault:** When presented with SAGR Survey results reflecting the average percentage of sexual assaults at the Department of Defense (DOD) service academies, Midshipmen were unable to agree if they thought the results were correct. Some thought the survey number was too low and others thought it was too high. Female Midshipmen indicated that the disproportionate gender ratio of males to females contributes to unwanted sexual contact. Midshipmen agreed that a majority of incidents occur in the barracks and that the waterfront and chapel are additional areas where they feel vulnerable. Midshipmen indicated that alcohol mixed with an inability to leave the campus plays a large role. Sea-Year was also identified as a time when Midshipmen feel vulnerable. Some expressed reluctance to turn in sexual assault offenders due to social repercussions. They were surprised to learn that, in most cases of campus and Sea-Year sexual assault, the offender was another Midshipman. They suggested that employing better judgment was the best way to make the barracks safer and agreed that responsibility belongs to the Midshipmen themselves.
- 2. Sexual Harassment/Sexist Behavior:** When presented with SAGR Survey results reflecting the average percentage of sexual harassment incidents at the Department of Defense (DOD) service academies, Midshipmen were unable to agree if they thought the results were correct. Some thought the survey number was too low and others thought it was too high. Midshipmen indicated that sexist behavior was much more common than sexual harassment and that many of them had been desensitized to the sexist behavior and language. Although some believed that Midshipmen would stop offensive behavior if asked or confronted, others were pessimistic that the culture would ever change. Some female Midshipmen said that they had sacrificed their femininity to fit in at the Academy, while male Midshipmen said that some women play the “female card” to receive better treatment. Male Midshipmen revealed that they are also bullied and harassed. “Victim blaming” is common at the Academy, requiring women to be extra vigilant about situational awareness, attire and alcohol consumption. Midshipmen agreed that Sea-Year partners alleviate some of the vulnerability at sea, that education and promotion of “healthy relationships” would be helpful, and that more leave time away from the Academy during the year is desired.
- 3. Reporting:** Midshipmen said that embarrassment, gossip-spreading and ostracism were the major deterrents to reporting. Some feared getting in trouble for an alcohol offense more than they feared being a victim of sexual assault. Midshipmen indicated that they might not report an assault in order to minimize the impact on the career or reputation of someone in the maritime industry or as a Midshipman at the Academy. Some female Midshipmen said that they would rather take care of a “situation” themselves. Midshipmen thought that punishments were not always severe enough, that popular students were more likely to get away with improper behavior, that leadership was not consistent in dealing with sexual assault, and that the reporting process is too time consuming. They said that reporting an assault to a leader depends upon trust, but were confident leadership would take action if a report is brought to them.

4. **Roles and Responsibilities:** Midshipmen reported that leadership maintains a zero-tolerance policy and takes sexual assault seriously. However, their ability to confide in a leader depended upon established relationships. Some said that they would more readily approach their coaches or that Academy alumni faculty members would be easier to talk to. The Superintendent received high marks from Midshipmen because they believed he really cared about sexual assault prevention, while they described the Commandant as a strict disciplinarian. Midshipmen described both good and bad examples of leadership in the faculty and staff.
5. **Cultural Change:** Midshipmen indicated that most training they had received did not or would not help alleviate the rate of sexual assault. They did not enjoy large lecture-based training and described it as “death by Powerpoint.” They also disliked computer-based training and found that frequently repeated training hurt the effectiveness of the message. Male Midshipmen said that training frequently makes them feel like offenders. Most Midshipmen said that small group training would be preferred and that having a victim of sexual assault, preferably a male, would be helpful. They thought that bystander and intervention training was useful and well received. Midshipmen said that training should focus on treating them as future leaders, that the number of training sessions should be reduced, that there should be a female representative in the shipboard training department and that trainers should work with male Midshipmen more so that training is not seen as having little or no utility.
6. **Additional Recommendations:** Some Midshipmen felt that counseling should be provided for incoming freshmen who had experienced unwanted sexual contact before coming to the Academy. Some felt that they had not received enough training to know what to do if a classmate came to them for help. There were mixed reviews on establishing a Dignity and Respect Code. Some Midshipmen thought it would be a good idea and others thought it would not be taken seriously.

## **Conclusion**

While the SAGR Survey was valuable in revealing the magnitude of the sexual harassment and sexual assault problems at the Academy, the group sessions were instrumental in providing insights into the thoughts, feelings and perceptions of the young men and women at the center of the issue. Although the quantitative data of the SAGR Survey was open to interpretation, there is no mistaking the meaning of the Midshipmen comments that DMDC recorded in its report. The SAGR Survey and the Focus Group sessions together make for a powerful and revealing analysis of the Academy’s sexual harassment and sexual assault problems. Having this knowledge enables Academy leadership to better direct resources to improve prevention and response.

Many of the recommendations obtained from the Focus Groups paralleled earlier recommendations and had already been included in the previous year’s Plan of Action (Appendix D), thus reaffirming our commitment to move forward with those actions. Other recommendations not previously identified have been added to the Plan of Action to ensure that

all critical findings are implemented in a synchronized way to ensure overall effectiveness of the SAPR Program. Those recommendations include involving Midshipmen in the campaign against sexual assault, conducting a physical vulnerability assessment of the Academy and strengthening the Sea-Year prevention training by further engaging shipping companies to address vulnerabilities. The Academy will also examine ways to address the Midshipmen (peer-to-peer) incidents that occur during Sea-Year training. Several actions on the recommendations included in Appendix D have been deferred pending the arrival of the newly hired SARC.

The Academy is already implementing the new recommendations. The Superintendent and Deputy Superintendent are actively engaging the Midshipman Human Relations Officers (formerly the Students Against Sexual Assault) and requested they take a more prominent role in sexual harassment and sexual assault awareness and prevention. The Midshipman Human Relations Officers have responded by generating a comprehensive academic year training plan that will provide not only basic sexual harassment and sexual assault awareness and prevention training, but will also address peripheral issues such as gender stereotypes, depression and anxiety, and cultural identification. In addition, the Deputy Superintendent has challenged them to come up with a robust plan for Sexual Assault Awareness Month 2015. Academy leadership firmly believes that if the Midshipmen own the problem of sexual harassment and sexual assault, they can reduce the prevalence of the problem within the Regiment.

The Department of Public Safety has conducted a physical vulnerability assessment of the campus, taking a particularly hard look at the barracks, waterfront and chapel. The SAGR Focus Groups identified these three areas as particularly problematic sites conducive to sexual violence. The Academy has already installed a card reading access system in the barracks; this system was activated in May 2014 and restricts barracks access to only those with a valid need to enter. The Academy plans to extend the access system to all buildings on campus as resources permit. There are plans to install a surveillance camera at the waterfront to facilitate monitoring the area; the expectation is that this will be completed in Fiscal Year 2015. The chapel, which had been left open late to accommodate worshippers, is now closed and locked in the evening. The Academy will continue to assess and address physical vulnerabilities as they are identified.

The Department of Professional Development and Career Services (PDCS) has been charged to engage with shipping companies to address vulnerabilities. Sea-Year is problematic because the Academy has no jurisdiction over shipping company employees, so the Academy depends upon the individual shipping companies to enforce their own policies and procedures while Midshipmen are embarked on their vessels. PDCS continues to work with the shipping companies to look for opportunities for the Academy to partner with them to combat sexual harassment and sexual assault during Sea-Year.

Moving forward, the Academy will continue offering diverse training opportunities, including on-line training, scenario-based training and outside speakers to empower the entire Academy community in its campaign against sexual assault and sexual harassment. Ongoing monthly Sexual Assault Review Boards, conducted and chaired by the Superintendent or Deputy Superintendent, will ensure systemic issues are resolved at the earliest opportunity. The Academy will implement Phase II of its safety and security upgrades during the Fiscal Year 2015, tightening access to all buildings and installing more surveillance cameras. The Academy

**will engage industry in a partnership to ensure the safety of its Midshipmen during Sea-Year and will continue to engage all Midshipmen, faculty, administrators and staff as partners in its efforts to eliminate sexual assault and sexual harassment. The Academy is truly committed to creating a healthy, safe and bias-free living, education and working environment.**

**Appendix A. Excerpt from the Duncan Hunter National Defense Authorization Act for Fiscal Year 2009 (P.L. 110-417)**

**SEC. 3507. ACTIONS TO ADDRESS SEXUAL HARASSMENT AND VIOLENCE AT THE UNITED STATES MERCHANT MARINE ACADEMY.**

**(a) REQUIRED POLICY.**—The Secretary of Transportation shall direct the Superintendent of the United States Merchant Marine Academy to prescribe a policy on sexual harassment and sexual violence applicable to the cadets and other personnel of the Academy.

**(b) MATTERS TO BE SPECIFIED IN POLICY.**—The policy on sexual harassment and sexual violence prescribed under this section shall include—

(1) a program to promote awareness of the incidence of rape, acquaintance rape, and other sexual offenses of a criminal nature that involve cadets or other Academy personnel;

(2) procedures that a cadet should follow in the case of an occurrence of sexual harassment or sexual violence, including—

(A) a specification of the person or persons to whom an alleged occurrence of sexual harassment or sexual violence should be reported by a cadet and the options for confidential reporting;

(B) a specification of any other person whom the victim should contact; and

(C) procedures on the preservation of evidence potentially necessary for proof of criminal sexual assault;

(3) a procedure for disciplinary action in cases of alleged criminal sexual assault involving a cadet or other Academy personnel;

(4) any other sanction authorized to be imposed in a substantiated case of sexual harassment or sexual violence involving a cadet or other Academy personnel in rape, acquaintance rape, or any other criminal sexual offense, whether forcible or non-forcible; and

(5) required training on the policy for all cadets and other Academy personnel, including the specific training required for personnel who process allegations of sexual harassment or sexual violence involving Academy personnel.

**(c) ANNUAL ASSESSMENT.**—

(1) The Secretary shall direct the Superintendent to conduct an assessment at the Academy during each Academy program year, to be administered by the Department of Transportation, to determine the effectiveness of the policies, training, and procedures of the Academy with respect to sexual harassment and sexual violence involving Academy personnel.

(2) For the assessment at the Academy under paragraph (1) with respect to an Academy program year that begins in an odd-numbered calendar year, the Superintendent shall conduct a survey, to be administered by the Department, of Academy personnel—

(A) to measure—

(i) the incidence, during that program year, of sexual harassment and sexual violence events, on or off the Academy reservation, that have been reported to officials of the Academy; and

(ii) the incidence, during that program year, of sexual harassment and sexual violence events, on or off the Academy reservation, that have not been reported to officials of the Academy; and



- (B) to assess the perceptions of Academy personnel of—**
  - (i) the policies, training, and procedures on sexual harassment and sexual violence involving Academy personnel;**
  - (ii) the enforcement of such policies;**
  - (iii) the incidence of sexual harassment and sexual violence involving Academy personnel; and**
  - (iv) any other issues relating to sexual harassment and sexual violence involving Academy personnel.**

**(d) ANNUAL REPORT.—**

**(1) The Secretary shall direct the Superintendent of the Academy to submit to the Secretary a report on sexual harassment and sexual violence involving cadets or other personnel at the Academy for each Academy program year.**

**(2) Each report under paragraph (1) shall include, for the Academy program year covered by the report, the following:**

**(A) The number of sexual assaults, rapes, and other sexual offenses involving cadets or other Academy personnel that have been reported to Academy officials during the program year and, of those reported cases, the number that have been substantiated.**

**(B) The policies, procedures, and processes implemented by the Superintendent and the leadership of the Academy in response to sexual harassment and sexual violence involving cadets or other Academy personnel during the program year. (C) A plan for the actions that are to be taken in the following Academy program year regarding prevention of and response to sexual harassment and sexual violence involving cadets or other Academy personnel.**

**(3) Each report under paragraph (1) for an Academy program year that begins in an odd-numbered calendar year shall include the results of the survey conducted in that program year under subsection (c)(2).**

**(4) (A) The Superintendent shall transmit to the Secretary, and to the Board of Visitors of the Academy, each report received by the Superintendent under this subsection, together with the Superintendent's comments on the report.**

**(B) The Secretary shall transmit each such report, together with the Secretary's comments on the report, to the Senate Committee on Commerce, Science, and Transportation and the House of Representatives Committee on Transportation and Infrastructure.**

## **Appendix B. Sexual Assault Prevention and Response Program Campaign**

For Academic Program Year 2012-2013, the Academy took major steps in the prevention of sexual assault and sexual harassment. The Academy implemented numerous actions while modifying existing policies to meet the program's goals and objectives. Below are key actions that were implemented or modified to prevent sexual assault and sexual harassment.

### **Prevention Training**

- Provided sexual assault prevention training to the incoming Plebe (freshmen) class within the first two weeks of Indoctrination training.
- Trained initial and subsequent Sexual Assault Victim Advocates (SAVA).
- Piloted online sexual assault prevention training and implemented the training requirement for all Plebes and Third Class Midshipmen (freshmen and sophomores).
- Augmented sexual assault prevention training with an online alcohol abuse prevention program for all Plebes and Third Class Midshipmen.
- Trained employees (faculty and staff) on the Academy's new sexual assault prevention and response program.
- Incorporated a requirement for all new employees to complete sexual assault/sexual harassment prevention training shortly after beginning their employment at the Academy.
- Provided sexual assault prevention training to all students by class.
- Provided specific leadership sexual assault prevention training to Midshipmen leaders to inform them of their leadership responsibilities associated with reports of sexual assault.
- Provided a Sea-Year specific prevention training to Midshipmen preparing to depart for their sea-year training requirement. This briefing covered unique situations during Sea-Year, at ports, on ships, etc. to provide the latest prevention information.
- Included a recent female graduate as a speaker at the briefing to female Midshipmen preparing to depart for their required sailing as part of Sea-Year.
- Trained returning Sea-Year Midshipmen on Academy sexual assault prevention and sexual harassment policy to facilitate their integration back into Academy life.
- Provided first responder awareness training to Midshipman Human Relations Officers to prepare them to handle incidents if they receive a report of sexual assault.
- Required all Midshipmen to complete quarterly sexual assault prevention training. Training included program briefings, professional speaker sessions, on-line training, and sea-year briefings.
- Created a Sexual Assault Prevention and Response Program (SAPR) and Sexual Harassment Training and Campaign Plan for academic year 2013-2014. This plan recommended various modifications to the training process and procedures.
- Incorporated the Violence Against Women Act training requirements into existing training schedules for all Midshipmen, faculty and staff.
- Modified training strategies for the upcoming year based on findings during the reporting year.

### **Victim Advocacy**

- Trained Midshipmen SAVAs in each company to provide a victim advocate resource within the Regiment of Midshipmen.
- Implemented a watch schedule for Midshipmen SAVAs to be available for assistance during weekends. Schedule includes one male and one female for the watch.
- Recruited and trained an employee Victim Advocate to supplement the personnel available to assist victims of sexual assault.
- Required the SARC to live on campus to enhance response capabilities to students needing assistance. Implemented “restricted reporting” (confidential reporting) to assist victims who otherwise may not want to report incidents. Three out of four incidents reported during the year were restricted reports.
- Purchased and maintained survivor bags of clothing should victims require clothing if theirs are provided for evidence.
- Partnered with the local county rape crisis center to create a supporting relationship when students request counseling services beyond what is offered at the Academy.
- Attended the Service Academy Conference of Sexual Assault Response Coordinators to obtain and share best practices in the campaign against sexual assault.

### **System Accountability**

- Coordinated with the local U.S. Coast Guard Investigations Division to create investigative capacity for incidents occurring at sea, specifically incidents during Sea-Year.
- Coordinated with the local and county police to synchronize procedures and expedite the investigative process should an unrestricted report be made.
- Coordinated with DOT’s Office of Inspector General and the Federal Bureau of Investigation to ensure that incidents that occur at the Academy or at sea are investigated expeditiously.
- Held monthly teleconferences among senior staff at the Academy, MARAD and DOT to discuss the Academy’s progress on the Sexual Assault and Sexual Harassment Prevention Action Plan.
- Contracted with the Defense Manpower Data Center to administer the Service Academy Gender Relations (SAGR) Survey every two years, and to facilitate the SAGR Focus Group on alternating years. This cyclic assessment<sup>2</sup> builds upon the previous action to form a continuous assessment of the program.
- Implemented a monthly Sexual Assault Review Board comprised of senior Academy personnel with the goal of addressing systematic issues surrounding sexual assault prevention, and victim advocacy issues. The Board is chaired by the Superintendent or the Deputy Superintendent.
- Conducted training surveys to gauge the effectiveness of training and to make modifications as necessary.

---

<sup>2</sup> The program for assessments at the Military Service Academies is unique in that two different methodologies are used in a complimentary, alternating cycle of survey and focus group assessments. Each type of assessment provides distinct insights into gender issues. Specifically, the survey provides valid statistical information about incidence rates and student’s perception on a host of issues and the focus groups provide deeper insights into the dynamics behind the numbers. Together they assist Academy leaders and Service policy makers assess the effectiveness of programs and identify areas for improvement. Additionally, each type of assessment informs the other. For example, survey results are used to identify topics for deeper discussion during the focus groups and interaction with the focus groups reveal new questions to be asked on the surveys.

- Participated in quarterly Service Academy teleconference with the intent to obtain and share valuable information in the campaign against sexual assault.
- Created a 24/7 telephone hotline at the Academy.

### Awareness

- Installed sexual assault prevention and response bulletin boards on each floor of the barracks where Midshipmen live.
- Posted pictures of the SARC and the respective company SAVAs on bulletin boards mentioned above.
- Provided a sexual assault awareness presentation by “Sex Signals<sup>3</sup>” to all student athletes and to the Plebes and First Class (seniors) in separate sessions.
- Provided a sexual assault awareness presentation by “Kelly and Becca<sup>4</sup>” to Third Class and Second Class (juniors) Midshipmen.
- Provided the professional presentation “The Hook Up<sup>5</sup>” to all classes in two groups to maximize exposure of the presentation.
- Hosted monthly meetings with victim advocates to provide an update on Academy actions in support of the prevention of sexual assault and sexual harassment.
- Ordered and passed out multiple program marketing materials highlighting the sexual assault prevention program, the 24/7 hotline number and sexual assault/sexual harassment awareness in general.
- Placed sexual assault prevention pamphlets in high traffic areas for maximum exposure.
- Collaborated with the Human Relations Committee to highlight prevention actions that affected the community in the campaign against sexual assault and sexual harassment.
- Created and handed out informational handouts throughout the campus community to further raise awareness about the prevention of sexual assault.
- Established the Students Against Sexual Assault (SASA) club to engage Midshipmen interested in the active campaign against sexual assault.
- Conducted a t-shirt tossing event at a home football game. The t-shirts were emblazoned with a prevention message.
- Sponsored a team movement (field trip) to a domestic violence awareness ceremony at the local county city hall.
- Sent monthly SAPR Connections email messages to the entire Academy community highlighting issues related to sexual assault and sexual harassment.

---

<sup>3</sup> Sex Signals is a program on sexual assault awareness used by college and military audiences, personnel and educators. [www.catharsisproductions.com/sexsignals.php](http://www.catharsisproductions.com/sexsignals.php)

<sup>4</sup> Kelly Addington and Becca Tieder provide training on sexual assault awareness and prevention and sexual empowerment <http://kellyandbecca.com/about.php>

<sup>5</sup> The Hook Up engages audiences in a facilitated discussion about hooking-up, sexual assault and bystander intervention. <http://www.catharsisproductions.com/all-sexual-assault-prevention-programs.php#/the-hook-up>

## Appendix C. 2013 Student Focus Group Guide

Introduction to the Focus Group (Time for briefing and introductions: 5 minutes)

Good morning/afternoon. My name is \_\_\_\_\_ and I am with the Defense Manpower Data Center. My colleagues with me this morning/afternoon are \_\_\_\_\_ and \_\_\_\_\_ also with DMDC. We have asked you to be here with us to help us investigate issues of sexual assault and sexual harassment prevention and response.

You might recall that in May and November of last year students at your Academy were asked to participate in a paper and pencil survey on these topics. This year a series of focus groups are being conducted to provide information to Academy leadership.

Similar focus groups are being conducted at all three DOD Service Academies and the U.S. Coast Guard Academy.

This is a voluntary focus group. The Academy staff member who invited you to participate in this session should have informed you that we would be discussing gender-related issues, including sexual assault and harassment, and asked if you were willing to participate. If you prefer not to sit in on this focus group, you are free to leave or to sit quietly while others participate.

I have provided each of you with a handout. Please turn to page 1. You can follow along while I share with you the purpose for this focus group and the ground rules we will follow.

- Let's begin by talking about why we are doing the focus group. While the press and others may claim to know what is going on at the Academies, members of Congress and your senior leaders want to hear directly from you about the issues that affect you. Congress directed the Secretary of Defense to conduct an annual assessment cycle of surveys and focus groups in alternating years on gender issues at each of the Academies. While this Congressional requirement does not cover your Academy, your leadership asked to participate because they know these are important issues. This is an opportunity for you to share your perceptions and recommendations directly with senior leaders.
- Focus group participants sometimes say "I have not experienced any of these behaviors, so why should I stay for this session?" The purpose of this focus group is to understand these issues at your Academy. You're the experts on what it's like to go to the Academies and we want to hear your opinion about Academy life. It doesn't matter if you have or have not had gender-related experiences. We do not want to discuss your personal experiences with sexual assault and sexual harassment. We do want to discuss issues in general so we can provide guidance to leadership to create the best environment possible for you.

I want to thank you in advance for participating in this important focus group and go over a few ground rules for the focus group:

- Please respect each other's opinions. We know you will have different perspectives on issues covered in this focus group. We want to hear those views—that is why we are here today. So there are no right or wrong statements or opinions.
- If you don't feel you have anything to contribute, there is no pressure for you to do so, and if you need to leave during the session, please do so in a quiet manner, so as not to disrupt the group.
- I will lead the discussion and \_\_\_\_\_ will be helping us to take notes. We will record comments but will not record names or other identifying information. Only an analysis and summary of the data will go in our report. If you would like to see how comments are being recorded, please examine what \_\_\_\_\_ is typing.
- This is a non-attribution session. Although we are taking notes on your comments and suggestions, we will not share anything outside this room that can be attributed to any one of you specifically. We ask your cooperation in protecting the privacy of the comments made within this session, so please do not discuss the focus group proceedings after you leave.
- Please keep the crosstalk to a minimum. Let me be the focal point for questions and discussion.
- Any questions?

On the next several pages of your handout are results from the 2012 survey that we will use as part of the discussion today. I will call your attention to the specific item as we reach that part of the discussion.

Please note that these results are for the average of the three DOD Service Academies and the U.S. Coast Guard Academy. Results for the U.S. Merchant Marine Academy are still being analyzed and will be available to you within several weeks. Our 2012 DOD report is available at the Web site shown if you are interested.

I have several questions to ask you today, with a few subtopics in each. I will watch the time so we will be able to cover all questions by the end of this session at [give specific end time].

Let's begin our discussion today with some results of the survey on sexual assault and sexual harassment. Please turn to page 3 of your handout. Here you will see some of the results from our 2012 survey that we will discuss today.

1. Perceptions about sexual assault and sexual harassment (Time for Question 1: 15 minutes)
  - a. Let's start the discussion by discussing the rates for unwanted sexual contact from the 2012 survey. [Ice breaker question] Do you recall taking the survey last spring?
    - i. For DOD women, the average rate of unwanted sexual contact was 12.4% in 2012. For Coast Guard Academy women the rate was 9.8%. For DOD men the average was 2.0%. For Coast Guard Academy men it was 0.7%. Preliminary analyses indicate the rates for midshipmen here at the Merchant Marine

Academy are similar to these results. Do these unwanted sexual contact rates seem right to you? Too high, too low? Please discuss.

ii. Please note the description of sexual harassment and sexist behavior on page 4, then the rates on pages 4 and 5. [Explain how sexual harassment is comprised of several types of behavior if they ask. And sexist behavior is based on gender, not sexual behaviors] For DOD women, the average sexual harassment rate was 51% in 2012. For Coast Guard Academy women it was 40%. For both DOD men and Coast Guard Academy men the average was 10%. For DOD women, the average rate for sexist behavior was 90% in 2012. For Coast Guard Academy women it was 77%. For DOD men the average was 39%. For Coast Guard Academy men it was 40%. Do these rates seem right to you? Too high, too low? Please discuss.

b. A finding from the survey suggests that people who experience unwanted sexual contact also tend to experience other unwanted behaviors, such as sexual harassment and sexist behavior. Take a look at the rates for sexual harassment on page 4. This is for all men and women at this Academy. If we look at the rates for sexual harassment of just those men and women who experienced unwanted sexual contact in the past year, the rates for sexual harassment are much higher. For example, at the Coast Guard Academy, the rate for sexual harassment was 72% for women and approximately 63% for men who had experienced unwanted sexual contact in the past year. I say approximately for men because there are too few at the Coast Guard Academy to estimate accurately, so we used an average across the DOD Academies to get 63%. These findings are similar for all of the academies. Look also at the rates for sexist behavior on page 5. For those who experienced unwanted sexual contact in the past year, sexist behavior was also experienced by 100% of the women and approximately 76% of the men at the Coast Guard Academy. Again, this is similar for the other academies as well.

i. What do you think about the relationship between sexual assault and sexual harassment? Sexist behavior?

ii. If someone gets away with sexual harassment or sexist comments, do you think they might move on to more serious behaviors like unwanted touching or sexual acts? Have you seen any examples of someone moving from one type of unwanted behavior to another?

iii. Do you sense attitudes of disrespect toward women at the Academy that might contribute to sexual assault or other unwanted gender related behaviors? Are there any attitudes of disrespect toward men? Please describe. [Keep the discussion to gender issues if they start discussing racial, religious, political, or other groups.]

iv. What can/should the Academy do to address sexist behavior or sexual harassment? Do you sense that there is acceptance of some of these behaviors

as being part of the military environment? [If students acknowledge that there is acceptance, probe further on who they sense that from. Ask if it is part of the Academy “culture” or “military culture.” Have them explain how they learned the “culture.”]

- c. Let’s go back to the earlier discussion of unwanted sexual contact and sexual harassment rates for men from the survey. You indicated they are [higher or lower] than what you might have expected. Who would you think are typically offenders? Where would you think such incidents are most likely to occur?
- d. I would like to end this section by asking for your perceptions of the cause of unwanted sexual contact and sexual harassment behaviors at the Academy.
  - i. With all the emphasis on prevention, why do they still occur?
  - ii. Does pornography or sexting play a role?
  - iii. What more can be done to prevent unwanted sexual contact? Sexual harassment?

OK, now let’s switch gears and talk about reporting unwanted sexual contact.

## 2. Reporting (Time for Question 2: 10 minutes)

- a. Another finding from the survey at the academies is that only about 20% of students who experienced unwanted sexual contact report it. Do you think unwanted sexual contact is under reported here at the Merchant Marine Academy? Why do you think the majority of students who experienced unwanted sexual contact choose not to report the incident? Do they also choose not to report sexual harassment?
- b. What more can be done to encourage reporting? What barriers could be eliminated? Does the competitive nature of the Academy inhibit people from reporting?
- c. Many students who experience unwanted sexual contact say they did not report it but “Took care of it myself.” What does that mean to you? What actions would one take?
- d. Do you think someone would be more or less inclined to report unwanted sexual contact that involved an offender of the same sex for example, male-on-male or female-on-female? Sexual harassment?

We have talked a while about unwanted sexual contact and reporting. Now I want to talk to you a little about the locations where it might occur.



**3. Places where unwanted sexual contact is most likely to occur (Time for Question 3: 10 minutes)**

- a. Most victims of unwanted sexual contact indicated on the survey that the incident occurred on Academy grounds. Where would the most likely place be at this Academy for an incident to occur?
- b. How could these places be made safer?
- c. Are there other locations, such as field settings, sports team trips, club trips, on ship, or at another military location where students might be more vulnerable to unwanted sexual contact? Please describe.
- d. Are students on sea duty away from campus more vulnerable? How could these places or experiences be made safer?

Let's turn our discussion specifically to multiple incidents of unwanted sexual contact for a few minutes.

**4. Multiple experiences of sexual assault (Time for Question 4: 10 minutes)**

- a. Survey results show that victims often experience more than one incident of unwanted sexual contact. Do you think behaviors tend to progress, such as experiences of touching first, followed by more aggressive behaviors?
- b. Do you think someone would be more inclined to report or seek help after experiencing one type of behaviors more than others? [If asked for clarification, ask if someone would be more likely to report completed sex versus attempted sex or touching?]
- c. If a victim were to experience multiple incidents of unwanted sexual contact, do you think it would be more likely to be from the same offender/perpetrator or different ones? Do you think a perpetrator who assaults one person would also be likely to assault someone else?
- d. Is there a sense that perpetrators have a good chance of getting away with unwanted sexual contact, hence they repeat their actions? Are perpetrators getting away with these behaviors because victims do not report it or perpetrators are not charged and punished?

Let's discuss leadership's response to unwanted sexual contact and sexual harassment for a moment.

**5. Leadership Perceptions (Time for Question 5: 10 minutes)**

- a. What do your faculty, coaches/activity leaders, and uniformed staff [such as company officers, training NCOs] say to you about sexual assault and other unwanted behaviors? Can you give an example? [Depending on the response, ask if the discussions are helpful or what they would like their leaders to say to them.]

- b. How well do faculty/staff lead by example? Do they say something when they witness a questionable behavior? Do they help set a standard or give the impression that a certain amount of “locker room talk” is acceptable? [Depending on the responses, probe for good or bad examples.]
- c. Do you think it is the responsibility of faculty/staff to address these issues? Do you see them as roles models? Who specifically [positions, not names]?
- d. Has your Company Officer ever discussed unwanted sexual contact and sexual harassment with you? What kind of information was discussed? Was it helpful? Why? What would you like to hear from them?
- e. What does senior leadership say about unwanted sexual contact and sexual harassment? How do you think they handle reported cases of unwanted sexual contact? Do you think leadership would react differently to same-sex unwanted sexual contact? How does leadership respond to instances of sexual harassment? [Probe for good and bad examples, or instances where behaviors are tolerated or overlooked.]
- f. In the past few months, have you noticed any new emphasis on unwanted sexual contact or sexual harassment? What has been done? Do you think these steps will make a difference? Do you think there will be any unintended consequences [if asked for examples, ask if the message was negatively received or made them angry]?
- g. Do you know the SARC/victims’ advocate? [Would you talk to them about an incident of unwanted sexual contact? Why or why not?

Now let’s turn our attention briefly to the topic of training at your Academy.

**6. Training (Time for Question 6: 10 minutes)**

- a. What type of training have you received this year in the prevention and response to unwanted sexual contact? Sexual harassment?
- b. When do you receive this training? Is the timing and location convenient for you?
- c. Who typically conducts the training? Are they effective trainers?
- d. What training did you consider to be the most effective this year?
- e. Did you learning anything this past year that you did not know before? What? Is there something you would like to know more about?
- f. [Seniors only and the mixed junior/senior session] Do you feel prepared to deal with issues of unwanted sexual contact and sexual harassment among your

subordinates when you enter active duty? What training was the most helpful?  
What could be done better to prepare you?

I would like to wrap up our session today with a couple of final questions.

**7. Additional recommendations for addressing unwanted sexual contact and sexual harassment**  
(Time for Question 7: 10 minutes)

- a. Do you think the Academy should do more to make counseling or Sexual Assault Prevention and Response resources available to students who experienced trauma prior to entering the academy?
- b. As future leaders, what would you do now in your midshipman role to address the problem of unwanted sexual contact? Sexual harassment?
- c. Do you believe it would be productive to have a Midshipman “Dignity and Respect Code,” much like the Honor Code, in order to instill these values in the midshipman Regiment?
- d. What else can you tell us about unwanted sexual contact and sexual harassment at the Academy? What did we not ask that we should have?

Thank you for taking the time to participate in this focus group. As I mentioned at the beginning, we will treat all of your comments anonymously. There is no attribution to any of you for the specific comments you made today. Please also respect that non-attribution when you leave here today. Our goal is to provide the best data possible and you have helped us greatly today with your comments and insights.

One last comment – on the last page of the handout you will see a list of resources available to you if you would like to follow up with us or have any questions. It also lists Academy resources if you would like to talk further to someone about this study or any experiences you might have had with unwanted gender-related behaviors.

Thank you again for your participation.

**Appendix D. Sexual Assault Prevention and Sexual Harassment**  
**Prevention Action Plan**  
**(Derived from APY 2011-2012 Report to Congress)<sup>1</sup>**

<b>2011 REPORT TO CONGRESS</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Survey report. July 1, 2011 - June 30, 2012	Deputy Superintendent	Complete		100%
<b>2012 REPORT TO CONGRESS</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Focus group report, 1 July 2012 - 30 June 2013	SARC	OMB returned to Academy for questions	30-Jun-14	75%
<b>CLIMATE</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Conduct sessions for faculty to: a) gauge their trust in the reporting system for students to report incidents and b) to obtain their view of barriers to report student incidents of sexual assault or sexual harassment.	SARC, Civil Rights & Dean		31-Dec-14	0%
Conduct an organizational climate assessment for faculty and staff.	Civil Rights	In progress	30-Sep-14	50%
<b>INCIDENT REPORTING</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Conduct quarterly small-group sessions to midshipmen to gauge improvement in reporting system.	SARC & Civil Rights		31-Mar-15	0%
Develop an SOP for criminal investigations of sexual assaults.	SARC, DPS, DHS	Not needed; criminal investigations are reported by DPS to FBI. FBI conducts the investigation.		100%
Develop an SOP for restricted reports of sexual assault.	SARC	Completed	30-Jun-14	100%
Develop an SOP for administrative investigations of sexual assaults.	Deputy Superintendent, Counsel	Forwarded to MARAD Chief Counsel's Office for review	30-Jun-14	70%
Review and adjust current approaches for communicating key incident protocols to address midshipmen fears that punishment for an offense will be worse than reporting an assault.	Superintendent, Deputy Superintendent, Commandant		31-Dec-14	0%
Provide female midshipmen a chance to voice individual concerns about reporting.	SARC, senior females		31-Mar-15	0%
<b>AT-SEA PROTOCOLS</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Collect sample sexual assault and sexual harassment policy statements from individual shipping companies and use to prepare midshipmen for Sea Year experience.	PDCS	Statements provided from 80% of shipping companies Academy works with	30-Jun-14	100%
Conduct briefings with shipping companies on the possibility of midshipman-on-midshipman sexual harassment and sexual assault and the steps to respond to an incident in accordance with USMMA policies and procedures.	PDCS		31-Dec-14	0%
Engage with maritime industry to solicit ideas and make recommendations for additional training or policy changes.	SARC		31-Jan-15	0%
<b>MIDSHIPMAN AND STAFF AWARENESS, PREVENTION, AND TRAINING</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Develop and utilize a quiz to gauge midshipmen retention of information.	SARC		31-Mar-15	0%
Provide scenario based training/discussions facilitated by Company Officers, faculty or selected staff members.	SARC & Civil Rights		31-Mar-14	100%
Provide faculty and/or staff led discussions to bring a different perspective in the sessions.	Commandant & Dean	Solicit faculty and staff.	31-Dec-14	0%

Provide training (identification of incidents, intervention strategies and reporting procedures) to faculty in small groups by academic department, i.e., Marine Transportation, Naval Science, Humanities, etc.	SARC		31-Mar-15	0%
Provide training (identification of incidents, intervention strategies and reporting procedures) to Company Officers	SARC		31-Mar-15	0%
Conduct small-group training sessions to midshipmen to increase interaction and discussion.	SARC & Civil Rights		31-Mar-14	100%
Enhance awareness of sexist behavior discussions.	Student Activities Director, Civil Rights		31-Dec-14	0%
Enhance awareness of crude/offensive behaviors discussions.	Student Activities Director, Civil Rights		31-Dec-14	0%
Provide awareness of unwanted sexual attention discussions.	Civil Rights		31-Dec-14	0%
Provide training on preventing domestic violence, partner abuse, and stalking.	SARC		31-Mar-15	0%
Enhance Alcohol Awareness training.	Commandant		31-Dec-14	0%
Meet with female midshipmen to ascertain why they feel sexual harassment and sexual assault training is ineffective	SARC, senior females		31-Dec-14	0%
Provide sensitivity training to all Academy personnel.	SARC, Civil Rights		31-Mar-15	0%
<b>SUPPORT NETWORK AND INTERVENTION</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
In coordination with the Midshipmen Council Provide after-class recreational opportunities and local area exploration trips for midshipmen.	Student Activities Director	Target date adjusted; plan is to hire new Social Activities Director	31-Dec-14	20%
Schedule five intramural activities per trimester.	Athletic Director	In progress	31-Mar-15	0%
<b>PROGRAM EFFECTIVENESS ASSESSMENTS</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Develop and administer a sexual harassment and sexual assault prevention survey to faculty and staff.	SARC, Civil Rights, HR, HRC Chair	Survey and analysis completed	31-May-14	100%
<b>GENDER DIVERSITY</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Increase the gender diversity of incoming classes; increase funding as necessary to achieve the desired goals.	Admissions	Gender diversity for Class of 2018 is at 18.7% (highest ever)	30-Sep-14	100%
Increase the gender diversity of faculty, coaches and staff.	HR & Civil Rights		31-Mar-15	0%
<b>Focus Group Recommendations</b>	<b>Responsible</b>	<b>Status</b>	<b>Target</b>	<b>Complete</b>
Engage returning Sea Year midshipmen and reintegrate into Academy Life and professional environment.	Commandant, SARC		30-Sep-14	100%
Conduct a vulnerability assessment and recommend adjustments to reduce risk.	Commandant, DPS		30-Sep-14	100%
Review and adjust team movement safety guidance requirements.	Commandant		30-Sep-14	100%
Review and adjust sea year brief with more emphasis on reporting avenues.	SARC & Civil Rights		30-Jun-14	100%
Highlight medical clinic services to increase trust and usage: 1) conduct a		Satisfaction survey complete.		
Provide focused training to company officers.	SARC, Civil Rights		31-Mar-15	0%
Explore additional confidential reporting options.	Legal Counsel	Potential confidential reporting candidates identified	31-Dec-14	40%
Evaluate computer-based training for effectiveness.	SARC		30-Jun-14	100%

Confer with other service academies and universities to obtain best	SARC		31-Mar-15	0%
Explore bringing victims as professional speakers.	SARC		31-Mar-15	0%
Convene focus groups for midshipmen.	SARC	Focus Group conducted, draft results provided.		100%
Review outreach and recruitment.	HR, Civil Rights	Conducting ongoing periodic reviews.	31-Mar-15	75%
Plan to increase diversity of student body.	Admissions	Plan in place. Next: Plan measurable goals and identify additional funding required.	31-Mar-15	75%

Updated as of 25 August 2014

---

<sup>1</sup>The Sexual Assault Response Coordinator (SARC) resigned in April 2014, resulting in delays in accomplishing Plan of Action items. Target completion dates will be adjusted when the arrival date of the new SARC is known.