

**Before the Committee on Appropriations
Subcommittee on Transportation, Housing and Urban Development,
and Related Agencies
United States Senate**

For Release on Delivery
Expected at
10:00 a.m. EDT
Wednesday,
April 5, 2017
CC2017011

**USMMA's Efforts To
Address Sexual Assault
and Sexual Harassment**

**Statement of
The Honorable Calvin L. Scovel III
Inspector General
U.S. Department of Transportation**



Chairman Collins, Ranking Member Reed, and Members of the Subcommittee:

Thank you for inviting me here today to testify on our work regarding the United States Merchant Marine Academy's (USMMA) efforts to address sexual assault and sexual harassment. USMMA (or the Academy) in Kings Point, NY, is one of five Federal service academies, and the only one operated by the Department of Transportation (DOT). DOT's Maritime Administration (MARAD) operates the Academy with the mission to train midshipmen to become professional merchant marine officers. While undergoing training, USMMA midshipmen are to comply with prescribed disciplinary and honor systems. However, surveys of midshipmen have revealed a longstanding pattern of sexual assault and harassment at the Academy, and recent developments have renewed concerns about the Academy's culture and the Department's oversight.

In our independent oversight role, we conduct audits and investigations of the Department's management, oversight, and compliance with policies and regulations. Over the last few years, at the request of this Subcommittee and others, we have specifically reviewed USMMA's actions to prevent, respond to, and resolve instances of sexual assault and harassment. My statement today will focus on (1) the Department's actions in response to congressional requirements and our October 2014 report recommendations,¹ (2) our 2016 review of USMMA's efforts to complete its 2014–2015 action plan,² and (3) USMMA's continuing challenges and our upcoming work.

SUMMARY

Since the 2008 passage of the Duncan Hunter Act,³ the Department has taken a number of actions to address sexual assault and harassment at the Academy. For example, in response to our October 2014 report recommendations, USMMA established standard operating procedures (SOPs) for investigating sexual assault and harassment. As required by Congress, USMMA has also created action plans to address concerns identified during its surveys of midshipmen on the effectiveness of its policies and procedures in combating sexual assault and harassment. However, our 2016 review of USMMA's 2014–2015 action plan found that the Academy had not completed 15 (34 percent) of its 44 planned actions. Our work as well as a number of recent developments, such as the Department's decision to temporarily suspend the

¹ *Better Program Management and Oversight Are Required for USMMA's Efforts To Address Sexual Assault and Harassment* (OIG Report No. ST2015004), October 23, 2014. OIG reports are available on our Web site: <http://www.oig.dot.gov>.

² *Letter to Congress Regarding USMMA's Actions To Address Sexual Assault and Harassment* (OIG Controlled Correspondence No. CC2016011), August 11, 2016.

³ Duncan Hunter National Defense Authorization Act for Fiscal Year 2009, Pub. L. No. 110-417 § 3507, October 14, 2008.

Academy's Sea Year⁴ program, highlight that USMMA remains challenged in following through on its plans to address longstanding issues with the Academy's culture. We plan to review USMMA's progress in our upcoming review beginning this summer.⁵

While my statement focuses on our audit work, our Office of Investigations has authority to conduct investigations—on its own, or in conjunction with others—for allegations of sexual assault or harassment brought to our attention. I stand ready to use this authority.

USMMA HAS TAKEN ACTION IN RESPONSE TO CONGRESSIONAL MANDATES AND OIG RECOMMENDATIONS

In 2008, Congress passed the Duncan Hunter Act aimed at creating a campus environment free of sexual assault and harassment at USMMA. The act required the Secretary of Transportation to direct USMMA to prescribe policies for addressing sexual assault and harassment and to conduct annual assessments of the program's effectiveness, develop action plans, and report to Congress on its progress.

Although USMMA took actions and established goals in response to the Duncan Hunter Act, concerns about the effectiveness of USMMA's actions and reporting remained. For example, USMMA's survey for the 2011–2012 academic year indicated an estimated 25 midshipmen, 17 female and 8 male, were sexually assaulted and 136 midshipmen were sexually harassed—despite no incidents being formally reported in that academic year.

In 2014, we issued a report in response to requests from members of this Subcommittee and the House Committee on Oversight and Government Reform that we evaluate USMMA's efforts to prevent sexual assault and harassment and DOT and MARAD's role in implementing its action plans. Our report—which covered the Academy's original action plan from November 2011 through June 2013—found that USMMA had not completed over a third of the actions identified for effectively managing its Sexual Assault Prevention and Response (SAPR) program.

We made nine recommendations for improving program management and oversight and achieving the goals in the Academy's original action plan. The Department took prompt action to fully implement all of those recommendations, which we have since closed. Specific actions in response to our recommendations included the following:

⁴ USMMA's Sea Year program is training on board maritime vessels during a midshipman's sophomore and junior years for about 135 days and 265 days, respectively.

⁵ Section 3512 of the National Defense Authorization Act for Fiscal Year 2017, Pub. L. No. 114-328, Dec. 23, 2016, requires us to submit, not later than March 31, 2018, a report that describes the effectiveness of the sexual harassment and sexual assault prevention and response program at USMMA.

- **Strengthening oversight.** Our report found that USMMA had not sufficiently assigned responsibility for program oversight and for ensuring compliance with statutory requirements. In response to our recommendation, the Department clarified the SAPR program’s oversight responsibilities in position descriptions and policies and procedures for program implementation.
- **Establishing SOPs.** We reported delays in establishing SOPs for effective SAPR program management. These SOPs included ones for investigating sexual harassment and sexual assault, collecting evidence related to sexual assault and processing restricted sexual assault reports, and meeting requirements to report allegations of sexual harassment and assault. We recommended that the Academy formalize its SOPs related to the Sexual Assault Response Coordinator’s (SARC) responsibilities and the execution of the SAPR program. In response, USMMA issued these SOPs in September 2014.
- **Improving reporting timeliness.** We reported that USMMA’s annual reports to Congress were issued, on average, nearly 2 years after the academic year ended. For example, the final 2011–2012 report was issued in March 2014—21 months after the end of the academic year.⁶ In response to our recommendation, MARAD developed a plan with milestones, assigned responsibilities, and established deadlines for delivering its annual reports and action plans to Congress.

The table below lists all actions USMMA took in response to our recommendations.

Table. USMMA Actions Taken in Response to OIG’s October 2014 Recommendations

| Recommendation | Action Taken |
|---|---|
| 1. Define and designate oversight responsibility for USMMA’s SAPR program (including sexual harassment prevention for students) to MARAD. | The Department, MARAD, and USMMA clarified the designation of authority for SAPR oversight, including in position descriptions and program policies and procedures. |
| 2. Establish an oversight framework for the USMMA SAPR program and its sexual harassment prevention efforts, including goals by which USMMA’s progress can be assessed. | The Academy’s SAPR Program Plan dated September 15, 2014, established the Academy’s framework for the SAPR program. |
| 3. Clarify lines of reporting for the Academy SARC and the Civil Rights Director, and define the position requirements for the SARC. | MARAD clarified the lines of reporting for the SARC and the Civil Rights Director and provided a position description for the SARC. |

⁶ USMMA’s academic year runs from July 1 through June 30.

| Recommendation | Action Taken |
|---|---|
| 4. Establish continuing education requirements for the USMMA SARC position. | The Academy established a minimum continuing education requirement for the SARC of 40 hours annually. |
| 5. Develop performance metrics for the USMMA SAPR program and its sexual harassment prevention activities and an internal mechanism to measure USMMA's progress in meeting established program goals. | The Academy's SAPR Program Plan dated September 15, 2014, established performance metrics for the SAPR program. |
| 6. Develop a plan with milestones, assigned responsibilities, and deadlines by which annual reports and action plans on sexual assault and harassment are delivered to Congress. | The Academy developed a plan with milestones, assigned responsibilities, and deadlines to deliver the annual report to Congress by January 15 of each year. |
| 7. Formalize standard operating procedures related to the SARC's responsibilities and the execution of the SAPR program. | The Academy issued SOPs related to the SARC's responsibilities and the execution of the SAPR program. |
| 8. Identify associated tasks, responsibilities, and timeframes to accomplish each goal of its most recent action plan. | The Academy updated its action plan to identify the specific tasks, responsible parties for each task, target dates for completion, and completion percentages for each task. |
| 9. Develop a systematic recordkeeping system for sexual assault and sexual harassment reports and incidents and related training. | In September 2014, the Academy finalized an SOP that outlined the process for documentation, storage, and disposition of restricted and unrestricted reports and SAPR Program training files. |

Source: OIG analysis

USMMA DID NOT FOLLOW THROUGH ON ALL OF ITS PLANNED ACTIONS FOR 2014–2015

Despite USMMA's progress in response to the Duncan Hunter Act and its actions addressing recommendations from our October 2014 report, allegations of sexual assault and harassment continued, and Congress remained concerned about USMMA's ability to follow through on its action plans. In response to direction from this Subcommittee,⁷ in 2016, we submitted a letter detailing our review of the

⁷ Senate Report 113-182, which accompanied the Consolidated and Further Continuing Appropriations Act of 2015, Pub. L. No. 113-235 (Dec. 16, 2014), directed us to assess the annual report and biennial survey information issued by MARAD in fiscal year 2015 to evaluate the Academy's progress in addressing corrective actions.

Academy's progress in implementing its 2014–2015 action plan, which closed in November 2015.

USMMA's 2014–2015 action plan contained 44 action items, which were based on 7 areas that USMMA had identified through its 2014 anonymous survey of midshipmen:

1. Working toward a “no tolerance and full reporting” climate;
2. Working with industry to continue to address the climate aboard commercial vessels;
3. Improving intervention and prevention training among faculty, staff, and senior leadership;
4. Intensifying awareness, prevention, and bystander training among midshipmen;
5. Improving the variety and quantity of after-class activities;
6. Developing self-assessment tools; and
7. Increasing gender diversity among Academy employees and midshipmen.

Overall, we found that by the time the 2014–2015 action plan closed on November 4, 2015, USMMA had completed 29 of the 44 items (about 66 percent) listed in the plan (see exhibit for our full assessment of the 44 items). USMMA's 29 completed action items included several key improvements, such as development of SOPs for administrative investigation of sexual assaults and more confidential reporting options for midshipmen.

However, many of the incomplete items were intended to address significant problems that USMMA continues to identify. These included incident reporting, enhanced midshipman and staff awareness, Sea Year preparation, engagement between the Academy and the maritime industry, and engagement of USMMA leadership. USMMA also indicated in its action plan that vacancies in a few positions, such as that of the Civil Rights Director, whose responsibilities include sexual harassment prevention programs, had impeded progress on some action items. As of January 2017, this position had not been filled.

Our review also noted that the incidents of sexual assault reported through midshipmen surveys continued to be significantly more than those formally reported. Specifically, in USMMA's anonymous 2014 survey, which had 761 eligible respondents,⁸ 17 percent of women and 2 percent of men (19 to 28 women and 8 to 24

⁸ Eligible respondents were those midshipmen who checked into the 2014 survey administration session and returned a survey. Midshipmen who either failed to check into the survey session or checked in and did not return a survey were deemed ineligible.

men)⁹ reported that they had been sexually assaulted, which was virtually unchanged from the data collected in 2012. However, USMMA reported in January 2016 that the number of sexual assault reports at the Academy had decreased from three in academic year 2013–2014 to one in academic year 2014–2015, which does not correlate with the survey results. According to the report, there is no easy method to determine why the number of reported incidents is low.¹⁰

Furthermore, our review raised concerns with USMMA’s justification and documentation for completing its planned actions in some cases. For example, USMMA reported that it completed its planned action to conduct briefings with shipping companies on the possibility of midshipman-on-midshipman sexual harassment and assault and how to respond to incidents. However, we found that the Academy had not yet conducted any such briefings.

USMMA also reported that it completed its action to increase the gender diversity of faculty, coaches, and staff. However, we found that USMMA did not track information related to the gender diversity of its faculty, coaches, and staff and therefore cannot reliably report that it has increased diversity. As a result, we had no basis to assess completion of the item.

Some of the items that we identified as incomplete in USMMA’s 2014–2015 plan were rolled over into its 2015–2016 plan, such as engaging with the industry to solicit ideas and make recommendations for additional training or policy changes. Overall, USMMA’s action plans address the concerns that continue to be identified in survey and focus group results from year to year. These include reports of a pervasive sexist culture on campus, which can inhibit reports of sexual assaults due to fear of retaliation; inadequate sexual assault prevention training; and limited active engagement by leadership at all levels in addressing these issues. While leaders within DOT, MARAD, and USMMA have repeatedly stated that they are disturbed by the survey results and seriously focused on addressing these issues, followthrough will be critical to ensure action items are actually completed and achieve intended results.

USMMA CONTINUES TO FACE CHALLENGES IN ADDRESSING SEXUAL ASSAULT AND HARASSMENT, PROMPTING FURTHER DOT OIG REVIEW

As we plan our future work, we will be looking at USMMA’s progress since our last report as well as assessing its response to recent events and external study findings. In particular, since mid-2016, the Academy has encountered additional challenges

⁹ These are weighted estimates. Defense Manpower Data Center analysts weighted the data so the results were reflective of the entire population, which consisted of 936 students (136 female and 800 male midshipmen).

¹⁰ Preliminary 2014–2015 Academic Program Year Annual Report on Sexual Harassment and Sexual Assault at USMMA.

related to its ability to carry out its action plans to combat sexual assault and harassment.

For example, USMMA's persistent challenges regarding sexual assault and harassment have put the Academy's accreditation at risk. In June 2016, the Academy received a warning from the Middle States Commission on Higher Education (MSCHE), which issues determinations on the Academy's accreditation.¹¹ Among other things, MSCHE stated that USMMA needed to take steps to combat sexual harassment and assault, particularly during the Sea Year. MSCHE noted that USMMA will remain accredited while on warning but gave the Academy 2 years to demonstrate compliance with several key standards, including taking steps to "build a climate of mutual trust and respect on campus and during the Sea Year." Recognizing the continuing indications of sexual assault and sexual harassment, the former Transportation Secretary directed USMMA to stand down the Sea Year Program in June 2016.¹²

A subsequent external study also identified persistent issues with the Academy's culture. In 2016, following MSCHE's findings, DOT selected an independent contractor, Logistics Management Institute (LMI), to conduct a 60-day cultural assessment of USMMA and its Sea Year program. The LMI report, issued in December 2016, concluded that although the Academy has taken actions to address sexual assault and sexual harassment, the underlying climate contributing to these issues remains. The study noted that while the military and maritime influences have enabled an Academy culture focused on service, teamwork, and discipline, the limited oversight at sea contrasted with the stricter regiment on campus has caused a "split identity." The study pointed to other issues as well, such as fear of retaliation or alcohol influence, and noted that the Academy's number for incidents of sexual harassment was almost one-third higher than other military service academies' average of the same statistic. To close gaps in leadership, prevention programs, and Sea Year policies, LMI made several recommendations and identified three areas as immediate starting points for the Academy's future actions:

- Build and align Academy leadership and management team across all levels of the institution.
- Develop and implement a comprehensive, multi-year Sexual Assault and Sexual Harassment Prevention and Response Strategic Campaign Plan.

¹¹ At least every 10 years, all accredited institutions engage in an 18–24 month period of self-study intended to demonstrate institutional compliance with accreditation standards and to promote institutional improvement. USMMA completed its self-study process and hosted an evaluation team visit during the 2015–2016 academic year.

¹² The Sea Year was restored for service aboard Federal vessels while MARAD worked to establish requirements for companies providing Sea Year training opportunities for midshipmen. In January 2017, former Transportation Secretary Anthony Foxx authorized USMMA to phase in Sea Year on commercial ships on a company by company basis. USMMA resumed training on certified commercial carriers in March 2017.

- Develop a Sea Year credentialing program that will enable the Academy and industry to maximize program effectiveness while maintaining the health and safety of the midshipmen.

Recognizing the need to significantly transform the Academy's culture in regards to sexual assault and harassment, USMMA published a Culture Change Action Plan in January 2017 with goals aligned with the LMI recommendations. The plan is ambitious and includes over 50 actions to complete in fiscal year 2017, including immediate actions such as filling key positions in the SAPRO and Civil Rights offices, establishing a process for credentialing shipping companies for participation in Sea Year, and establishing policies and procedures against retaliation and reprisal to support victims.

While USMMA's plan in response to these developments is an important step, our prior work has highlighted the importance of sustained management attention and oversight to ensure that the Academy follows through on planned items as intended and that planned actions have key goals, milestones, measured outcomes, and effective implementation. These concerns will guide our upcoming reviews of MARAD and USMMA. Specifically, by June 30, 2017, we are launching a new review of USMMA to meet a congressional mandate in the National Defense Authorization Act for Fiscal Year 2017.¹³ Consistent with the act, we plan to examine the effectiveness of the Academy's SAPR program, with specific focus on assessing progress with current plans.

CONCLUSION

Sexual assault and harassment cause great psychological and physical harm and must be met with zero tolerance. We acknowledge and commend the Department, MARAD, and USMMA for their renewed focus on transforming USMMA's culture, closely examining its Sea Year, and better supporting victims of sexual assault and harassment. However, as both our prior work and recent developments have shown, the Academy's success will hinge upon its ability to carry out strong followthrough and sustained attention at the highest levels.

We thank this Subcommittee for its continued attention to this vital area. We will keep you apprised as we continue to monitor DOT's progress in completing its planned actions and meeting its goals to eliminate sexual harassment and assault at USMMA.

This concludes my prepared statement. I will be happy to answer any questions you or other Members of the Subcommittee may have.

¹³ Pub. L. No. 114-328, §3512, December 23, 2016.

EXHIBIT. OIG ASSESSMENT OF USMMA'S 2014–2015 ACTION PLAN

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|------------------|---------------------------|--|
| Completed → Partially completed → Not started | | | |
| DEFENSE MANPOWER DATA CENTER (DMDC) FOCUS GROUP SESSIONS | | | |
| 1. Conduct DMDC focus groups. | ● | ● | USMMA completed this item by issuing its 2012–2013 annual report to Congress on October 17, 2014; it contained the previous set of focus group results. |
| 2013–2014 ACADEMIC YEAR REPORT TO CONGRESS UPDATE | | | |
| 2. Update the report to Congress. | ◐ | ◐ | This report was submitted to Congress in January 2016, which was after the action plan closed. |
| CLIMATE | | | |
| 3. Conduct sessions for faculty to a) gauge their trust in the system for students to report incidents, and b) obtain their view of barriers to report student incidents of sexual assault or sexual harassment. | ● | ● | The Sexual Assault Response Coordinator (SARC) described meeting with faculty to discuss their trust in the reporting system and their perceptions of barriers to reporting. Some faculty also participated in USMMA's biennial focus group sessions in May 2015, which covered these topics. |
| 4. Conduct an organizational climate assessment for faculty and staff. | ● | ● | The Defense Equal Opportunity Management Institute conducted a Federal Organizational Climate Survey for USMMA. |
| INCIDENT REPORTING | | | |
| 5. Conduct quarterly small-group sessions to midshipmen to gauge improvement in the reporting system. | ● | <i>No basis to assess</i> | A USMMA official said she conducted regular, but perhaps not quarterly, small-group sessions with midshipmen as an “organic” part of the program. However, these sessions were not documented, so it is not clear that these sessions specifically gauged improvement in the reporting system. |

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|------------------|-----------------------|---|
| Completed -----> Partially completed -----> Not started | | | |
| 6. Develop an SOP for criminal investigations of sexual assault. | | <i>Not applicable</i> | USMMA did not undertake this item after determining it was not needed because law enforcement agencies have jurisdiction over sexual assault cases. As such, we assessed this action item as “not applicable,” rather than “completed.” |
| 7. Develop an SOP for restricted reports of sexual assault. | | | USMMA developed this SOP. |
| 8. Develop an SOP for administrative investigation of sexual assaults. | | | USMMA developed this SOP. |
| 9. 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. | | | USMMA drafted an amnesty statement to address this item. However, the statement was not finalized or implemented before the action plan closed. |
| 10. Provide female midshipmen with a chance to voice individual concerns about reporting. | | | A USMMA official described several avenues where female midshipmen can voice concerns about reporting, including to the SARC and company officers, who have been trained to listen and take concerns to the SARC. |
| AT-SEA PROTOCOLS | | | |
| 11. Collect sample sexual assault and sexual harassment policy statements from individual shipping companies, and use them to prepare midshipmen for the Sea Year experience. | | | USMMA reported that it collected policy statements from most of the shipping companies participating in its at-sea program and used them to train midshipmen for their at-sea experience. |

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|---|---|---|
|  | | | |
| <p>12. 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.</p> |  |  | <p>USMMA did not conduct briefings with shipping companies. One official considered completion of item 11 as also satisfying item 12. We do not agree with this, as item 11 was a distinctly different item.</p> |
| <p>13. Engage with maritime industry to solicit ideas and make recommendations for additional training or policy changes.</p> |  |  | <p>USMMA met with one maritime industry group to solicit ideas and make recommendations for training or policy changes with regard to at-sea protocols.</p> |
| MIDSHIPMAN AND STAFF AWARENESS, PREVENTION, AND TRAINING | | | |
| <p>14. Develop and utilize a quiz to gauge midshipmen retention of information.</p> |  |  | <p>USMMA quizzed midshipmen to assess retention of training information.</p> |
| <p>15. Provide scenario-based training/discussions facilitated by company officers, faculty, or selected staff members.</p> |  |  | <p>A USMMA official described engaging staff to build training into other classes, such as ethics and leadership, but did not provide any examples of training or discussions actually occurring.</p> |
| <p>16. Have faculty or staff members lead off before training with an introduction of the topic and why it is important.</p> |  |  | <p>USMMA had staff and faculty members lead off some training events.</p> |
| <p>17. Provide training (identification of incidents, intervention strategies and reporting procedures) to faculty in small groups by academic department.</p> |  |  | <p>USMMA provided some informal training to all departments; however, it has not implemented focused formal training.</p> |
| <p>18. Provide training (identification of incidents, intervention strategies and reporting procedures) to company officers.</p> |  |  | <p>Officers received formal training (see item 37). In addition, the SARC reported she met with company officers once or twice a month to identify incidents and review intervention strategies and reporting procedures.</p> |

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|---|------------------|---------------------|---|
| | Completed | Partially completed | Not started |
| 19. Conduct small-group training sessions to midshipmen to increase interaction and discussion. | | | USMMA provided a schedule that showed this training had been completed. |
| 20. Enhance awareness of sexist behavior discussion. | | | Based on the plan of action described in the 2011–2012 report to Congress, which formed the basis for the 2014–2015 action plan, this item was intended to occur in small-group training for faculty. USMMA provided no evidence that this training occurred. |
| 21. Enhance awareness of crude/offensive behaviors discussions. | | | Based on the plan of action described in the 2011–2012 report to Congress, which formed the basis for the 2014–2015 action plan, this item was intended to occur in small-group training for faculty. USMMA provided no evidence that this training occurred. |
| 22. Provide awareness of unwanted sexual attention discussions. | | | Carried over to the next action plan; affected by the lack of a Civil Rights Director. |
| 23. Provide training on preventing domestic violence, partner abuse, and stalking. | | | Occurred through “Green DOT” strategy ¹⁴ and indoctrination sessions. |
| 24. Enhance alcohol awareness training. | | | USMMA described several enhancements to its alcohol awareness training, including providing training by medical professionals and events, such as drunk driving simulators. |

¹⁴ The Green Dot program teaches students to identify developing situations that could possibly lead to sexual assault and trains them to employ techniques, such as diversion or distraction, in order to separate a potential perpetrator and victim.

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|------------------|----------------|--|
| Completed -----> Partially completed -----> Not started | | | |
| 25. Meet with female midshipmen to ascertain why they feel sexual harassment and sexual assault training is ineffective. | | | A USMMA official indicated meetings were not held for this particular purpose. Although the topic was covered in other forums, such as focus groups, these were mixed-gender groups and did not meet the intent of this action item. |
| 26. Provide sensitivity training to all Academy personnel. | | | A USMMA official said some training was provided on this topic, and some was not completed. |
| SUPPORT NETWORK AND INTERVENTION | | | |
| 27. In coordination with the Midshipmen Council, provide after-class recreational opportunities and local area exploration trips for midshipmen. | | | USMMA hired a Student Activities Director in July 2015, who provided dozens of activities for USMMA students. |
| 28. Schedule five intramural activities per trimester. | | | USMMA hired an Athletics Director in 2015, who has scheduled more than the required five intramural activities per trimester. |
| PROGRAM EFFECTIVENESS ASSESSMENTS | | | |
| 29. Develop and administer a sexual harassment and sexual assault prevention survey to faculty and staff. | | | USMMA conducted an online sexual harassment and sexual assault prevention survey of its faculty and staff beginning on June 30, 2014. |
| GENDER DIVERSITY | | | |
| 30. Increase the gender diversity of incoming classes; increase funding as necessary to achieve the desired goals. | | | Based on USMMA-provided data, the Academy has increased the percentage of women in incoming classes over the past 5 years. |

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|---|---|---|
|  | | | |
| 31. Increase the gender diversity of faculty, coaches, and staff. |  | <i>No basis to assess</i> | While USMMA hired at least one female staff member in a position formerly held by a male (the SARC) over the action plan period, we were informed USMMA does not track information on its faculty, coach, and staff gender diversity. Without such data, USMMA cannot reliably report that it has increased gender diversity. |
| FOCUS GROUP RECOMMENDATIONS | | | |
| 32. Engage returning Sea Year midshipmen and reintegrate into Academy life and professional environment. |  |  | To engage and reintegrate returning Sea Year midshipmen, USMMA had the Commandant address returning midshipmen, host “Back from Sea” Dinners and start “Sea Story Sunday.” |
| 33. Conduct a vulnerability assessment and recommend adjustments to reduce risk. |  |  | USMMA satisfied this action item with a 2012 assessment and made progress under this action plan to address deficiencies identified in that assessment. |
| 34. Review and adjust team movement safety guidance requirements. |  |  | USMMA reviewed its team movement safety guidance requirements but did not revise the related policy prior to closing the action plan. Therefore, we consider this item incomplete. |
| 35. Review and adjust Sea Year brief with more emphasis on reporting avenues. |  |  | USMMA reviewed and adjusted its Sea Year briefing to add more participation by the SARC, who provided training on reporting avenues. |

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|--|------------------|----------------|---|
| Completed -----> Partially completed -----> Not started | | | |
| 36. Highlight medical clinic services to increase trust and usage: (1) conduct a patient-satisfaction survey, (2) conduct a survey on student's view of the Department of Health Services (DHS), (3) begin weekly "Did You Know" informational messages, (4) manage PII and PHI. ¹⁵ | ● | ● | USMMA Health Services conducted a patient-satisfaction and student-views survey in September 2014 and described conducting weekly Health Insurance Portability and Accountability Act ¹⁶ training and quarterly knowledge checks with Health Services staff. |
| 37. Provide focused training to company officers. | ● | ● | USMMA provided a training schedule that showed this training had been completed. |
| 38. Explore additional confidential reporting options. | ● | ● | USMMA increased confidential reporting options by developing a new memorandum of understanding with a local Safe Center and training staff to take confidential reports. |
| 39. Evaluate computer-based training for effectiveness. | ● | ● | A USMMA official reported the Academy stopped computer-based training and is evaluating a mixed-media training approach. |
| 40. Confer with other service academies and universities to obtain best practices in prevention strategy. | ● | ● | According to a USMMA official, she met with SARCs from the Naval Academy, U.S. Coast Guard Academy, and West Point and attended a conference that provided related information. |
| 41. Explore bringing in survivors of sexual assault as professional speakers. | ● | ● | According to a USMMA official, the Academy once brought in such a speaker, and it did not go well. As a result, the practice was discontinued. |

¹⁵ PII is personally identifiable information. PHI is protected health information.

¹⁶ Pub. L. No. 104-191 (Aug. 21, 1996).

| Action Items | USMMA Evaluation | OIG Evaluation | Explanation |
|---|------------------|----------------|--|
| <div style="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">  Completed </div> <div style="text-align: center;">  Partially completed </div> <div style="text-align: center;">  Not started </div> </div> | | | |
| PRIOR YEAR CARRY OVER ITEMS | | | |
| 42. Convene focus groups for midshipmen. | ● | ● | DMDC conducted USMMA's biennial focus group sessions in May 2015. |
| 43. Review outreach and recruitment. | ● | ● | USMMA reviewed its outreach and recruitment in creating its recruitment plan (see item 44). |
| 44. Plan to increase diversity of student body. | ● | ● | USMMA provided a recruitment plan to increase diversity. USMMA also hired a Diversity Recruitment Specialist in July 2015. |