

SUPERINTENDENT INSTRUCTION 2017-XX**UNITED STATES MERCHANT MARINE ACADEMY
KINGS POINT, NEW YORK**

XX March 2017

SUPERINTENDENT INSTRUCTION 2017-XX**Subject: SUPERINTENDENT'S CABINET**

1. **Purpose:** To establish the Superintendent's Cabinet (SC) as the senior decision and policy body, providing advice and guidance to the Superintendent on a range of issues from strategy to day-to-day routine. The Board is comprised of the Academy's senior leaders, who leverage their collective knowledge and expertise to advance the Academy's mission.
2. **Applicability:** This policy applies to all Academy personnel.
3. **Policy:** The Cabinet provides advice and guidance to the Superintendent on all matters strategic and operational. The SC is charged with framing policies, making recommendations to the Superintendent and ensuring that decisions reached are effectively implemented. It assists the Superintendent with policy, strategic planning, and resolution of important issues that have an impact on the entire campus. The Cabinet ensures alignment of the Academy's strategic plans and available resources to ensure that the Academy fulfills its mission. It serves as a forum to build and align Academy leadership through high level coordination, collaboration and engagement. The Cabinet plays a critical role by ensuring alignment on key issues amongst leadership and across the three divisions - Academic, Commandant and Administrative.
4. **Procedures:** The SC meets once a week, or as needed, to address issues that affect the entire campus. The Cabinet meeting agenda and minutes will be prepared, cleared, distributed and maintained by the Office of the Superintendent. Cabinet member responsibilities include effective implementation of Superintendent's policies and decisions within their relevant divisions and offices, and maintenance of Academy policies, ensuring all are up-to-date, properly cleared and implemented within their respective divisions and offices.
5. **Membership:**
 - a. The Superintendent's Cabinet will be comprised of the following members:

SUPERINTENDENT INSTRUCTION 2017-XX

- i. Superintendent (Chair)
- ii. Deputy Superintendent
- iii. Counsel to the Academy
- iv. Academic Dean
- v. Commandant
- vi. Executive Officer
- vii. Director, Physical Education and Athletics Department
- viii. Director, Academy Operations Department
- ix. Risk Management Officer
- x. Director, Office of Admissions
- xi. Director, Office of External Affairs
- xii. Director, Office of Institutional Assessment
- xiii. Sexual Assault Prevention and Response Coordinator
- xiv. Equal Employment Opportunity/Diversity Officer

The Superintendent may request the attendance of subject matter experts on an as needed basis.

6. **Responsibilities:**

- a. **Superintendent:** Responsible for calling routine and ad hoc meetings.
- b. **Superintendent's Administrative Assistant (or designee):** Responsible for preparing the weekly meeting agenda and for the preparation, clearance, distribution and maintenance of all Cabinet meeting minutes.
- c. **Cabinet Members:** Responsible for agenda input, implementing and communicating Superintendent's decisions and policies, and providing impartial and active participation in the process.

7. **Expiration:** This Superintendent Instruction goes into effect immediately and remains in effect until superseded or rescinded.

James A. Helis
Rear Admiral, USMS
Superintendent

Dist. via Email

Responsible Official: Deputy Superintendent

U.S. MERCHANT MARINE ACADEMY
(USMMA)
2016 ANNUAL REPORT TO THE
SECRETARY OF TRANSPORTATION

Prepared by the USMMA Advisory Board

June 10, 2016

Executive Summary

This report provides the U.S. Secretary of Transportation (Secretary) Anthony Foxx with advice and counsel in accordance with the U.S. Merchant Marine Academy (USMMA, or Academy) Advisory Board (Board) Charter, Order DOT 1120.45, issued on March 27, 2013. Pursuant to 46 U.S. Code of Regulations 51313, then Secretary of Transportation, Ray LaHood, appointed members to the Board in May 2013.

This 2016 report is the third Annual Report written by the Board. Its primary purpose is to advise the Secretary, Maritime Administration (MARAD) Administrator, and Academy Superintendent on matters that need immediate and continued attention to advance the Academy towards meeting its strategic goals and objectives. This information may be helpful to the Academy and future members of the next MARAD and U.S. Department of Transportation (U.S. DOT) administration as they envision the future of the Academy and develop future Academy strategic plans, performance measures, and budgets.

This report also:

- Recognizes the progress that has been made over the past year towards achieving the goals and objectives established in *The U.S. Merchant Marine Academy Strategic Plan: 2012–2017* (Strategic Plan), a set of Directives issued by Secretary Foxx in 2014, and recommendations included in the Board's previous Annual Reports.
- Informs the Academy's Board of Visitors and other interested parties about the accomplishments and needs of the Academy.
- Serves as a reference overview for new U.S. DOT, MARAD, Academy, and Board stakeholders.

The findings in this and previous Annual Reports are based on direct inspections and observations made during three or more visits by the Board to the Academy each year; oral reports and written documents provided to the Board by faculty and staff; survey data; and small group and individual discussions with Midshipmen, faculty, staff, administration, alumni, members of the maritime industry, and higher education accreditors. Recommendations are based on the Board members' collective knowledge of best practices and emerging trends and issues in higher education and the maritime industry, and on members' expertise.

Over the past several years, the Academy has resolved all of the issues raised in the 2009 Government Accountability Office (GAO) Report: *Internal Control Weaknesses Resulted in Improper Sources and Uses of Funds; Some Corrective Actions Are Under Way*. The Academy's Capital Improvement Plan (CIP) is appropriately funded and is being implemented to rebuild and renovate dilapidated infrastructure. Renovations are still in progress; it is vital that funding continue at a sufficient level to fully restore the functionality and safety of the Academy's infrastructure.


Academy faculty are implementing a new curriculum and formalizing a leadership development program. Additionally, the Commandant of Midshipmen has completely revamped his division's approach to leadership development. Components of this approach are already being executed this academic year, with full implementation anticipated in academic year 2016-2017. These initiatives should be applauded, although it is too early to say whether the initiatives in this area will meet the high, comprehensive leadership standard set by the Secretary and in place at the other Federal Service Academies.

Funds have been restored to support faculty development and maintain academic and training equipment. Relationships between the academic and Regiment leaders are stronger. Essentials such as access to nutritious food, strong academic student support services, and vibrant campus life activities are improving. The Academy and MARAD leadership are communicating regularly with the USMMA Alumni Association and Foundation (AAF). Substantive progress has been made towards meeting the goals and objectives established in the Strategic Plan. In short, the Academy is heading in the right direction.

Despite these successes, three areas require immediate and continuing attention as the Academy charts its future: Safety of Midshipmen; Changes to Maintain Regional Accreditation; and Strategic Plan and Performance Measures for the Academy. These areas comprise the focus of this 2016 report.

The appendices contain the Strategic Plan's goals and objectives and describe the Academy's substantive progress in meeting nearly all of these goals and objectives. The appendices also describe how the Academy is complying with the Secretary's 2014 Directives and meeting the Board's recommendations contained in previous Annual Reports. Where applicable, the Board has updated its recommendations.

In addition, the appendices provide related background information on the Academy. There is an overview of the institution's degree programs, a comparison between the Academy and State Maritime Academies (SMAs), a summary of events shaping the Academy's recent history, and the full text of Academy policies relating to sexual harassment, assault, and discrimination.

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|  <p>U.S. Department of Transportation Maritime Administration</p> | <p>MANUAL OF ORDERS</p> | <p>MARITIME ADMINISTRATIVE ORDER</p> | |
| | | <p>REVOKES Revokes MAO 150-3 dated October 1, 2007</p> | <p>NO. 150-3</p> |
| | | <p>EFFECTIVE DATE October 19, 2016</p> | |
| <p>SUBJECT</p> <p style="text-align: center;">Maritime Education and Training Executive Review Board</p> | | | |
| <p><u>Section 1. Organization and Functions:</u></p> <p>1.01 The Maritime Education and Training Executive Review Board (METERB) will oversee the governance and management of the United States Merchant Marine Academy (Academy).</p> <p>1.02 The METERB will consist of the following positions:</p> <ol style="list-style-type: none"> 1. Deputy Maritime Administrator (Chair) 2. Chief Counsel 3. Executive Director 4. Associate Administrator for Budget and Finance 5. Associate Administrator for Administration 6. Associate Administrator for Strategic Sealift 7. Associate Administrator for Business and Finance Development 8. Associate Administrator for Environment and Compliance 9. Associate Administrator for Intermodal System Development 10. Deputy Associate Administrator, National Coordinator for Maritime Education and Training 11. Director, Office of Civil Rights <p>If any of the above positions are vacant, the individual serving in an acting capacity will represent the position on the Board.</p> <p>1.03 The organization and activities of the METERB will conform to the attached Charter. The Charter may be amended according to its terms without requiring an amendment to this Order, unless such an amendment would conflict with this Order.</p> <p><u>Section 2. Delegation of Authority by the Maritime Administrator:</u></p> <p>2.01 All authority for establishment and operation of the Academy originates from 46 U.S. Code, Chapter 513.</p> <p>2.02 Subject to such conditions and limitations as the Maritime Administrator may impose in other directives, the METERB as a body is authorized to exercise all the authorities of the Maritime Administrator required to perform the functions assigned to it in this Manual of Orders and the attached Charter.</p> <p>2.03 This Delegation of Authority <u>does not include</u> authority to:</p> <ol style="list-style-type: none"> 1. Commit the expenditure of any funds or execute any contracts, grants, or cooperative agreements. | | | |

2. Make any determinations with respect to employment matters, including hiring, firing, performance review, promotion, or discipline of any Academy personnel.

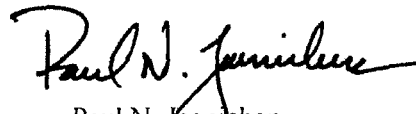
2.04 The METERB will keep the Administrator apprised of its decisions and actions. The Administrator reserves the right to override any decision of the Board.

Section 3. The METERB will:

1. Support and advocate for the Academy's mission within the Department of Transportation, the Federal Government and the with other stakeholders, in consultation with the Superintendent and other responsible parties as the Board shall determine.
2. Assess periodically the Academy's overall performance as it relates to its public mission and goals.
3. Monitor, support and ensure that there is adequate institution-wide implementation of the Academy's strategic plan.
4. Establish, review, and approve major changes in the educational programs consistent with the Academy's public mission.
5. Review and recommend suitable candidates for appointment as the Academy Superintendent, provide guidance to the Superintendent selected by the Administrator, assess his/her performance annually based on stated institutional goals and plans, and recommend appropriate terms of the Superintendent's employment.
6. Provide oversight and make recommendations on the Academy's annual budget request and hiring plan.
7. Monitor and support appropriate capital planning and execution of the coordinate Capital Improvement Plan.

Section 4. Conflicts of Interest

4.01 The members of the METERB will act in accordance with all applicable ethics rules for Federal officials and employees. If a Board member believes there may be a conflict of interest on a particular matter, she or he will confer with the Office of Chief Counsel, and the conflict and appropriate resolution (recusal, notice, etc.) will be identified in the METERB minutes.


Paul N. Jaenichen
Maritime Administrator

Maritime Education and Training Executive Review Board (METERB) Charter

Preamble

The Maritime Administrator, as the executive agent for federal maritime education, will establish the METERB to provide governance, oversight, strategic direction, and advocacy for the United States Merchant Marine Academy (USMMA or Academy). The METERB will maintain a good working relationship with the Superintendent as the Chief Executive Officer of the Academy. The responsibilities of the METERB include, but are not limited to, the following:

1. To support and advance the Academy's mission within the Department of Transportation and the Federal Government, in consultation with the Superintendent and other responsible parties as the Board shall determine;
2. To assess periodically the Academy's overall performance in light of its public mission and goals;
3. To ensure that there is adequate institution-wide, short-term and long-term planning to attain the Academy's goals;
4. To establish, review, and approve major changes in the educational programs consistent with the Academy's public mission;
5. To provide input to the Administrator regarding the selection and performance of the Superintendent;
6. To review and make recommendations on the Academy's annual budget request and hiring recommendations;
7. To ensure appropriate capital planning and oversee execution of the coordinated Capital Improvement Plan.

Article I. Board Members

Membership of the Board will consist of the individuals in the following positions:

1. Deputy Maritime Administrator
2. Chief Counsel
3. Executive Director
4. Associate Administrator for Budget and Programs
5. Associate Administrator for Administration
6. Associate Administrator for Strategic Sealift
7. Associate Administrator for Business and Finance Development
8. Associate Administrator for Environment and Compliance
9. Associate Administrator for Intermodal System Development
10. Deputy Associate Administrator, National Coordinator for Maritime Education and Training
11. Director, Office of Civil Rights

If any of the above positions are vacant, the individual serving in an acting capacity will represent the position on the Board.

Article II. Meetings

1. Regular Meetings. The Board will meet quarterly, in November, February, May, and August. At least one meeting per fiscal year will be located at the Academy.
2. Special Meetings. The Chair may call special meetings by adequate notice, including a written statement of the business to be conducted at the meeting.
3. Notice. The Secretary will provide all meeting notices in writing to the Board members at least 7 days prior to the meeting. The notice will identify the date, time, and location of the meeting.
4. Quorum. One-half (rounded up) of the voting members of the Board will constitute a quorum. A Board member may be present for quorum purposes by participating through teleconference or videoconference.
5. Proxy. For any business requiring a vote, Board members may assign their vote to another voting Board member as a proxy by providing a written statement identifying the voting intent of the absent Board member.
5. Ties. If any vote results in a tie, the Maritime Administrator will break the tie.

Article III. Officers and Other Appointees

1. Chair. The Deputy Maritime Administrator will serve as Chair of the Board and will preside over all meetings. The Chair will also serve as an ex officio member, without voting rights, of all standing committees.
2. Vice-Chair. The Chief Counsel will serve as Vice-Chair and will perform the duties of the Chair in the absence or disability of the Deputy Administrator, or if the position is vacant. In the absence or disability of the Chief Counsel, or if the position is vacant, the Executive Director will service as Vice-Chair, unless the Executive Director is serving in lieu of the Administrator, at which time the Deputy Chief Counsel or Acting Deputy Chief Counsel (as necessary) will serve as Vice-Chair.
3. Executive Secretary. The Academy Liaison Officer will serve as Secretary to the Board and the Executive Committee. The Secretary will schedule and provide notice for all meetings, keep meeting minutes, prepare and distribute meeting minutes and agenda, conduct and preserve all Board correspondence, and collect and distribute all information, data, and other evidence necessary to support Board decisions and action items. The Secretary has no voting rights. If the Academy Liaison Officer is absent, disabled, or if there is a vacancy in the position, the Chair may designate another MARAD official or employee as Acting Secretary.

4. U.S. Merchant Marine Academy Superintendent. The Superintendent is the Chief Executive Officer of the Academy and an ex officio member of the Board and all Committees, with no voting rights. The Superintendent will, as the administrative head of the institution, exercise a general superintendence over all the affairs of the institution, and bring such matters to the attention of the METERB as are appropriate to keep the Board fully informed in its policy-making responsibilities. The Superintendent will consult with the Board regarding the appointment of all senior officers of the Academy leadership and administration.

5. Other Appointees. The Administrator and/or the Board Chair may invite other federal officials representing maritime stakeholder agencies (e.g. USTRANSCOM, MSC, US Navy, USCG, NOAA) to serve as non-voting advisory members of the Board or individual committees.

Article IV. Board Committees

The standing committees of the Board are identified below. The Board may also establish other committees as necessary. Each committee will report its activities, findings, and recommendations to the Board for adoption or action. The list of committee memberships below identifies a default Chair for the committee. At any time the committee may select for itself a different Chair from its membership.

The METERB Board Chair, the Standing Committee Chair, or the Superintendent may request to convene a meeting of a standing committee.

Standing Committees:

1. Academic Issues Committee (AIC)

Purview: All matters related to the USMMA academic offerings, including post-graduate and auxiliary non-credit-bearing offerings that shall include, but not limited to, curriculum; academic calendar; faculty hiring, retention, and welfare; sea year; simulators; and regional and programmatic accreditation

Membership: Deputy AA/NC MET (Chair), AA for Business & Finance Development, Chief Counsel, AA for Environment, Safety, & Compliance, AA for Intermodal System Development, and USMMA Academic Dean (non-voting member)

2. Midshipman Affairs Committee (MAC)

Purview: All matters related to Midshipman morale and welfare that shall include, but not limited to, regimental policies and procedures; recruitment and retention; SA/SH policies and results; athletics and intramurals; and campus climate

Membership: , Civil Rights Director, (Chair), Chief Counsel, AA for Business & Finance Development, AA for Intermodal System Development, Deputy AA/NC MET, and USMMA Commandant of Midshipmen (non-voting member)

3. Budget and Finance Committee (BFC)

Purview: All matters related to the USMMA budgeting and finance, including but not limited to physical plant improvements, maintenance and repairs.

Membership: AA for Budget and Programs (Chair), Executive Director,; AA for Strategic Sealift; AA for Administration, and USMMA Deputy Superintendent (non-voting member)

4. Administrative Management Committee (AMC)

Purview: All matters related to the USMMA general administration, including but not limited to, hiring policies and priorities; information technology; procurement-related issues; and safety, security, personal property, records and quarters management.

Membership: AA for Administration (Chair), Executive Director, AA for Budget and Programs; AA for Strategic Sealift, AA for Environment, Safety, & Compliance, Civil Rights Director, and USMMA Deputy Superintendent (non-voting member)

Article V. Amendment

This charter may be amended at any Board meeting by a majority of the voting members of the Board.

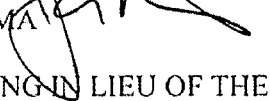


Memorandum

U. S. Department
of Transportation

U. S. Merchant Marine Academy

Maritime
Administration

From: RADM JAMES A. HELIS, SUPERINTENDENT, USMMA  7 Feb 2017

To: MR. JOEL SZABAT, EXECUTIVE DIRECTOR SERVING IN LIEU OF THE MARITIME ADMINISTRATOR

Subject: RECOMMENDATIONS TO MEET MIDDLE STATES REACCREDITATION REQUIREMENTS

The Middle States Commission on Higher Education (MSCHE) placed the US Merchant Marine Academy (USMMA) on a warning status in June 2016. In order to ensure full reaccreditation, USMMA must comply with seven requirements established by MSCHE delineated in the notice of warning. Those requirements are attached. Some of the requirements relate to governance and management of USMMA and require changes in current policies and procedures. USMMA must submit a written monitoring report to MSCHE on 1 March 2017 describing actions taken to meet these requirements.

USMMA proposes the following changes to MAO 150-1 and MAO 710-181-0-A3 in order to meet accreditation requirements.

1. To meet the requirement for Standard 4, Leadership and Governance, to provide the Superintendent "direct control over the institutional functions of personnel hiring, financial planning and management, and procurement" and in partial fulfillment of requirements for Standard 3, Institutional Resources, to provide the Superintendent "the authority and responsibility, assigned or delegated from DOT and/or MARAD as appropriate, to ensure adequate faculty, staff, and administration to support the institution's mission and outcomes expectations," in MAO 150-1:
 - a. Paragraph 1.04: Under Deputy Superintendent, add "2. Executive Officer."
 - b. Paragraph 2.02: After Deputy Superintendent, add "Executive Officer".
 - c. Delete Paragraph 7.03 and add Paragraph 3.08: "The Office of Academy Financial Management, under the direction of an Office Director, will administer all aspects of financial resource management of the Academy and related program responsibilities, including management and program analysis, budget management and automated budget and financial management systems, and travel. The Assistant Chief Financial Officer for Academy Operations will report directly to the Superintendent and has concurrent reporting responsibility to the MARAD Associate Administrator for Budget and Programs/Chief Financial Officer."
 - d. Paragraph 4.01: Change Deputy Superintendent to Executive Officer.
 - e. Paragraph 4.01 2 Office of Procurement: Delete "The Office Director reports

directly to the MARAD Director, Office of Acquisition and has concurrent reporting responsibility to the Deputy Superintendent” and replace with “The Office Director reports directly to the Executive Officer and has concurrent reporting responsibility to the MARAD Director, Office of Acquisition.”

f. Paragraph 4.01 7 Office of Human Resources: Delete “The Office Director reports directly to the MARAD Director, Office of Human Resources and has concurrent reporting responsibility to the Deputy Superintendent” and replace with “The Office Director reports directly to the Executive Officer and has concurrent reporting responsibility to the MARAD Director, Office of Human Resources.”

APPROVED: _____ DISAPPROVED: _____ SEE ME: _____ COMMENTS: _____ DATE: _____

2. In partial fulfillment of Standard 9, Student Support Services, in MAO 150-1, delete Paragraph 7.02, Sexual Assault Response Coordinator, and replace with Paragraph 3.09, “The Sexual Assault Prevention and Response Office (SAPRO), under the direction of an Office Director, is responsible for providing guidance, counseling and information for sexual assault victims; providing input on policy formulation; providing guidance and information regarding sexual assault and sexual harassment prevention; assisting in identifying systematic and individual problems; and providing program direction and guidance. The SAPRO will include at least one Sexual Assault Response Coordinator (SARC). The SAPRO Director will report directly to the Superintendent, with daily operational instruction from the Deputy Superintendent, and have concurrent reporting responsibility to the MARAD Executive Director on matters relating to MARAD and Department-level Sexual Assault Prevention and Response Office (SAPRO) policy and improper management and conflicts of interest by Academy leadership on SAPRO matters. The SAPRO will coordinate with the MARAD Office of Civil Rights as an expert on all sexual harassment prevention matters to ensure consistency with MARAD and Department of Transportation policies and procedures.”

APPROVED: _____ DISAPPROVED: _____ SEE ME: _____ COMMENTS: _____ DATE: _____

3. While not found deficient in Standard 7, Institutional Assessment, the 1 March monitoring report must address MSCHE recommendations in this area. In partial fulfillment of those recommendations, add Paragraph 3.07 to MAO 150-1, “The Office of Institutional Assessment, under the direction of an Office Director is responsible for accreditation, planning, institutional research, assessment, and institutional effectiveness functions of Academy. The Office Director reports directly to the Superintendent or, if delegated, the Deputy Superintendent.”

APPROVED: _____ DISAPPROVED: _____ SEE ME: _____ COMMENTS: _____ DATE: _____

4. To reflect changes in Academy management and administration and to clarify reporting responsibilities, in MAO 150-1:

a. Add Paragraph 3.10: “The Director of Physical Education and Athletics will report

directly to the Superintendent in matters related to the Intercollegiate Athletic Program.”

b. Change Paragraph 4.01 4 to read “Office of Public Safety and Security.”

c. Add Paragraph 5.03 4: “The Academic Center for Excellence will ensure that Academy Midshipmen have access to academic resources, skill development opportunities and counseling in support of their development at the Academy. All Midshipmen will receive academic support in a student centered learning environment regardless of their learning style.”

d. Add Paragraph 6.02 9. “The Office of Student Activities under the direction of an Office Director, will enhance the mission of the Academy by coordinating co-curricular activities and offering opportunities for Midshipmen to engage in leadership opportunities.”

e. Add paragraph 6.02 10. “The Office of Midshipmen Services will oversee administrative services specific to Midshipmen including barber, tailor, laundry, uniforms, textbooks, etc.”

APPROVED: ___ DISAPPROVED: ___ SEE ME: ___ COMMENTS: ___ DATE: ___

5. A revised MAO 150-1 organization chart reflecting these changes is attached.

APPROVED: ___ DISAPPROVED: ___ SEE ME: ___ COMMENTS: ___ DATE: ___

6. In partial fulfillment of Standard 3, Institutional Resources, ensuring the Superintendent has “the authority and responsibility, assigned or delegated from DOT and/or MARAD as appropriate, to ensure adequate faculty, staff, and administration to support the institution’s mission and outcomes expectations,” USMMA recommends the following changes to the USMMA Faculty Hiring Policy for Excepted Service in MAO 710-181-0-A3:

a. Administration of the Excepted Service Appointment Program is delegated to the Superintendent, USMMA vice the MARAD Director of Human Resources.

b. The authority to approve the hiring of a candidate who does not have veterans’ preference over a candidate with veteran’s preference is delegated to the Superintendent, USMMA vice the MARAD Director of Human Resources.

c. Advanced in-hiring rates above the minimum step of the rank will be approved by the Superintendent vice the MARAD Director of Human Resources.

d. Applications for faculty positions will be screened by the Director of the USMMA Office of Human Resources, assisted by members of the faculty with appropriate expertise as designated by the Academic Dean.

USMMA discussed the above recommended changes with Local AFGE 3732, which represents the USMMA faculty, and the Local had no objections to the changes.

APPROVED: ___ DISAPPROVED: ___ SEE ME: ___ COMMENTS: ___ DATE: ___

THE WHITE HOUSE
Office of the Press Secretary

For Immediate Release

January 23, 2017

January 23, 2017

MEMORANDUM FOR THE HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

SUBJECT: Hiring Freeze

By the authority vested in me as President by the Constitution and the laws of the United States of America, I hereby order a freeze on the hiring of Federal civilian employees to be applied across the board in the executive branch. As part of this freeze, no vacant positions existing at noon on January 22, 2017, may be filled and no new positions may be created, except in limited circumstances. This order does not include or apply to military personnel. The head of any executive department or agency may exempt from the hiring freeze any positions that it deems necessary to meet national security or public safety responsibilities. In addition, the Director of the Office of Personnel Management (OPM) may grant exemptions from this freeze where those exemptions are otherwise necessary.

Within 90 days of the date of this memorandum, the Director of the Office of Management and Budget (OMB), in consultation with the Director of OPM, shall recommend a long-term plan to reduce the size of the Federal Government's workforce through attrition. This order shall expire upon implementation of the OMB plan.

Contracting outside the Government to circumvent the intent of this memorandum shall not be permitted.

This hiring freeze applies to all executive departments and agencies regardless of the sources of their operational and programmatic funding, excepting military personnel.

In carrying out this memorandum, I ask that you seek efficient use of existing personnel and funds to improve public services and the delivery of these services. Accordingly, this memorandum does not prohibit making reallocations to meet the highest priority needs and to ensure that essential services are not interrupted and national security is not affected.

This memorandum does not limit the nomination and appointment of officials to positions requiring Presidential appointment or Senate confirmation, the appointment of officials to non-career positions in the Senior Executive Service or to Schedule C positions in the Excepted Service, or the appointment of any other officials who serve at the pleasure of the appointing

authority. Moreover, it does not limit the hiring of personnel where such a limit would conflict with applicable law. This memorandum does not revoke any appointment to Federal service made prior to January 22, 2017.

This memorandum does not abrogate any collective bargaining agreement in effect on the date of this memorandum.

DONALD J. TRUMP

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EXECUTIVE OFFICE OF THE PRESIDENT
OFFICE OF MANAGEMENT AND BUDGET
WASHINGTON, D. C. 20503

January 25, 2017

M-17-17

MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: MARK SANDY 
ACTING DIRECTOR

SUBJECT: Immediate Actions and Initial Guidance for Federal Civilian Hiring Freeze

On January 23, 2017, the President issued a Memorandum (PM) entitled "Hiring Freeze" directing agencies to implement an across-the-board hiring freeze, with the exception of military personnel in the armed forces. The purpose of this initial guidance is to clarify immediate actions to be taken by Heads of Executive Departments and Agencies to implement the PM while further guidance is being finalized. As stated in the PM, the freeze on the hiring of Federal civilian employees is to be applied to all executive branch departments and agencies regardless of the sources of their operational and programmatic funding, excepting military personnel.

Further guidance from the Office of Management and Budget (OMB) and/or the Office of Personnel Management (OPM) (including further details on exemptions, potential reporting requirements, and other instructions) is forthcoming. Until such time:

- As of noon on January 22, 2017, no existing vacant positions may be filled, and no new positions may be created. Executive departments and agencies should not make any new offers of employment. Department and agency heads may make limited exemptions that they deem necessary to ensure national security or public safety.
- Departments and agencies are permitted to make reallocations to meet the highest priority needs, ensure that essential services are not interrupted, and ensure that national security is not affected.
- An individual who has received a job offer/appointment prior to January 22, 2017, and who has received documentation from the agency that specifies a confirmed start date on or before February 22, 2017, should report to work on that start date.
- If an individual has received a job offer/appointment prior to January 22, 2017, and has received documentation from the agency that specifies a confirmed start date after February 22, 2017, (or does not have a confirmed start date) the Agency head should review the position to determine whether the job offer/appointment should be revoked, or

whether the individual should report for duty on an agreed upon start date. Agency heads should consider merit system principles, essential mission priorities, and current agency resources and funding levels when making determinations about whether or not to revoke appointments.

Inquiries from agencies regarding this initial guidance should be directed to your OMB Resource Management Offices.



U.S. Office of
Management & Budget

U.S. Office of
Personnel Management



January 31, 2017

M-17-18

MEMORANDUM FOR HEADS OF EXECUTIVE DEPARTMENTS AND AGENCIES

FROM: MARK SANDY *Mark Sandy*
ACTING DIRECTOR, OFFICE OF MANAGEMENT AND BUDGET
KATHLEEN McGETTIGAN *Kathleen McGettigan*
ACTING DIRECTOR, OFFICE OF PERSONNEL MANAGEMENT

SUBJECT: Federal Civilian Hiring Freeze Guidance

1. Purpose. This memorandum provides additional guidance regarding the freeze on the hiring of Federal civilian employees as directed by the President on January 23, 2017, via Presidential Memorandum (PM) entitled "Hiring Freeze." This guidance is in addition to the initial implementation guidance issued by the Acting Director of the Office of Management and Budget (OMB) on January 25, 2017. This guidance provides information on the types of exemptions authorized under this hiring freeze as well as instructions on how departments and agencies can request exemptions from the Director of the Office of Personnel Management (OPM) for critical situations where additional exemptions may be warranted.
2. Coverage. This memorandum applies to all Executive departments and agencies regardless of the sources of their operational and programmatic funding and to all types of Federal civilian appointments, regardless of the length of the appointment, except as provided for below or otherwise provided in law. No vacant positions existing at noon on January 22, 2017, may be filled and no new positions may be created, except in limited circumstances. For the purposes of this memorandum, a position is not considered vacant if an individual has been given an offer of employment prior to noon on January 22, 2017, has accepted the position, and has a designated start date on or before February 22, 2017.

Contracting outside the Government to circumvent the intent of the PM shall not be permitted. For example, agencies shall not acquire by contract with a commercial vendor services that are substantially similar to those that would have been provided by a Federal civilian in a vacancy covered by the PM. However, nothing in this memorandum is intended to restrict agencies from continuing, modifying, or entering into service contracts for other purposes, consistent with law, regulation, and any applicable management direction.

The guidance in this memorandum should be implemented consistent with any lawful collective bargaining obligations that may apply.

3. Exemptions. The following exemptions to the Federal civilian hiring freeze are permitted:
- a. Military personnel in the armed forces and all Federal uniformed personnel, including the U.S. Coast Guard, the Commissioned Corps of the U.S. Public Health Service, and the Commissioned Officer Corps of the National Oceanic and Atmospheric Administration.
 - b. Filling of positions under programs where limiting the hiring of personnel would conflict with applicable law.
 - c. Nomination and appointment of officials to positions requiring Presidential appointment, with or without Senate confirmation.
 - d. Appointment of officials to non-career positions in the Senior Executive Service or to Schedule C appointments in the Excepted Service, or the appointment of any other officials who serve at the pleasure of the appointing authority (i.e., "appointed" positions of a political/non-career nature).
 - e. Appointment of seasonal employees and short-term temporary employees necessary to meet traditionally recurring seasonal workloads, provided that the agency informs its OMB Resource Management Office in writing in advance of its hiring plans.
 - f. Hiring by the U.S. Postal Service.
 - g. Federal civilian personnel hires made by the Office of the Director of National Intelligence (ODNI) and the Central Intelligence Agency (CIA).
 - h. Appointments made under the Pathways Internship and Presidential Management Fellows programs (this does not include the Recent Graduates program). Agencies should ensure that such hires understand the provisional nature of these appointments and that conversion is not guaranteed.
 - i. Conversions in the ordinary course to the competitive service of current agency employees serving in positions with conversion authority, such as Veteran's Recruitment Act (VRA) and Pathways programs.
 - j. Appointments made under 5 C.F.R. § 213.3102(r) (time limited positions in support of fellowship or professional/industry exchange programs) provided that the total number of individuals employed under this authority does not exceed the number of employees onboard (hired under this authority) on January 22, 2017.

- k. Placement of persons with restoration rights accorded by law, such as restoration after absence with injury compensation and restoration after military duty.
- l. Job offers made prior to January 22, 2017, for which the individual has a confirmed start date on or before February 22, 2017. Those individuals should report to work according to their respective designated start dates.
- m. Job offers made prior to January 22, 2017, but for which the individual has a confirmed start date that is later than February 22, 2017 (or does not have a confirmed start date), should be decided on a case-by-case basis and must go through an agency-head review. The agency head should review each position to determine whether the job offer should be revoked, or whether the hiring process should continue. Agency heads should consider essential mission priorities, current agency resources, and funding levels when making determinations about whether or not to revoke job offers.
- n. Internal career ladder promotions.
- o. Reallocations (i.e., noncompetitive reassignments and details) of current Federal civilian employees within an agency to meet the highest priority needs (including preservation of national security and other essential services) are not affected. Details (reimbursable and non-reimbursable) between agencies are also not affected; however, agency leadership should ensure that any reimbursable details between agencies are not being used to circumvent the intent of the hiring freeze.
- p. Term and temporary appointments of existing Federal employees may be extended up to the maximum allowable time limit, consistent with the conditions/requirements of the legal authority originally used to appoint the employee.
- q. A limited number of voluntary transfers of current SES between agencies, as necessary to secure the leadership capacity of agencies, and where needs cannot be met by reallocation of resources within an agency's current workforce; however, filling of such vacancies is subject to OPM approval in accordance with section 4 below.
- r. The head of any agency may exempt any positions that it deems necessary to:
 - i. Meet national security (including foreign relations) responsibilities, or
 - ii. Meet public safety responsibilities (including essential activities to the extent that they protect life and property). Agencies may refer to longstanding guidance, which provides examples of such activities in OMB Memorandum, Agency Operations in the Absence of Appropriations, dated 11/17/1981 [see examples 3(a) to 3(k)].

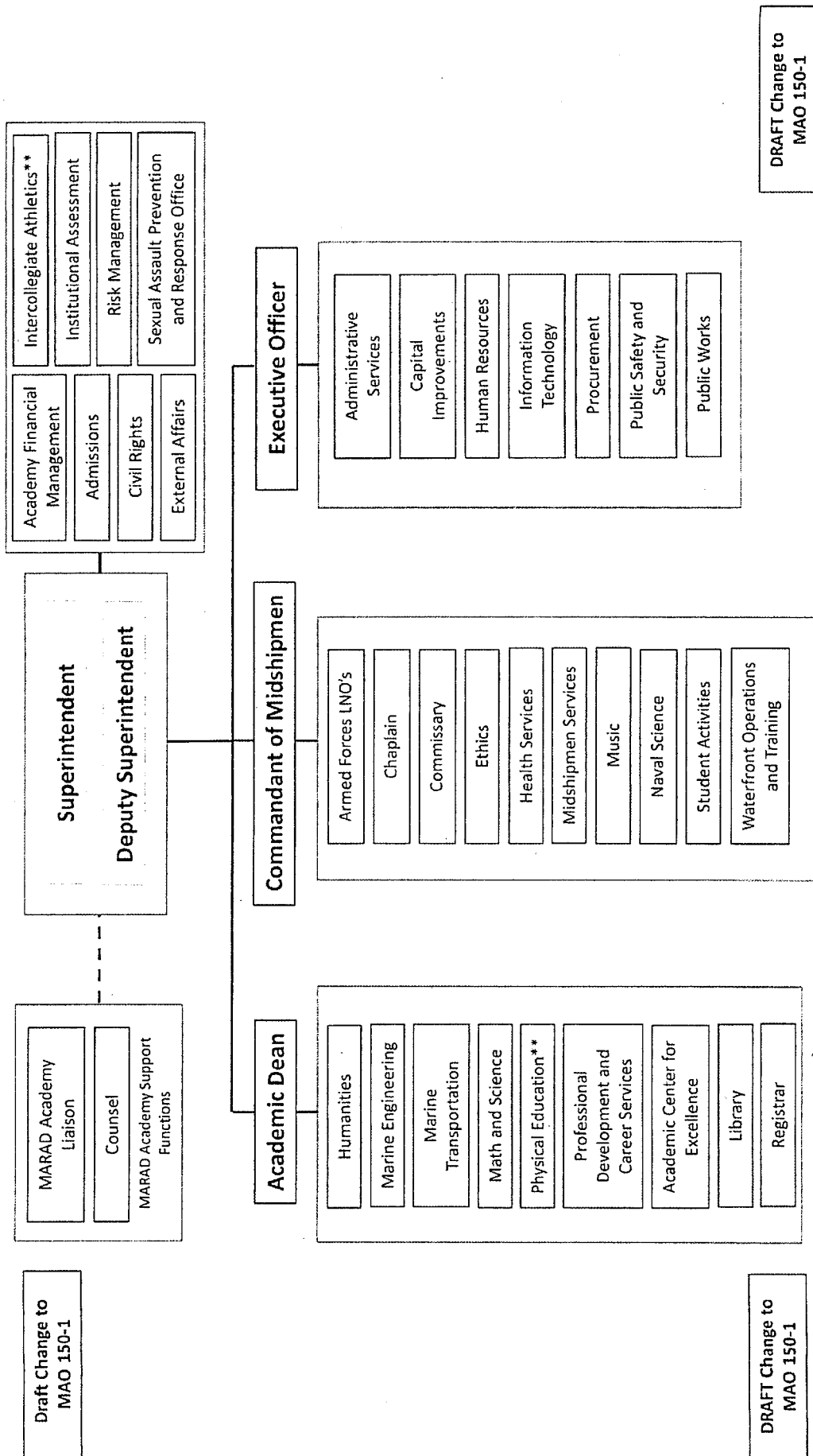
Agency heads should consult with appropriate personnel, including the agency Chief Human Capital Officer (CHCO) or equivalent and agency counsel when

determining what positions to exempt from the hiring freeze. Agency heads are also required to consult with OPM and the agency's OMB Resource Management Office on their intent to exempt positions using their agency head authority before implementing these exemptions. Note that in the case of an Inspector General's (IG) office, the Inspector General is considered the agency head for the purposes of determining which positions in the IG office are exempt based on the definitions above, as well as for the purposes of the agency-head review of job offers in the IG office that either do not have a start date or have a designated start date beyond February 22, 2017.

4. Exemptions Granted by the Director of OPM. The Director of OPM may grant additional exemptions from the hiring freeze for critical situations. Accordingly, if an agency head assesses that circumstances warrant additional exemptions to the hiring freeze other than those specified above, a request must be made in writing to the Director of OPM and signed by the agency head. The request must:
 - Explain the critical need and how it relates to essential services or critical mission requirements.
 - Explain why reallocation (reassignment/detail) of existing staff within the agency is not possible to meet the needs outlined in the request.
 - Explain the urgency of the need and the consequences of not filling the position within a 3 to 6 month timeline.

Agencies must also notify their respective OMB Resource Management Office of exemption requests to OPM under this provision.

5. Effective Dates. The guidance in this memorandum is effective immediately. Within 90 days of the publication of the PM issued on January 23, 2017, the Director of OMB, in consultation with the Director of OPM, shall recommend a long-term plan to reduce the size of the Federal Government's workforce through attrition. The hiring freeze will expire upon implementation of the OMB plan.
6. Inquiries. Questions from departments and agencies regarding the instructions and guidance in this memorandum should be addressed to agency OMB Resource Management Officers and OPM contacts provided to Chief Human Capital Officers and HR Directors.



Draft Change to MAO 150-1

DRAFT Change to MAO 150-1

DRAFT Change to MAO 150-1



THE SECRETARY OF TRANSPORTATION
WASHINGTON, DC 20590

December 19, 2016

The Honorable Susan Collins
Chairman
Subcommittee on Transportation,
Housing and Urban Development,
and Related Agencies
Committee on Appropriations
United States Senate
Washington, DC 20510

Dear Madam Chairman:

The U.S. Department of Transportation is committed to strong management, programs, and controls at the U.S. Merchant Marine Academy (USMMA).

In 2009, the Committees on Appropriations initiated allotment and funding restrictions on the USMMA in the wake of findings by the Government Accountability Office (GAO), including severe financial problems and 47 management deficiencies that needed to be corrected. Those restrictions were appropriate at the time as the Academy had four Anti-Deficiency Act violations.

The Department took strong action to address these shortcomings, including installing new leadership at the Academy, issuing and enforcing new governance and financial policies, and resolving and closing out all of the original GAO audit recommendations—all confirmed closed in 2014. In 2015, the Secretary's USMMA Advisory Board, consisting of outside education and maritime experts, opined that the Academy had the appropriate leadership and controls in place, and recommended that the Secretary ask Congress to lift the restrictions. In 2016, the Middle States Commission on Higher Education (MSCHE) made the same observations as part of their decennial accreditation review. The MSCHE found that the budget restrictions currently in place were incompatible with the necessary degree of independence for an accredited academic institution of higher education.

In view of the significant progress made at the USMMA, I am requesting the Committee on Appropriations remove the allotment and funding restriction provisions within the Maritime Administration's Operations and Training account as proposed in the FY 2017 Senate Appropriations Committee Bill (S. 2844) for inclusion in the FY 2017 Appropriations Bill. The bill language proposed for deletion is:

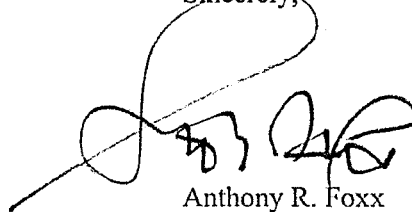
"Provided, That amounts apportioned for the United States Merchant Marine Academy shall be available only upon allotments made personally by the Secretary of Transportation or the Assistant Secretary for Budget and Programs: Provided further, That the Superintendent, Deputy Superintendent and the Director of the Office of

Resource Management of the United States Merchant Marine Academy may not be allotment holders for the United States Merchant Marine Academy, and the Administrator of the Maritime Administration shall hold all allotments made by the Secretary of Transportation or the Assistant Secretary for Budget and Programs under the previous proviso: Provided further, That 50 percent of the funding made available for the United States Merchant Marine Academy under this heading shall be available only after the Secretary, in consultation with the Superintendent and the Maritime Administrator, completes a plan detailing by program or activity how such funding will be expended at the Academy, and this plan is submitted to the House and Senate Committees on Appropriations."

In addition to the aforementioned new leadership and policies at the USMMA, there is staff in place with specialized management skills in the areas of finance, information technology, capital asset management, and security to provide necessary expertise. We have also strengthened oversight by implementing a robust internal control program. With these and other continuing improvements, the USMMA is ready to resume normal operations and prepared to effectively manage its resources to educate the next generation of maritime transportation leaders.

I have sent a similar letter to the Ranking Member of the Senate Subcommittee on Transportation, Housing and Urban Development, and Related Agencies; and the Chairman and Ranking Member of the House Subcommittee on Transportation, Housing and Urban Development, and Related Agencies. Thank you for your continued support for the USMMA and our education mission.

Sincerely,

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Anthony R. Foxx



THE SECRETARY OF TRANSPORTATION
WASHINGTON, DC 20590

December 19, 2016

The Honorable Jack Reed
Ranking Member
Subcommittee on Transportation,
Housing and Urban Development,
and Related Agencies
Committee on Appropriations
United State Senate
Washington, DC 20510

Dear Senator Reed:

The U.S. Department of Transportation is committed to strong management, programs, and controls at the U.S. Merchant Marine Academy (USMMA).

In 2009, the Committees on Appropriations initiated allotment and funding restrictions on the USMMA in the wake of findings by the Government Accountability Office (GAO), including severe financial problems and 47 management deficiencies that needed to be corrected. Those restrictions were appropriate at the time as the Academy had four Anti-Deficiency Act violations.

The Department took strong action to address these shortcomings, including installing new leadership at the Academy, issuing and enforcing new governance and financial policies, and resolving and closing out all of the original GAO audit recommendations—all confirmed closed in 2014. In 2015, the Secretary's USMMA Advisory Board, consisting of outside education and maritime experts, opined that the Academy had the appropriate leadership and controls in place, and recommended that the Secretary ask Congress to lift the restrictions. In 2016, the Middle States Commission on Higher Education (MSCHE) made the same observations as part of their decennial accreditation review. The MSCHE found that the budget restrictions currently in place were incompatible with the necessary degree of independence for an accredited academic institution of higher education.

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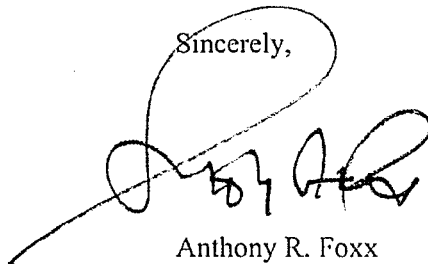
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THE SECRETARY OF TRANSPORTATION
WASHINGTON, DC 20590

December 19, 2016

The Honorable Mario Diaz-Balart
Chairman
Subcommittee on Transportation,
Housing and Urban Development,
and Related Agencies
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

Dear Congressman Diaz-Balart:

The U.S. Department of Transportation is committed to strong management, programs, and controls at the U.S. Merchant Marine Academy (USMMA).

In 2009, the Committees on Appropriations initiated allotment and funding restrictions on the USMMA in the wake of findings by the Government Accountability Office (GAO), including severe financial problems and 47 management deficiencies that needed to be corrected. Those restrictions were appropriate at the time as the Academy had four Anti-Deficiency Act violations.

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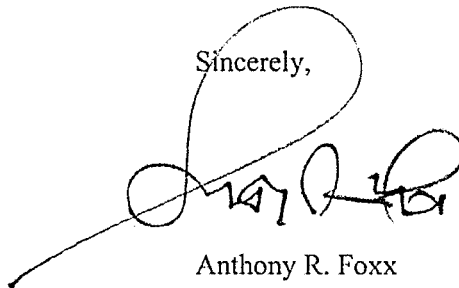
The Honorable Mario Diaz Blart

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Anthony R. Foxx



THE SECRETARY OF TRANSPORTATION
WASHINGTON, DC 20590

December 19, 2016

The Honorable David E. Price
Ranking Member
Subcommittee on Transportation,
Housing and Urban Development,
and Related Agencies
Committee on Appropriations
U.S. House of Representatives
Washington, DC 20515

Dear Congressman Price:

The U.S. Department of Transportation is committed to strong management, programs, and controls at the U.S. Merchant Marine Academy (USMMA).

In 2009, the Committees on Appropriations initiated allotment and funding restrictions on the USMMA in the wake of findings by the Government Accountability Office (GAO), including severe financial problems and 47 management deficiencies that needed to be corrected. Those restrictions were appropriate at the time as the Academy had four Anti-Deficiency Act violations.

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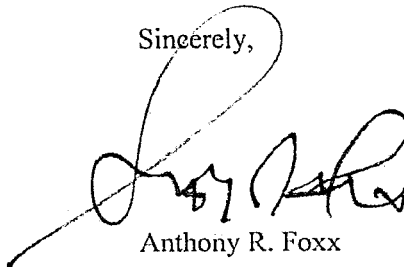
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Anthony R. Foxx

USMMA Strategic Planning Using an Appreciative Inquiry Framework Statement of Work

BRIEF DESCRIPTION: Provide training and consulting to guide USMMA through a strategic planning process using Appreciative Inquiry (AI)—a strengths-based approach.

STATEMENT OF WORK: The Contractor shall provide the knowledge and subject matter expertise to facilitate an effective USMMA strategic planning process from project design through operational planning and plan implementation.

- Innovative, collaborative, and capacity-building strategic planning services;
- Training and consultation on Appreciative Inquiry related specifically to implementing and operationalizing a strengths-based strategic plan in a complex higher education environment;
- Facilitation of data collection and analysis of input from internal and external constituencies with conflicting viewpoints in the context of USMMA's organizational context and climate;

The goal is to use a highly collaborative process to create a five-year strategic plan representing widespread buy-in. The plan will provide a framework for effective operationalization and implementation with specific strategies and methods for assessing the plan's effectiveness. Using the Appreciative Inquiry framework in developing the strategic plan must also help the Academy develop organizational capacity and lay the foundation for an appreciative culture.

An interview of the Offeror's team may be required.

In support of USMMA strategic planning services, the Contractor will:

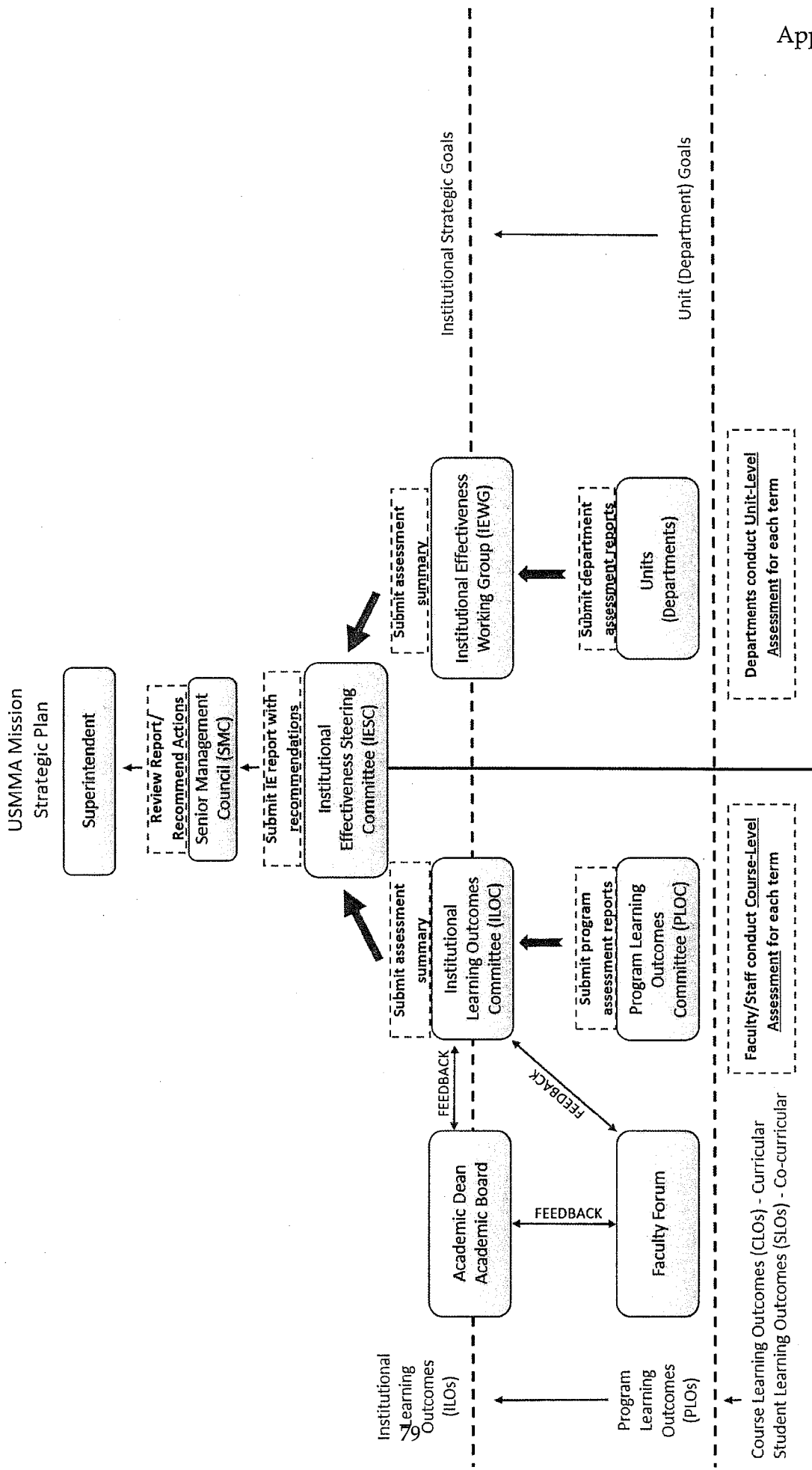
1. Create a project plan for a strengths-based strategic planning process from design through implementation including deliverables, timelines and costs.
2. Facilitate all processes associated with the project plan.
3. Provide on-site training for participants who will lead various stages of project.
4. Guide the core project team through the planning process.
5. Orient senior leadership team to the Appreciative Inquiry process.
6. Train the core project team on Appreciative Inquiry on-site.
7. Train project leaders on Appreciative Inquiry on-site.
8. Guide project leaders through the data collection process.
9. Train and assist project leaders with data analysis.
10. Assist the core project team and project leaders in identifying themes.
11. Design summit for inclusive participation for diverse institutional constituencies.
12. Assist core project team in planning the summit.

13. Facilitate summit on or near Academy campus.
14. Assist the core project team and project leaders in developing strategic priorities.
15. Assist the core project team and project leaders in identifying institution-wide strategies.
16. Assist the core project team and project leaders in creating action plans and timelines.
17. Assist the core project team and project leaders in developing the strategic plan.
18. Facilitate and assist with any additional components of this process up through the delivery of the full strategic plan, not otherwise covered in the Statement of Work.

PERIOD OF PERFORMANCE: March 1, 2017 to October 31, 2017

GOVERNMENT FURNISHED PROPERTY/INFORMATION (GFP/GFI):

The USMMA will provide the Contractor with a hardcopy or electronic copy of any documents requiring review and analysis as a part of the scope of work detailed above. The USMMA will also provide an electronic repository for all work associated with this project.



Institutional Effectiveness Steering Committee (IESC)
 Deputy Superintendent
 Academic Dean
 Commandant
 Executive Officer
 Assistant Academic Dean, Support Programs
 Assistant Academic Dean, Academic Programs
 Deputy Commandant
 Director of Institutional Assessment

Institutional Learning Outcomes Committee (ILOC)
 Assistant Academic Dean, Academic Programs
 Academic Department Heads or Assistant DH
 Regimental Officer
 Director of Institutional Assessment/ Coordinator
 Chair, General Education Committee
 Chair, Leadership Committee
 Chair, Marine Engineering Committee
 Chair, Marine Transportation Committee

Institutional Effectiveness Working Group (IEWG)
 Assistant Academic Dean, Support Programs
 Deputy Commandant
 Director of Institutional Assessment/Coordinator
 One supervisory staff member from the administrative division, appointed by the Executive Officer
 Two faculty/staff members from each division, appointed by the division head

Program Learning Outcomes Committee (PLOC)
 Committee chaired by the Assistant Dean, Academic Programs and a Dean-Appointed Faculty Chair
PLO Working Group:
 Assistant Dean, Academic Programs
 Dean-App Chair
 Institutional Assessment Director or Coordinator
 Three faculty members, assigned by the Chairs

 The PLO Working Group will handle administrative processes for the PLOC and will assign members to each PLO subcommittee with representation from departments that map courses/programs to the program learning outcomes.

Strategic Goal Assessment Teams
 Teams will review the individual unit assessment reports and each will compile a summary of results for one of the institutional strategic goals. The number of teams will correspond to the number of strategic goals in the 2017-2022 Strategic Plan.

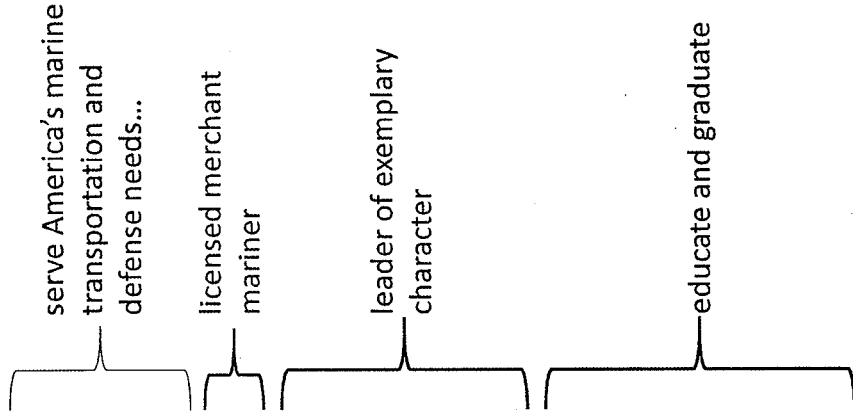
 Each unit will provide one representative, who will be assigned to one of the strategic goal assessment teams by the IEWG.

PLO Subcommittees:
Marine Engineering Committee
 Chaired by ME Faculty Member
Marine Transportation Committee
 Chaired by MT Faculty Member
General Education Committee
 Chaired by Humanities Department Head
Leadership Committee
 Chaired by Naval Science Officer in Charge (OIC)

Academy Units:
Academic Units- MT, ME, H, M&S, PE, DNS
Student Services Units- PDC&S, Library, ACE, Athletics, Registrar, Waterfront, Student Activities, Regiment, Midshipman Services, Food Services, Health Services, Chaplaincy, Music, Ethics, SAPRO
Administrative Units- Admissions, Public Safety, External Affairs, Human Resources, Procurement, Public Works, CIP, IT, Risk Management, Institutional Assessment

A Graduate of USMMA will:

- Commit to willing service to society, the nation, and the Constitution of the United States
- Understand the role of the Merchant Marine and the Strategic Sealift Officer program
- Possess strong technical and professional skills in maritime disciplines
- Create and foster environments of inclusivity and respect
- Employ the skills to function in, build and lead diverse teams
- Demonstrate mental, physical and moral discipline in a variety of contexts
- Make ethical decisions in challenging situations
- Exhibit knowledge and awareness of diversity around identities, cultures and society
- Communicate effectively both orally and in writing
- Solve problems using appropriate quantitative and qualitative skills
- Analyze and interpret information from multiple sources and media
- Demonstrate the skills necessary for self-directed and lifelong learning



Learning Outcomes Assessment Process

1. The Institutional Learning Outcomes Committee (ILOC) designates ILOs to be assessed during the year and relays them to Program Learning Outcome Committees (PLOCs), DHs, Commandant, and other parties.
Absent formally approved ILOs and ILOC, the Director of Institutional Assessment (DIA) together with the AOAC selected three ILOs to be assessed this year. We believe that these particular ILOs are fundamental to the Academy, have always been a part of our learning goals/outcomes, and as such will very likely end up on the list of approved ILOs.
The selected ILOs have been communicated to the PLOCs.
2. The PLOCs confirm with ILOC the PLOs to be assessed during the year.
 Based on the curriculum map, the PLOCs select courses that will be assessed and communicate this information to the departments (through DHs). The PLOCs also may require course assessment to follow specific guidelines, developed by each PLOC.
The initial exercise should involve a small but comprehensive selection of courses across the programs and years of study. The PLOCs should select the PLOs and courses in coordination with the DIA.
When curriculum mapping is complete, a greater number of courses will be selected for the annual assessment. The PLOCs should aim to assess all courses during a full assessment cycle, while spreading the burden equally through the courses and between the faculty.
3. Faculty assess the courses according to guidelines from the PLOCs.
 Assessment should be based on preselected assessment tools (finer than e.g. course grades). Sections of the common course should be assessed with the same tools and their assessment results combined.
 It is recommended that courses from the same discipline be assessed with similar tools, use similar rubrics, etc.
Initially the faculty should develop and/or adjust the necessary tools and rubrics. The AOAC should provide guidance and assistance. Later, this task should devolve to the PLOCs.
4. At DHs discretion, departments may perform additional course assessment, as well using direct and indirect measures of learning.
5. Assessment results, along with faculty analyses, are submitted to PLOCs.
6. The PLOCs perform a combined analysis of course assessments for each of the designated PLOs.
The PLOCs should develop its own assessment tools and procedures.
7. PLOCs submit their analyses to the ILOC and provide comments and suggestions for improvement to the departments.
8. The ILOC performs its own analysis of PLOCs submissions for each ILO.

General Education Committee Membership

- Dr. Susan Comilang – Chair, Department of Humanities
- Dr. Alexander Retakh – Department of Mathematics & Science
- Ms. Erica Hansen – Department of Marine Engineering
- Dr. Chang Guan – Department of Marine Transportation
- Dr. Hsinrong Wei – Department of Marine Transportation
- CDR Bradley Hawksworth – Department of Naval Science
- CAPT Stephen Treacy – Department of Professional Development & Career Services
- CDR Andrew McCarthy – Department of Commandant of Midshipmen
- Ms. Maureen White – Department of Physical Education & Athletics
- Dr. Patrick Speelman – Department of Humanities

General Education Philosophy

General Education serves two purposes. The first is foundational, that is, a common part of the curriculum provided to all students, as opposed to specialized education within their majors. The second is universal, devoted to establishing the intellectual and cultural minima of every college graduate. At the USMMA, General education permeates all aspects of learning and is defined via Learning Outcomes, rather than particular subject matter.

The General Education Learning Outcomes support the core values and mission of the institution through an integrated curriculum and co-curricular programs which shape the midshipman through a set of inter-related goals. The midshipman will not only have in-depth knowledge and skills provided by the major disciplines, but will also be a well-rounded, ethical, and courageous individual. General Education allows midshipmen to operate across fields and equips them with the ability to conceptualize from different perspectives. It also provides midshipmen with the value added benefits of a college education where creative thought, innovation, and a reflective shaping of self occurs. The four concepts underlying the General Education curriculum are as follows:

1. Breadth of vision. Provides a foundation upon which major programs can be based. Seeks to provide a wide-ranging exposure to values, perspectives, and traditions in order to see beyond the “workplace.”
 2. Integration of knowledge. Synthesizes knowledge through the exposure to multiple disciplines and the learning of various methods of understanding the world in which they live.
 3. Enrichment of the individual. Cultivates the individual for personal enrichment and introspection, as well as develops intellectual and ethical skills, to include critical thinking, effective communication, and moral leadership.
 4. Culture of service. Develops responsible global maritime leaders and provides a broad range of knowledge that is common among citizens of a free society.
-

General Education Learning Outcomes

- GELO1. Comprehend and evaluate materials thoroughly when reading in personal and professional contexts
- GELO2. Create effective, well-constructed documents for a variety of situations and audiences
- GELO3. Orally communicate and articulate concepts effectively
- GELO4. Select and apply reliable, relevant sources for use in documents and presentations
- GELO5. Use appropriate technology to collect, evaluate, and analyze data
- GELO6. Solve quantitative problems from a wide array of situations
- GELO7. Apply critical, analytic, and creative thinking to problem solving
- GELO8. Recognize and respect diverse socio-political and cultural landscapes
- GELO9. Gain in-depth knowledge on the role of the maritime industry in global sea power and economic development
- GELO10. Develop intellectual capacity to analyze the complex and competitive global business environment
- GELO11. Exercise ethical reasoning and discipline
- GELO12. Understand and practice principles of teamwork and leadership
- GELO13. Demonstrate the knowledge, skills and aptitude to promote and maintain personal fitness, safety, and mental strength

Courses Comprising General Education Curriculum (current)

| <u>Course</u> | <u>Credit Hour</u> | <u>Major</u> |
|---|------------------------|---------------|
| LITR 101 Composition & Literature | 3 | Deck & Engine |
| HIST 100 History of Sea Power | 3 | Deck & Engine |
| LIR 201 Literature | 3 | Deck & Engine |
| HIST 410 Modern World History | 3 | Deck & Engine |
| ENWR 220 Technical & Professional Writing | 2 | Engine |
| BUSN 210 Principles of Economics | 3 | Deck & Engine |
| MATH 101 Calculus 1 | 3 | Deck & Engine |
| MATH 120 Calculus 2 | 3 | Deck & Engine |
| MATH 210 Probability & Statistics | 3 | Deck & Engine |
| MATH 220 Differential Equations I | 3 | Engine |
| CHEM 100 General Chemistry | 4 | Deck & Engine |
| PHYS 110 Physics 1 | 3 | Deck & Engine |
| PHYS 120 Physics 2 | 3 | Deck & Engine |
| CHEM 200 Chemistry for Marine Engineers | 2 | Engine |

Leadership Program Committee Membership

- CDR Bradley Hawksworth – Co-Chair, Department of Naval Science
 - Dr. Mike Melcer – Co-Chair, Department of Mathematics & Science
 - CAPT Peter Kahl – Department of Marine Engineering
 - CDR Andrew McCarthy – Department of Commandant of Midshipmen
 - CAPT Buck McDermott – Department of Marine Transportation
 - CDR Emil Muccin – Department of Marine Transportation
 - Mr. Nicholas Rachowicz – Department of Student Activities
 - Ms. Alexa Shields – Department of Physical Education & Athletics
 - LT Stephen McDade – Department of Commandant of Midshipmen
 - Mr. Richard Cain – Department of Waterfront Operations & Training
 - LCDR Ian Jones – Department of Professional Development & Career Services
 - Dr. Melanie Ross – Department of Humanities
-

Leadership Program Philosophy (Draft)

The Leadership Program is intended to provide graduates with the skills required to excel as Officers in both the Merchant Marine and U. S. Military Service. The approach will blend classroom training, regimental activities, and co-curricular activities. Learning to be a leader comes largely from experience coupled with feedback and reflection. The intended results are men and women of exemplary character, who are mentally strong, physically tough, and morally sound. Building on the foundations of the General Education Program they must be capable decision-makers, communicators, and critical thinkers. Enhancing the skills they gain in their respective Degree Program they will be experts in their profession devoted to excellence and in everything they do. They must embrace the challenge and the privilege of leadership in the public and private sectors, and be committed to serving the nation's marine transportation and defense needs in peace and war.

Leadership Program Learning Outcomes (Draft)

- LPO1. Demonstrate continued commitment to service within the Regiment and social contexts
 - LPO2. Demonstrate understanding of how the Merchant Marine and SSOP support National Defense and Transportation needs.
 - LPO3. Show technical Competency/Professional Expertise
 - LPO4. Effect Climate in the organization
 - LPO5. Demonstrate team-building, motivation and counselling skills
 - LPO6. Understand Leadership theories and traits
 - LPO7. Demonstrate leadership traits
 - LPO8. Demonstrate initiative and the ability to self-start
 - LPO9. Practice self-assessment
 - LPO10. Demonstrate Character and Ethical Decision making
 - LPO11. Communicate Mission, Vision, Values and Goals both verbally and in writing
 - LPO12. Solve problems
 - LPO13. Demonstrate Critical thinking and decision making in planning and execution
-

LDPC Way Ahead

The Leadership Development Program Committee (LDPC) is composed of members from the Commandant's Leadership Development Committee, and the Leadership Course Development Committee, and members representing the former Academic Outcomes Assessment Committee. The committee has developed draft Leadership Program Learning Outcomes (LPLO), and mapped these to the Draft Institutional Learning Outcomes. Building on the products from the precursor committees, the LDPC is beginning the process of mapping the outcomes defined by current Regimental Training Syllabi, and the Leadership Course Syllabi to the LPLOs. The next steps will be to map each class/topic to the Course Level Outcomes and each assessment event to those outcomes, IOT identify any gaps or excesses. In many instances based on the developmental nature of the formal Leadership Program assessment event do not exist other than performance observation in routine regimental activities. In these cases the committee will look at ways to more directly assess and track each of the LPLOs and/or CLOs. As the program develops, links between the LPLOs and an "Observed FITREP" and/or Co-Curricular Transcript may be developed to directly inform class ranking.



Office of Academy Operations

Developing the Budget FY 2017 / FY 2018 / FY 2019



Formulation Challenges

- **FY 2017 remains unsettled**
- **FY 2018 New Administration, short turnaround**
 - Takes office January 20th
 - Will propose FY 2018 budget in March or April
- **FY 2019 Implementation of more rigorous formulation process**
- **Imperfect information available for decision-making in all cycles**



Lots to Do...Little Time

- **Academy will run 3 concurrent budget exercises over the next 12 months**
 1. **Complete FY 2017 Spend Plans**
 2. **Prepare FY 2018 Budget**
 3. **Prepare FY 2019 Budget**

- **Integrate a Strategy, Execution, and Assessment (SEA) process into fiscal planning (2019)**
 - **Make sure we are planning to the same goals**
 - **Make sure we are executing on those goals**
 - **Make sure that spending is consistent with plans**
 - **Tie spending to results**



FY 2017 Continuing Resolution Update

- Continuing Resolution (CR) passed on December 9th
- CR provides funding only through April 28, 2017

| | FY 2016 Enacted | FY 2017 CR Rate | Across the Board Reduction | Available thru 04/28/17 |
|------------|--------------------|--------------------|----------------------------------|-------------------------------|
| Operations | 64,500,000 | 64,377,386 | (122,615) | 37,036,310 |
| Pay | 33,701,012 | 35,433,839 | 1,732,827 | 19,901,050 |
| Non-Pay | 30,798,988 | 28,943,547 | (1,855,441) | 17,135,260 |
| CIP | 15,000,000 | 14,971,485 | (28,515) | 8,613,095 |
| FMRE | 3,000,000 | 2,994,297 | (5,703) | 1,721,678 |

- April 29th, we're back here again



Next Steps - FY 2017

- **Quick Definitions:**
 - **Program:**
 - Instructional Programs (INP) under the Dean
 - Midshipmen Programs (MSP) under the Commandant
 - Program Directions & Administration (PDA) under the Dep Sup. or Executive Officer (January)
 - **Department/Activity = BPAC**
 - Individual Departments (e.g., Marine Transportation, Library, Chaplin, etc)
 - Activities (Waterfront, Midshipmen Textbooks, Graduation, etc)



Next Steps - FY 2017

- OAFM prepared a notional spend plan thru April 28th and for the full year for each program/department at the CR level
 - This is what you will initially see in Delphi
 - Each BPAC is initially funded at the same level as obligated last year through April and for the full year
 - Some exceptions where one-time costs are excluded
 - Mandatory increases are funded



Next Steps – FY 2017

- **We are requesting each program submit a detail of proposed spending by budget line for the CR period and for the full year at the CR level**
 - **We expect changes to the notional plan as departments work with program leaders (Dean, Commandant, Dep Sup)**
 - **Once approved we will make these adjustments in Delphi**
 - **Plans to be submitted by December 23rd**



Sample Template

| JINP - BUDGET WORKSHEET | | CR Period thru April 28, 2017 | | | | | | | | | | | | Projection | | | | |
|-------------------------|---------------------------|-------------------------------|--|-----------------------------------|------------------|--|-----------------|---------------------|---------------------|---------------------|---------------------|---------------------------------------|--------------|--------------|--------------|--------------|--------------|---------------|
| BPA Group/No. | Object Class | Description of Object | Description of Obligation/Commitment/Award | Actual Exp./Obl. to Date 12/09/16 | 2nd CR Allotment | Total Available Thru 04/28 (Allotment - Obligations) | Dec-16 Forecast | Jan-16 Jan Forecast | Feb-16 Feb Forecast | Mar-17 Mar Forecast | Apr-17 Apr Forecast | CR Apr Total (sum cannot be negative) | May Forecast | Jun Forecast | Jul Forecast | Aug Forecast | Sep Forecast | FY 2017 Total |
| ALLOTMENT | | | | \$ 5,000.00 | \$ 10,000.00 | \$ 15,000.00 | | | | | | \$ 35,000.00 | | | | | | \$ 25,000.00 |
| 21 | Travel | Jane Doe Conference | | \$ 1,000.00 | \$ (1,000.00) | \$ (1,000.00) | | | | | | \$ (1,000.00) | | | | | | \$ (1,000.00) |
| 25 | Contracts/AAAs/MOUs | Adjunct: Smart Guy | | \$ 3,000.00 | \$ (3,000.00) | \$ (3,000.00) | | | | | | \$ (3,000.00) | | | | | | \$ (3,000.00) |
| 21 | Travel | Conference Travel/ Joe Smith | | | | | \$ 100.00 | | | | | \$ (100.00) | | \$ 100.00 | | | | \$ (200.00) |
| 22 | Shipping/Freight | | | | | | | | | | | | | | | | | \$ - |
| 24 | Printing and reproduction | | | | | | | | | | | | | | | | | \$ - |
| 25 | Services | Services Provided | | | | | \$ 100.00 | | | | | \$ (100.00) | | | | | | \$ (100.00) |
| 26 | Contracts/AAAs/MOUs | Binders from Staples | | | | | | | \$ 100.00 | | | \$ (100.00) | | | | | | \$ (100.00) |
| 25 | Contracts/AAAs/MOUs | | | | | | | | | | | | \$ 200.00 | | | | | \$ (200.00) |
| 26 | Other Supp. & Materials | | | | | | | | | | | | | | | | | \$ - |
| 31 | Equipment | | | | | | | | | | | | | | | | | \$ - |
| 32 | Land and structures | | | | | | | | | | | | | | | | | \$ - |
| Examples: | | | | \$ 9,000.00 | \$ 6,000.00 | \$ 11,000.00 | | | | | | \$ 30,700.00 | \$ 200.00 | \$ 100.00 | \$ - | \$ - | \$ - | \$ 20,400.00 |



How we use the Templates

- We compare requisition requests to the detailed plans and funds available as shown in Delphi
 - Requisition requests that match plans are easy to approve
 - Requisition requests that don't match or exceed plans need identified offsets before we can approve
- Just because Delphi shows funds available does not mean requisitions can be approved

| Fund | Budget BPAC Year | Budget | Commitments | Obligations | Expended | PYR | Total Obligations | Funds Available |
|------------|------------------|-----------|-------------|-------------|-----------|------|-------------------|-----------------|
| 70171750MA | 2017 | 31,707.00 | 60.00 | 2,113.19 | 28,530.47 | 0.00 | 30,703.66 | 1,003.34 |

- Delphi doesn't tell us if there is a planned future purchase against these funds



Monthly Budget Reviews

- **We will review spending against the budget with each program beginning in January**
 - **Identify variances**
 - **Make adjustments, if necessary**
 - **Results of reviews**
 - **Reported to Academy leadership**
 - **Incorporated in Monthly Financial Report to MARAD**



Calendar

| Calendar | FY 2017 Budget | FY 2018 Budget | FY 2019 Budget |
|---------------|--|---|---|
| November 2016 | OAFM & Program Managers complete CR Spend Plans | | |
| December 2016 | CR Ends, New CR begins OAFM and Programs prepare new Spend Plan | OAFM requests budget proposals from Program Managers based on full-year FY 2017 CR level - SMC approves | Kick-off Budget Process with Process Briefing to Departments |
| January 2017 | Monthly Budget Reviews | OAFM requests budget justification narratives from Program Managers - submits budget request to MARAD/DOT | OAFM requests FY 2019 strategic objectives from Superintendent/SMC - Prepares AGM |
| February 2017 | Monthly Budget Reviews | MARAD/DOT presents budget to new Administration | AGM approved and distributed to Department heads |
| February 2017 | Monthly Budget Reviews | New Administration submits outline of budget to Congress | OAFM requests budget proposals from Program Managers |
| March 2017 | Monthly Budget Reviews | New Administration submits budget justifications to Congress | OAFM presents budget requests to FMWG for prioritization |



Calendar Continued

| Calendar | FY 2017 Budget | FY 2018 Budget | FY 2019 Budget |
|----------------|------------------------|------------------------------|---|
| March 2017 | Monthly Budget Reviews | Congressional Budget Process | FMWG recommendations presented to SMC for approval |
| April 2017 | Monthly Budget Reviews | | Program Managers prepare budget justification narratives |
| May 2017 | Monthly Budget Reviews | | OAFM presents budget justification to MARAD |
| June 2017 | Monthly Budget Reviews | | OAFM incorporates MARAD comments. MARAD submits Secretarial Budget to DOT |
| July 2017 | Monthly Budget Reviews | | DOT Secretarial Budget Process |
| August 2017 | Monthly Budget Reviews | | DOT Secretarial Budget Process |
| September 2017 | Monthly Budget Reviews | | DOT submits budget to OMB |
| September 2017 | Fiscal Year Close | | OMB Budget Process |
| October 2017 | | | OMB Budget Process |
| November 2017 | | | |
| December 2017 | | Monthly Budget Review | OAFM/MARAD prepare President's Budget Request |
| January 2018 | | Monthly Budget Review | OAFM/MARAD prepare President's Budget Request |
| February 2018 | | Monthly Budget Review | President submits Budget to Congress |



FY 2018 Planning

- **OAFM met with Academy leadership**
 - **Key Priorities to incorporate into programs**
 - **Quality Sea Year Experience for M/N**
 - **Academy Infrastructure**
 - **Invest in high return IT**
 - **Enhance Campus Security**
 - **Sustain the Capital Improvement Program**
 - **Robust Regimental Life**
 - **Opportunities for leadership**
 - **Eliminate Sexual Assault & Harassment**
 - **Build Leadership training into programs**



FY 2018 Budget

- **New Administration priorities are unknown**
- **Limited ability to request funding over FY 2017 level**
 - Annualization of payroll and pay raises
 - Inflationary costs built in contracts
- **Opportunity to align funding with leadership priorities**
 - Will adjust as guidance comes from new Administration
- **Assume return to commercial vessels for Sea Year**
- **OAFM will update FY 2017 full year templates for FY 2018 inputs**
- **Narrative justifications for changes in department or activity spending must be provided**
- **Expect MARAD/DOT to request budget shortly after Administration takes over (Jan 20th)**



FY 2019 Budget

- **Academy implementing a new Strategy, Execution, and Assessment process in the budget (SEA)**
- **Opportunity to develop new initiatives**
- **Opportunity to formalize budget processes**
 - **Will document and provide written procedures for budget development and execution**
 - **Will deliver an Annual Guidance Memo to guide investment decisions**
 - **Will Standardize templates and data collection tools**
 - **Will formalize review of spending priorities across the Academy with Financial Management Working Group and Senior Management Committee**
 - **Will assess spending against plans on a regular basis**



Changes in the Planning and Execution of the Budget

- **For FY 2019:**
- **Implementing a Strategy, Execution, and Assessment (SEA) process**
 - **Strategy**
 - Setting strategic guidance early in the process to guide managers in preparing estimates
 - Developing process for engagement with leadership and programs throughout the process
 - **Execution**
 - Establishing detailed month by month spend plans
 - Providing useful financial reports to managers to facilitate decision-making
 - **Assessment**
 - Reviewing performance vs plan on a monthly basis with managers
 - All divisions, departments and programs will implement assessment processes that provide the information needed to identify how well the Academy is achieving its strategic goals.



Why you may not get what you ask for:

- **Budget goes through many iterations and changes during the process**
- **Managers propose best estimates to accomplish their mission**
- **USMMA leadership balances managers' proposals with Academy-wide priorities and fiscal guidance and constraints**
- **MARAD balances Academy's proposal with MARAD priorities, fiscal guidance and constraints**
- **DOT balances MARAD's recommendation for the Academy with MARAD priorities, fiscal guidance and constraints**
- **OMB balances DOT's recommendations for the Academy with Presidential priorities**
- **Congress balances President's recommendation for the Academy with Congressional priorities**



How to Achieve Success in the Process:

- **Academy's priorities are best protected in the process by:**
 - **Getting stakeholder buy-in to the Strategic Plan**
 - The more people agree with us the more they will advocate for us
 - **Recognizing fiscal constraints in developing estimates**
 - There is budget pressure and competing priorities at all levels before the budget is enacted
 - **Providing compelling justifications that -**
 - Tie to strategic goals
 - Have performance measures if possible
 - Are easily understandable to the lay-reader
 - **Robust advocacy and engagement throughout the process**
 - Think of MARAD, DOT, OMB, Congressional Committees as allies not enemies
 - Everyone wants a good result for the Academy
 - **Demonstrating results**
 - Successful organizations tend to succeed in the competitive budget process



Shipboard Climate Compliance Team

Evaluation Criteria
for
Commercial Shipping

Overview

- The Maritime Administration (MARAD) has formed a Shipboard Climate Compliance Team (SCCT) to determine if companies meet the Sea Year Eligibility (SYE) requirements for Midshipmen to be assigned to their ships.
- The seven requirements are in addition to measures companies are already required to take (e.g. a Designated Person Ashore with 24/7 availability).
- The SCCT will perform periodic and random audits to determine if the requirements are being met.
- The SCCT will continue to work with stakeholders to improve “best practices” in training and other areas.
- The criteria will be reviewed after six months, and annually thereafter.

1. Company-assigned “Mentors” with defined duties to look after cadets aboard each ship

- a. Mentors should be officers, justification for any exceptions
- b. Mentors should be on-board, justifications for any exception (e.g. inland waterway or coast-wise sailing where ship is docked each day)
- c. Selection criteria: to include that assigned Mentor has no pending complaints or history of violations of the company’s SASH or anti-discrimination policy; additionally, the selectee must certify that he/she does not have any pending complaints or history of violations of any other company’s SASH policies. Mentor is of good character; knows, supports, and advocates the company’s SASH policies.
- d. Identify how the mentor will be selected.
- e. Mentors to serve as a resource for Midshipmen while aboard; ** see template for sample duties **

2. CEO-level company-wide message stressing zero tolerance of SASH

- a. Message from CEO, President, Chairman or equivalent position
- b. Message that SASH and retaliation based upon a SASH complaint is unacceptable, commits company to working to resolve/eradicate it.
- c. The message should include descriptions of Sexual Assault and Sexual Harassment that are in agreement with the USMMA definitions. (See attachment)

** Sample attached: RADM David Score message (NOAA Director of Marine and Aviation Operations). This sample does not include retaliation, but submitted CEO messages should include retaliation. **

3. Annual SASH Prevention Training required for crew

- a. The annual SASH prevention training should:
 1. Define and provide examples of sexual assault and sexual harassment, consistent with the USMMA definitions.
 2. Make a clear, unambiguous statement that SASH and any retaliation based upon SASH is unlawful.
 3. Describe the impact of SASH and retaliation on the victim, aggressor, witnesses, company and vessel crew; and the importance of prevention.
 4. Explain the importance of reporting SASH violations and prohibiting retaliation.
 5. Describe the responsibility of supervisors and employees, witnesses, and “bystanders” who observe SASH.
 6. Explain that each company has a responsibility to investigate SASH complaints and enforce its SASH policies.
- b. Training participants should record or certify their attendance and date of training.
- c. Company certifies SASH training is received at least annually

Note: If any of the items listed in 3a. are not included in the company’s annual SASH prevention base training, the company shall supplement the training as required to demonstrate compliance.

4. Companies must verify that the crew will complete Annual SASH Prevention Training, and review and acknowledge the Company’s SASH policies

- a. Ensure annual SASH prevention training is current for all crew members. If not, crew members must complete annual SASH prevention training prior to Midshipmen arrival on board as far as practicable, and new crew members must complete training within 72 hours of signing-on.
- b. Ensure all the company’s SASH and anti-discrimination policies are reviewed and acknowledged within 72 hours of signing-on.
- c. Describe the company-specific training and how it is provided; certify the following elements are covered in the training:
 1. The company’s anti-discrimination, harassment, retaliation and SASH policies, including descriptions and examples of sexual harassment and sexual assault, and prevention steps the crew can take;
 2. The company’s complaint reporting policies and procedures;
 3. A description of the company’s investigation process and enforcement procedures;
 4. Knowledge Check: a short quiz or other mechanism such as the Master/Chief Engineer’s face-to-face interview of crew member to verify his/her understanding of the issue and countersigning a document to that effect.
- d. Maintain documentation of training and policy review completion.

5. Zero-Tolerance policy regarding romantic or sexual relationships (including voluntary and consensual) between cadet and crew members

- a. USMMA to provide Sea Year Conduct policy for Midshipmen (see attached);
- b. Companies agree to report known cadet violations to USMMA.

6. Company submits all relevant policies to SCCT; certifies that they meet Federal requirements

Documents to submit include:

1. CEO message;
2. Letter signed by CEO, General Counsel, or other senior executive verifying that the company's current policies cover all discrimination prohibited by Federal law;
3. Company's SASH prevention policies, which should address sexual assaults and harassment, retaliation and the company's zero tolerance policy towards SASH;
4. Description of company's complaint reporting process and procedures, including the identity (or title) of individuals onboard and ashore designated to receive complaints;
5. Company's policies related to confidentiality, safety of individuals who report complaints, and anti-retaliation statement;
6. Company's enforcement policies, investigation procedures; and
7. A statement that the EEO poster is posted onboard in a conspicuous location
8. Location of SASH prevention policies onboard the vessel.

7. Company will provide a debrief for every cadet at the completion of the cadet's Sea Year time onboard the vessel;

1. Company agrees to provide standardized debrief to MARAD/USMMA. The standardized debrief is accessible from the SCCT Sharepoint site.
2. The debrief is to be provided as soon as possible, but not later than 2 weeks from the time the cadet disembarks the vessel.

Superintendent Instruction 2016-04

**UNITED STATES MERCHANT MARINE ACADEMY
KINGS POINT, NEW YORK**

12 August 2016

Superintendent Instruction 2016-04

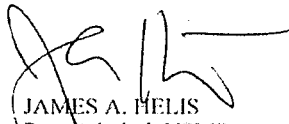
Subj: USMMA Sea Year Conduct Policy

1. **Purpose:** To establish policy for appropriate personal conduct of USMMA (Academy) Midshipmen serving as cadets aboard vessels for sea year and internships.
2. **Applicability:** This policy applies to all Midshipmen in sea year status.
3. **Policy:** Sailing aboard commercial and military vessels as a cadet is a privilege that should not be taken for granted. At all times, on duty or off, Midshipmen represent the Academy and the Regiment, and are expected to act as leaders of exemplary character. Midshipmen will be respectful of all crew members and others working on and with the vessel and with anyone with whom they interact on liberty. In all matters, a Midshipman's conduct is a reflection of the Academy, and the Regiment of Midshipmen.
4. **Procedures:**
 - a. **Liberty:** Liberty is granted at the discretion of the ship's master. While on Liberty, Midshipmen must carry identification, conduct themselves in an exemplary manner, and be accompanied by a liberty buddy. A liberty buddy may be a fellow Midshipman or a crewmate. Liberty buddy relationships must be in compliance with fraternization policies.
 - b. **Prohibited Conduct:**
 - i. Midshipmen under age 21 may not consume alcohol even if local laws permit it.
 - ii. Midshipmen will not engage with prostitutes or other sex workers, even if local laws permit it, and will not encourage others to do so.
 - iii. Midshipmen will not become involved in or promote human trafficking in any way.
 - iv. Midshipmen will not engage in sexual assault, harassment of any form, including sexual harassment, bullying, hazing or coercion of others to engage in inappropriate behavior.
 - v. Midshipmen will not retaliate against any person for reporting misconduct or refusing to submit to coercion to engage in inappropriate behavior.
 - vi. Midshipmen will not date, have sexual relations, or engage in romantic or other unduly familiar associations with any member of the crew, including other Midshipmen assigned to the vessel. If two Midshipmen with a

Superintendent Instruction 2016-04

romantic or dating relationship at the Academy are assigned to the same vessel, both must immediately notify their Academy Training Representative (ATR) so they can be assigned to different ships.

- c. **Obligation to Report:** Midshipmen who have witnessed any type of misconduct or inappropriate behavior have an ethical obligation to report it.
 - d. **Ship Regulations:** If the regulations of the ship or shipping company to which a Midshipman is assigned are more restrictive than the policies outlined in this Instruction, Midshipmen must follow the more restrictive policy. For example, if a company has a policy that alcohol is never to be consumed while assigned to one of their ships, Midshipmen must comply with that policy.
5. **Expiration:** This Superintendent Instruction goes into effect immediately and remains in effect until superseded or rescinded.



JAMES A. HELIS
Rear Admiral, USMS
Superintendent

Dist. via Email

Responsible Official: Office of Professional Development and Career Services



Department of Transportation U.S. Merchant Marine Academy Culture Audit
TP603T1/DECEMBER 2016

Executive Summary

The U.S. Merchant Marine Academy (USMMA, or Academy) in Kings Point, New York, is one of five federal service academies. The Academy falls under the purview of the Maritime Administration (MARAD) within the U.S. Department of Transportation (DOT) and is accredited by the Middle States Commission on Higher Education (MSCHE). A key element of the USMMA curriculum involves the Academy's Sea Year Program, during which midshipmen gain hands-on experience serving aboard U.S. Naval Military Sealift Command vessels or commercial U.S. flagships.

In June 2016, MSCHE issued a report directing USMMA to take steps to build a climate of mutual respect and trust on campus and during the Sea Year Program. Specifically, the MSCHE evaluation team noted that the campus climate—and in particular, incidents of sexual assault and sexual harassment—has been a serious and recognized problem for over 10 years; to be in compliance with MSCHE accreditation standards, USMMA must improve the safety and climate of respect for midshipmen during Sea Year.

In reaction to these findings and the persistence of indications of sexual assault and sexual harassment in the Department of Defense's Defense Manpower Data Center (DMDC) Service Academy Gender Relations (SAGR) Surveys and focus groups, DOT and MARAD directed USMMA to stand-down the Sea Year Program on commercial vessels. DOT then selected LMI to conduct a 60-day independent culture audit with two primary objectives:

- ◆ Identify the current institutional climate at USMMA and any contributing subcultures.
- ◆ Analyze the nature and scope of the problem of sexual assault and sexual harassment on campus and at sea, derived from recent reports, research, survey data, policies, and interview.

To perform the audit, LMI reviewed literature, conducted interviews of Academy stakeholders, analyzed and compared data, and developed findings and recommendations. Specifically, we conducted 162 interviews with DOT Office of the Secretary of Transportation (OST), MARAD leaders, and USMMA Advisory

Board members; Academy leaders, staff and faculty members, and midshipmen; industry and maritime union representatives, including ship officers and crews; and USMMA alumni. We identified Academy sexual assault prevention and response gaps relative to comparator organizations, namely federal service academies and state maritime academies. We then identified recommendations that will enable the Academy to begin closing the gaps and address the underlying root causes contributing to the current climate.

As found through our literature review, data from the 2013–2014 DMDC SAGR Surveys show that 63 percent of women respondents indicated experiencing sexual harassment or similar behaviors and 17 percent of women respondents indicated that they had experienced sexual assault in the previous year. These numbers for sexual harassment are almost one-third higher than the military service academies' average of the same statistic, 48 percent, and these numbers for sexual assault are double the 8 percent military service academies' average proportion. In addition, 11 of 162 interviewees indicated they had experienced sexual assault or sexual harassment while at the Academy or during Sea Year.

Although the Academy has taken actions to address sexual assault and sexual harassment, the underlying climate contributing to these issues remains. This climate has been shaped by the strong cultural influences of the military and the maritime industry. While these dual influences have helped to enable an Academy culture focused on service, self-sacrifice, self-reliance, discipline, and teamwork, they also have caused a split identity at the Academy. As a result, midshipmen straddle between regiment and limited oversight at sea.

ACADEMY CULTURE

In addition to its split identity, the Academy is fragmented in other ways. We found an “us versus them” mindset shaping Academy culture across various dimensions, including male versus female midshipmen; midshipmen versus the leadership, staff, and faculty; and uniformed versus civilian faculty. The Academy is also marked by a sense of victimhood, with some staff and faculty members and midshipmen feeling that they are treated unfairly and are unable to improve the situation. Fear, in multiple forms, also plays a strong role in shaping attitudes and behaviors at the Academy—fear for the future of the Academy and the maritime industry in general; fear of being “blacklisted” by industry or jeopardizing chances of graduation; and fear of retaliation, ostracism, and bullying.

Alcohol use is another important component of the Academy's culture. Academy disciplinary records confirm that alcohol is one of the most common serious disciplinary offenses, and many interviewees cited alcohol as being a factor in incidents of sexual assault.

Finally, the Sea Year Program is an important part of the Academy's culture. Sea Year, a key experiential learning component of the Academy's curriculum, enables midshipmen to obtain technical, professional, and development skills that

they can carry forward into their careers. It is integral, but it also exposes cadets to a world far different from regimental life. This exposure, and ship life in general, changes midshipmen. A male faculty member said, "Students come in as nice people but change after Sea Year. The brothels socialize the white male majority. It is the way they become a man." In addition, reintegration has led to "trickle down" effects from older midshipmen returning from sea to the third- and fourth-class midshipmen on campus. Sea Year, fragmentation, fear, and alcohol, among other cultural dimensions, intersect and intertwine, creating barriers and limiting the Academy's ability to combat sexual assault and sexual harassment and address the underlying root causes.

We identified lack of respect for personal dignity and personal differences, lack of trust, and lack of personal ownership of issues as the root causes shaping the current climate. These root causes then create barriers (victim blaming, denial of the problem, etc.) and manifest in behaviors such as ostracism and inaction. Understanding these barriers and not tolerating behaviors that manifest from them are critical to enabling culture change.

KEY FINDINGS AND RECOMMENDATIONS

Beyond identifying root causes and barriers, understanding the current state at the institution is critical for preventing and addressing sexual assault and sexual harassment and changing the culture. Our key findings and gaps relative to the current organization and operations include the following:

- ◆ Academy leadership and management does not present a unified message regarding sexual assault and sexual harassment.
- ◆ Current sexual assault and sexual harassment programs tend to be reactive rather than based on a unified, strategic approach.
- ◆ The emphasis on the Academy's core values is understated.
- ◆ Fear of retaliation and victim blaming that hinders intervention and reporting impedes progress toward addressing sexual assault and sexual harassment.
- ◆ The Academy and MARAD lack a program to ensure that shipping companies have adequate policies and procedures in place during Sea Year.
- ◆ Academy policies, guides, and programs require improvements to fully prepare and support midshipmen for Sea Year.

To close these gaps and address the root causes of sexual assault and sexual harassment, we recommend that the Academy undertakes a strategic approach that includes the following:

1. *Build and align* Academy leadership and management team across all levels of the institution.
2. Develop a comprehensive and integrated Sexual Assault and Sexual Harassment Prevention and Response *Strategic Campaign Plan* that will integrate all actions to bring about mutual respect and zero tolerance for sexual assault and sexual harassment.
3. Build *shared ownership* between the Academy, MARAD, and industry, with a sustained public commitment to improve the culture and bring about zero tolerance for sexual assault and sexual harassment.
4. Infuse *core values* into all aspects of Academy life.
5. *Change the paradigm* from blaming the victim to advocating for and protecting the victim.
6. Instill a sense of *personal responsibility* for preventing and addressing sexual harassment, sexual assault, and retaliation at all levels within USMMA to build and institutionalize a culture of trust, respect, and accountability.

To improve the Sea Year Program, we recommend that USMMA and MARAD establish a process for credentialing shipping companies for participation in Sea Year, make improvements to more fully prepare and support midshipmen in the Sea Year Program, and establish a robust, continual feedback process from Sea Year.

WHERE TO START

We recognize that many of our recommendations will require time and concerted effort to accomplish. To start on this path of cultural transformation, we recommend that the Academy start with these three 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.
- ◆ 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.



THE SECRETARY OF TRANSPORTATION
WASHINGTON, DC 20590

January 6, 2017

RADM James A. Helis, USMS
Superintendent
U.S. Merchant Marine Academy
300 Steamboat Road
Kings Point, NY 11024-1634

Dear Admiral Helis:

Thank you and your team for working to address ongoing issues of sexual assault and harassment at the U.S. Merchant Marine Academy (USMMA). I know you share many of my feelings about the seriousness of these issues and the urgency of resolving them.

It is very important for the community to understand and internalize that this is a real problem and that it is laced within the culture of an otherwise proud and critical national institution. All of us want our young people to succeed, and we must work even harder to measure that success by building a culture of trust and respect beyond what we have today.

I recently received the U.S. Merchant Marine Academy Culture Audit performed by Logistics Management Institute (LMI), and its findings should alarm all of us. The audit reinforces what the Defense Manpower Data Center, the Middle States Commission on Higher Education, the USMMA Advisory Board and our numerous interactions with Midshipman have told us: that, while the Academy's culture is grounded in a sense of service, discipline and teamwork, our young people are at far greater risk of sexual assault and harassment than they should be and that there are things we can do now and over the longer term to put a stop to it.

As you well know and understand, the acknowledgement and correction of sexual assault and harassment challenges within the Academy is a matter of national interest. Other military academies have faced similar challenges, and while perhaps not perfect, are working harder and better than we are to correct course. If they can do it, so can USMMA.

In coordination with Maritime Administration (MARAD) leadership, you are hereby directed to continue the vital work that you have started and to utilize the recommendations in the LMI Culture Audit to develop a comprehensive plan to build a climate of trust and respect at the Academy in which all Midshipmen are accepted and can learn and thrive in a safe environment. We must ensure - all of us - that each entering member of the Academy has the best chance of success, free from sexual assault and harassment, as well as other inappropriate behaviors such as bullying, hazing, retaliation and victim blaming, all of which have been reported and triggered a deeper investigation.

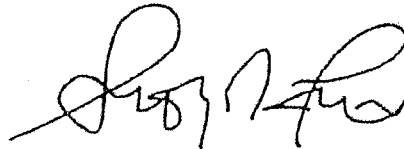
I further urge you to take aggressive action to put an end to denial and downplaying among those charged to be part of the solutions. Those who perpetrate or condone these behaviors or look the other way must have no place at the Academy, in the U.S. Merchant Marine or our Nation's Armed Forces. That's also true of our outside partners. Conversely, those who report such behaviors and who stand up for victims—in line with our core values—must be supported. Those individuals must be held up as role models and not subjected to retaliation and ostracism.

I have directed the Maritime Administrator to continue efforts with the shipping industry to address the climate at sea and the treatment of Midshipmen during their Sea Year training. Working with the MARAD Shipboard Climate Compliance Team (SCCT), you are authorized to resume Sea Year training on commercial vessels in a phased, company-by-company manner, provided that MARAD and the Academy have determined that a company has complied with the credentialing criteria established by the SCCT, as recommended in the LMI report.

In addition, you are directed to comply with the recommendations in the LMI report to improve the program, in consultation with MARAD and the shipping industry, to ensure Midshipmen are fully prepared for Sea Year and to improve communications between those Midshipmen at sea and the Academy.

I fully recognize that this challenge is not an easy one to meet, and improving the climate will likely result in more reporting and more enforcement action in the near term. While success may initially look like failure, the longer term objective will be an Academy where young men and women can thrive together without fear of such misconduct. Every single member of this Academy community must own this responsibility and be accountable to each other, to the proud past and future of the Academy and to our Nation.

Sincerely,

A handwritten signature in black ink, appearing to read 'Anthony R. Foxx', written in a cursive style.

Anthony R. Foxx

U.S. Merchant Marine Academy (USMMA)

CULTURE CHANGE

ACTION PLAN

January 6, 2017

The USMMA, with the full support of the entire U.S. Department of Transportation (DOT), must immediately embark on a robust and comprehensive effort to transform the Academy's culture such that every Midshipman is respected, valued and can develop to her or his fullest potential to serve the Nation as a leader of exemplary character. The entire USMMA community must have zero tolerance for sexual assault and sexual harassment (SASH), retaliation, bullying, hazing, coercion, victim blaming and alcohol misuse/abuse. Leadership, staff, faculty, and Midshipmen must all unite to support victims and hold those who violate Academy core values and standards accountable for their actions.

FOR IMMEDIATE ACTIONBuild and Align the Academy Leadership and Management Team

- Establish a Sexual Assault Prevention and Response Office (SAPRO)
- Fill key positions, including Dean, Commandant, SAPRO positions, Civil Rights Director
- Revise performance plans to include support for cultural change, SASH prevention and response programs, and personal accountability
- Establish engagement protocol for developing a unified message for leadership and management from all stakeholder groups
- Add Sexual Assault Response Coordinator (SARC) to leadership team (complete)
- Include SASH Updates at all leadership meetings (complete)

Develop Integrated Multi-Year Sexual Assault and Harassment Prevention and Response Campaign

- Training & familiarization plan for SAPRO staff (USMMA)
- Revise SASH policies and reporting, investigation and response protocols, including obligation to intervene (USMMA/MARAD)
- Review and update all SASH training models, and include training evaluation and credentialing (USMMA/MARAD)
- Issue Strategic Campaign planning guidance (MARAD)
- Organize Strategic Campaign planning team and develop milestones (USMMA)
- Intensive and ongoing communications w/stakeholders (OST/MARAD/USMMA)
- SAPRO staff and SARC attend SASH conferences (USMMA ongoing)
- Follow-on assessment & feedback on Sea Year credentialing (OST)

Change Culture from Victim-Blaming to Advocating For and Protecting the Victim

- Establish policies and procedures against retaliation and reprisal including training, reporting, response, investigation and supporting victims (USMMA)
- Establish rapid response team to address threats (USMMA)
- Monitor allegations of retaliation and reprisal (USMMA)
- Provide results of investigations to victims in writing (USMMA)
- Strengthen and publicize victim advocacy programs (USMMA)
- Reduce barriers to seeking health care (USMMA)

Instill Sense of Personal Responsibility for Preventing and Addressing SASH and Retaliation at All Levels within USMMA

- Build on existing cultural strengths of service, self-sacrifice, discipline and teamwork (USMMA)
- Emphasize personal responsibility and accountability in annual SASH Training, and throughout USMMA programs for Midshipmen, staff and faculty (USMMA, ongoing throughout the year)
- Intense communications and informal training with targeted key groups (sports teams, clubs, etc.) and small groups of Midshipmen, staff and faculty (USMMA leadership)

Build Shared Ownership Among Academy, MARAD, and Industry

- Regularly engage with industry in formal gatherings such as the 2016 Call to Action (MARAD lead)
- Shipboard Climate Compliance Team (SCCT) develop a Sea Year Credentialing Process in conjunction with the industry and maritime unions (Completed)
- Engage with industry and maritime unions to develop Best Practices Guide through Ship Operators Cooperative Program (SOCP) and MARAD Working Group. (USMMA/MARAD ongoing)
- Convene and Chair the Sexual Assault Response and Prevention (SAPR) Working Group authorized by the National Defense Authorization Act for Fiscal Year 2017 (Due by January 13). Provide the Working Group's report to Congress by September 25, 2017 (MARAD)

Establish Process for Credentialing Shipping Companies for Participation in Sea Year

- Companies must meet comprehensive credentialing requirements before Midshipmen may train onboard their vessels (MARAD, USMMA)
- Continue engagement with industry through Ship Operations Cooperative Program (SOCP) (MARAD/Industry/USMMA)

Fully Prepare and Support Midshipmen in Sea Year Program

- Revise Sea Year guidance and policies for Midshipmen
- Encourage industry participation in training and preparation for Sea Year
- Establish improved procedures for communications and reporting between Midshipmen at sea and the Academy (USMMA, MARAD)

- Investigate alternative options for Sea Year communications in consultation with shipping companies (MARAD/USMMA/Industry)
- Implement updated scenario-based training as part of pre-embarkation training
- Roll out “EverFi”¹ including enhanced Alcohol Awareness Training and sexual assault prevention training for Midshipmen and staff and faculty (USMMA)
- Strengthen reintegration for Midshipmen, including small group sessions to share experiences and offering support services (USMMA)

Establish Robust, Continual Feedback Process from Sea Year

- Integrate Academy and industry feedback process. (MARAD ongoing)

Medium-Term Actions

(During FY 2017)

Actions to Build and Align Academy Leadership and Management Team

- Continue to fill key leadership vacancies as they arise to support SASH Strategic Campaign (USMMA/MARAD)

Actions to Develop Integrated Strategic SASH Campaign

- Focus Sexual Assault Awareness Month (April 2017) programs on themes of accountability and support for victims (USMMA)
- Request resources in conjunction with FY18 Budget process (MARAD)

Instill Sense of Personal Responsibility for Preventing and Addressing SASH and Retaliation at All Levels within USMMA

- Add SASH and personal responsibility to Performance Plans for 2017-2018 Evaluation Period (USMMA)

Build Shared Ownership Among Academy, MARAD and Industry

- SOCP delivers Best Practice Guidelines for industry (MARAD/SOCP)
- Continue work on Computer Based Training in cooperation with SOCP (MARAD ongoing)
- SOCP delivers Best Practice Computer-based Training product for distribution to the industry (MARAD/SOCP - May 2017)

Establish Process for Credentialing Shipping Companies for Participation in Sea Year

- Assessment of Credentialing Program (MARAD/USMMA)

Fully Prepare and Support Midshipmen in Sea Year Program

¹ EverFi, Inc. develops training in several areas including, health and wellness, diversity and inclusion, alcohol and substance abuse, and sexual assault prevention. The company offers evidence-based online programs, data and advisory services.

- Evaluate and revise pre-embarkation training (USMMA)
- Evaluate and revise Sea Year policies, regulations, reporting and response procedures (USMMA)
- Examine all aspects of the Sea Year program including scope, structure, timing and post-graduation career plans (USMMA)

Establish Robust, Continual Feedback Process from Sea Year

- Continue enhancing Academy's reintegration process (USMMA)
- Continually compare industry feedback with Academy findings for consistency and common understanding of Sea Year climate (USMMA)
- Take actions if necessary with shipping companies if problems or discrepancies arise (MARAD SCCT)



Military Service Academy Prevention Summit Hosted by: United States Air Force Academy

9-11 January 2017

9 Jan 17

- 0715** Bus transportation from Lodging to Polaris Hall
- 0730 -0800:** Registration and Networking Breakfast-catered by Falcon Club
- 0800 – 0815:** Welcoming Remarks (Lt Gen Michelle Johnson, Superintendent, USAFA)
- 0815 – 0830:** Administrative Remarks
- 0830 – 0930:** Sexual Assault at the Academies: What the data says. (Dr. Nate Galbreath, Deputy Director, DoD SAPRO)
- 0930 – 0945:** Break
- 0945 – 1115:** Shifting Paradigms: From Response to Prevention (Dr. Dorothy J Edwards, ED, Green Dot, Inc.)

Addressing sexual assault, domestic violence and stalking began with a focus on intervention and response. We were guided by the question, “How can we best help those who have already experienced one of these forms of violence?” When we began to build prevention programs and strategies, we initially worked within the paradigms we had already developed for intervention and response. This workshop will introduce alternative paradigms for prevention, while addressing the intersectionality of prevention and response and the need for collaboration.

- 1115 – 1230:** LUNCH- Mitchell Hall (Bus transportation to/from Mitchell Hall)/Group Photo
- 1230 – 1430:** Changing Perceptions and Re-Engaging Our Communities (Dr. Dorothy J Edwards, Lea Hegge, MPH, Green Dot, Inc.)

Before we can make the necessary gains in broad-based community engagement, we must address this fundamental disparity: Despite the fact that most people have an immediate connection to some form of power-based personal violence, very few people identify with the issue. In order to move forward with an effective prevention strategy, the first task required is to fundamentally change the “reputation” of the

issue to one that more community members positively identify with. The field of marketing provides a framework for this conversation.

1430 – 1445: Break

1445 – 1600: Emerging Approaches: Resilience and Healthy Relationships (Dr. Andra Tharp, Dr. Victoria Banyard, Lt Col Wendy Travis)

As we begin to eliminate ineffective strategies for sexual assault prevention, it is important to (1) Have an informed method for examining promising practices, and (2) Identify existing strategies from other disciplines that may have application to sexual assault prevention. This session will focus both on the process of implementing new approaches as well as two promising areas of research.

1600 – 1615: Break

1615 - 1715: Breakout Sessions – Applications and Action Steps

- Breakout sessions will consist of each MSA and their parallel service (e.g., USAFA and Air Force SAPR).

1715 Transportation from Polaris hall to Lodging

1820 Transportation from Lodging to The Carlton House

1830-2000: Social/Ice Breaker Lt Gen Johnson will host a social in her home, The Carlton House. Business casual

2000 Transportation from The Carlton House to Lodging

10 Jan 17

0815 Bus transportation from Lodging to Polaris Hall

0830 – 1115: Elements of Effective Prevention Programs (Dr. Edwards, Lea Hegge)

This session will highlight components of effective prevention strategies including programmatic content, delivery methods, foundational elements and comprehensive strategies.

1115 – 1230: Lunch-Catered Falcon Club

1230 – 1400: Elements of Effective Prevention Programs (Dr. Edwards, Lea Hegge)

1400 – 1415: Break

1415 – 1500: Connecting Effective Prevention to Retaliation and Reporting (Dr. Dorothy Edwards, Dr. Nate Galbreath, Maj Amanda Rasmussen, Capt Stu Tribble)

This session will provide an overview of the status of retaliation in the military community, as well as potential links between addressing retaliation and implementing effective prevention strategies.

1500 – 1600: Breakout Sessions – Applications and Action Steps

- Breakout sessions will consist of each MSA and their parallel service (e.g., USAFA and Air Force SAPR).

1600 – 1615: Break

1615 - 1700: Discussion / Q&A

1700 Bus transportation from Polaris Hall to Lodging

11 Jan 17

0815 Bus transportation from Lodging to Polaris Hall

0830 – 1220: An Introduction to Green Dot for MSAs and Services

This session introduces the programmatic and implementation components of the Green Dot prevention strategy to those who have never been exposed. The session will consist of presenting sample content of the curriculum, reviewing the implementation process, and discussing some of the key research and philosophy that inform Green Dot.

1220 – 1230: Summit Closing Remarks (Lt Gen Michelle Johnson)

1230 Transportation to Lodging



Sexual Assault Prevention and Response Framework

2017-2021

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Sexual Assault Prevention and Response

MISSION

The mission of the U.S. Merchant Marine Academy's Sexual Assault Prevention and Response Program is to eliminate sexual assault and sexual harassment from our campus, and to ensure that if it does occur, we provide immediate and compassionate victim support, a responsive and intimidation-free reporting environment, timely investigations, and appropriate discipline for those found in violation of Academy policy.

VISION

A campus where all members – Midshipmen, faculty, staff and contractors – live and work in a climate of trust, respect, and dignity, where all members are leaders who take prompt action to correct any activity counter to this climate, and where no member ever needs to fear sexual assault or sexual harassment from another.

VALUES

[Values Statement to be developed through the Culture Campaign.]



Introduction

Sexual assault and sexual harassment are significant problems affecting every segment of our society. It undermines our morale, detrimentally impacts our living and learning environment, damages our mission performance, and breaks our obligation to one another and our nation. We must eliminate sexual assault and sexual harassment from the Academy campus.

Our goal is to prevent sexual assault and sexual harassment through efforts that influence the knowledge, skills, and behaviors of all members of our campus community and *stop sexual assault before it occurs*. We will focus training efforts on leadership to set a climate that is intolerant of sexual assault and sexual harassment. We will institute continuous education about available reporting options. We will stress that all community members should look out for one another and ensure that everyone is safe. And we will ensure all members know the meaning of consent and are aware of the myths and realities about sexual assault and sexual harassment.

In working to eradicate sexual assault or sexual harassment from our campus, we must address all factors that enable this inappropriate conduct to occur or impact our ability to prevent it. These factors include poor leadership, alcohol abuse, predatory behavior, bystander inaction, and inadequate knowledge and education.

When sexual assault or sexual harassment does occur, we must respond quickly and compassionately to investigate the case and comfort the victim. We must create and maintain an environment where every member knows that reports of sexual assault and sexual harassment will be taken seriously and acted upon immediately. We must ensure that victims know that the Academy will protect their personal rights, their health and their safety. And we must thoroughly investigate and take appropriate disciplinary action against those who perpetrate or enable this conduct.

We must hold ourselves to a higher standard to ensure the safety and well-being of the members of our campus community. We will continually work to improve Sexual Assault Prevention and Response (SAPR) Program effectiveness and to ensure a robust oversight and accountability system is in place. We will establish system-level metrics to continuously assess and evaluate outcomes against the SAPR strategic goals, and then adjust the program when necessary to ensure it remains effective and responsive.

Strategic Alignment

The U.S. Merchant Marine Academy SAPR Model establishes a continuous improvement cycle outlining the five SAPR strategic goals: *Climate, Prevention, Response, Accountability and Assessment*.

These goals are supported by lines of effort starting with the Superintendent's Sexual Assault Prevention and Response Program Framework, which will focus and direct our efforts. Key to those efforts is creating a *climate* of respect, trust and adherence to our Core Values which facilitates our prevention efforts and a *culture* which is intolerant of sexual assault and sexual harassment, those who commit it and anyone who stands idly by while it occurs. As in every activity we undertake, *communication* is critical. Leaders must promote dialogue that encourages awareness and intervention and removes any barriers to reporting sexual assault or sexual harassment. Finally, we must ensure adequate *resourcing and funding* of SAPR programs, including education, victim advocacy, investigations, and accountability.

Cutting across all lines of effort are our Midshipmen. Sexual assault and sexual harassment have their greatest impact on our Midshipmen. It destroys friendships and erodes Regimental cohesiveness. Yet it is through the leadership, hard work, and compassion of our people that we will eliminate sexual assault and sexual harassment and care for those who are victims. We are all responsible – collectively and as individuals for eliminating sexual assault and sexual harassment.

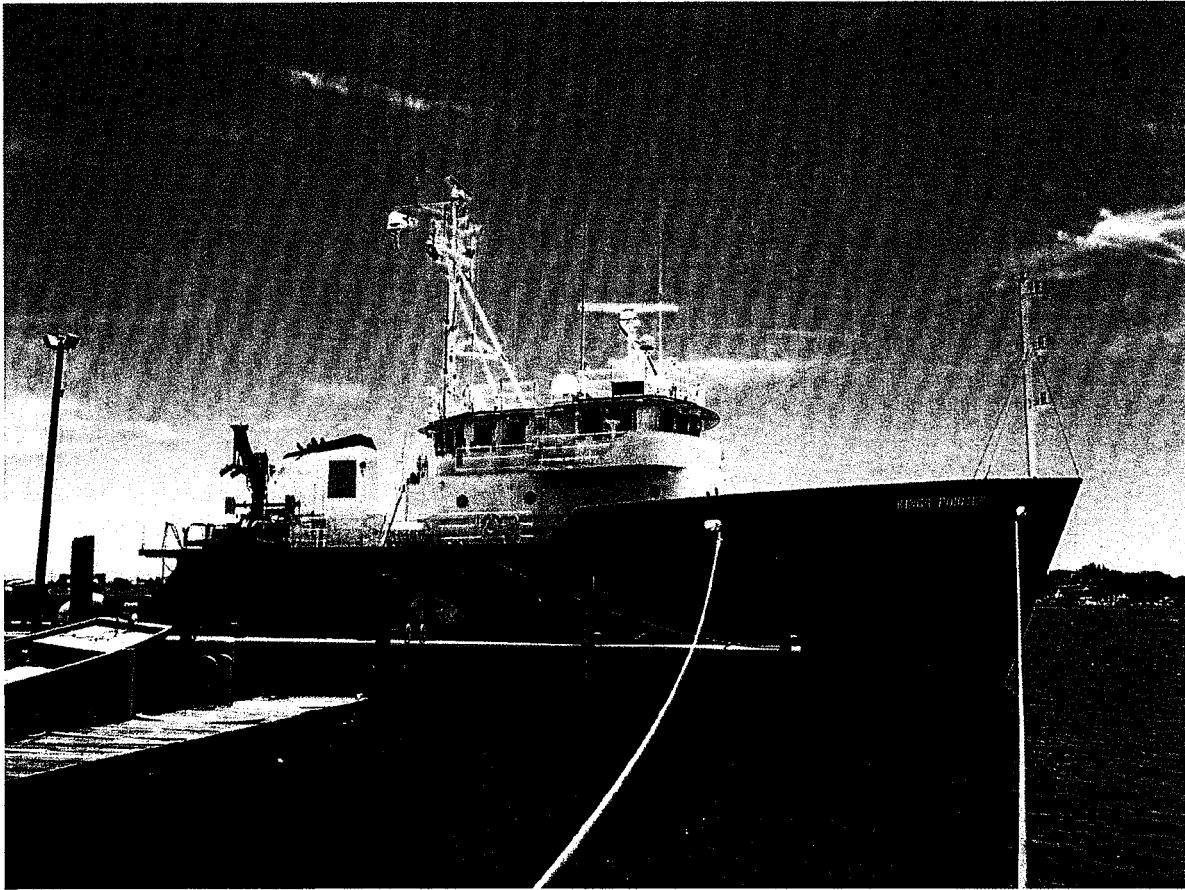
Assessment and Evaluation informs the entire system and is critical to our ultimate success. Through continual data collection, analysis, and assessment we can assist leaders, service providers, investigators, and decision makers in evaluating and improving the program's efficiency and efficacy.

Goals and Objectives

The U.S. Merchant Marine Academy's Sexual Assault Prevention and Response (SAPR) Program seeks to eliminate sexual assault and sexual harassment by implementing and sustaining comprehensive SAPR strategies that focus on prevention, including awareness and cultural change, and response, including victim support, intimidation-free reporting, fair and impartial investigations, and accountability to protect the safety and well-being of Midshipmen, faculty, staff and contractors.

During academic years 2016/17-2021/22, the Academy will focus on five SAPR strategic goals and their supporting objectives. These strategic goals, objectives, actions, and assessments help close the gap between the Academy's vision and our current state.

| USMMA SAPRO Strategic Plan Lines of Effort (LOEs) | |
|--|--|
| LOE | Objectives |
| LOE 1: Climate | Create a culture intolerant of sexual assault and sexual harassment or behaviors that enable such conduct. |
| LOE 2: Prevention | Deliver consistent and effective prevention methods and programs. |
| LOE 3: Response | Improve the availability and quality of response support for sexual assault and sexual harassment victims. Increase victim confidence and lessen the stigma associated with reporting. |
| LOE 4: Accountability | Achieve high competence in holding offenders appropriately accountable. Improve capability and capacity for the reporting, investigation and prosecution of sexual assault; and elevate leadership engagement in response to sexual assault. |
| LOE 5: Assessment | Effectively standardize, measure, analyze, assess and report program progress. |



Climate

Create a culture intolerant of sexual assault and sexual harassment or behaviors that enable such conduct.

Sexual assault and sexual harassment are incompatible with the Academy's Core Values and destroy regimental cohesion and trust, essential elements for mission success. The Academy's goals are to engrain intolerance of sexual assault and sexual harassment into the Academy culture and to ensure that all members from top leadership to the youngest plebes and all in between are fully engaged in eliminating sexual assault. Leaders at every level must assess the environmental climate, eliminate social stigmas, identify early signs of predatory and high-risk behaviors, determine where and when Midshipmen are most vulnerable to sexual assault and sexual harassment, and take timely and effective actions to mitigate these risk factors. Leaders who build a positive climate are meeting their obligations, while those who fail to act must be held accountable.

LOE 1 – Climate Tasks

| Number | Task | Status | Time | Responsible |
|--------|--|--|-------|--|
| 1 | Complete short-term actions on the LMI Corrective Actions Checklist | | | Process Owners |
| 2 | Develop a campaign to change Regimental culture to one respectful of human dignity and diversity; integrate existing cultural strengths of service, self-sacrifice, discipline | | Short | Commandant Office |
| 3 | Brief Regimental culture change campaign to stakeholders | | Short | Commandant Office |
| 4 | Develop a campaign to change faculty culture to one respectful of human dignity and diversity | | Short | Preston DeJean |
| 5 | Develop a campaign to change athletics culture to one respectful of human dignity and diversity | “It’s On Us” campaign in progress | Short | Mo White |
| 6 | Develop a campaign to change administrative culture to one respectful of human dignity and diversity | | Short | John Demers |
| 7 | Conduct a command climate survey | | | |
| 8 | Review Superintendent Instruction 2016-02, <i>Sexual Assault, Dating Violence, Domestic Violence, Stalking, Prevention Education, and Response Policy</i> , for any update | | Short | SARB |
| 9 | Update/revise Superintendent Instruction 2013-02, <i>Policy against Discrimination and Harassment, Including Sexual Harassment, of Midshipmen</i> | | Short | Counsel, MARAD Civil Rights, Deputy Superintendent |
| 10 | Update/revise Superintendent Instruction 2005-13, <i>Academy Core Values</i> | | Short | Commandant |
| 11 | Ensure current Superintendent Instructions adequately address retaliation and reprisal, or create a new instruction | | | |
| 12 | Develop a FY18 budget in support of culture change activities | “Needs List” requests funding in support of culture change | | SARC, Deputy Superintendent, Academy Operations |
| 13 | Review/revamp Midshipmen preparation and reach back capability for Sea Year | | | Gene Albert |
| 14 | Review/revamp Midshipmen reintegration into the Regiment for Sea Year | | | CDR Stroud |
| 15 | | | | |



GOAL TWO **Prevention**

*Eliminate sexual assault and sexual harassment at the Academy
through the foundation of a strong preventive culture.*

Eliminating sexual assault and sexual harassment requires a strong preventive program. Sexual assault and sexual harassment prevention, intervention, and response starts with every senior leader, department head, director and Regimental Officer who – through personal example – mentors Midshipmen and subordinate employees at all levels. Prevention requires the early identification of high-risk behaviors and proactive, intrusive leadership to address them. Prevention also requires enhanced knowledge in order to accurately assess risks of developing situations and employs effective tools to intervene. Midshipman, faculty, staff, and contractors must have a clear understanding and awareness of the SAPR Program and the importance of their individual roles and contributions towards achieving the SAPR vision to eliminate sexual assault and sexual harassment at the Academy. Recognizing that alcohol plays a key role in many sexual assaults, action is needed to focus on alcohol abuse as a potential contributor to such assaults.

LOE 2: Prevention Tasks

| Number | Task | Status | Time | Responsible |
|--------|--|--|------------|---|
| 1 | Establish a four year prevention training plan for Midshipmen | | Short | Deputy Superintendent |
| 2 | Establish a prevention training plan for faculty and staff | | Short | Dean, John Demers |
| 3 | Complete implementation of each provision of the National Defense Authorization Act FY17 (NDAA FY17) | | | |
| 3-1 | Submit to the Maritime Administrator a report detailing the Academy's progress in employing a full-time SARC, keeping a program of volunteer Victim Advocates, and maintaining a 24-hour hotline | | 01Feb17 | |
| 3-2 | Submit to the Maritime Administrator a report detailing the degree to which current Academy policies, training and procedures meet requirements of NDAA FY 17 Section 3510 | | 01March 17 | |
| 3-3 | Submit a report on recommended new policies or actions the Academy will implement to fully comply with requirements of NDAA FY 17 Section 3510 | | 01April17 | |
| 4 | Plan a comprehensive Sexual Assault Awareness Month | | Short | SARC |
| 5 | Develop a FY18 budget in support of prevention activities | | | SARC, Deputy Superintendent, Academy Operations |
| 6 | Update/revise Superintendent Instruction 2012-11, <i>Policy on Alcohol Consumption on Academy Grounds</i> | Policy being incorporated into Midshipmen Regs | | Commandant |
| 7 | Review and implement Ship Operations Cooperative Program Computer Based Training | | May 2017 | PDCS |
| 8 | Review and implement Ship Operations Cooperative Program Best Practices Guide | | May 2017 | PDCS |
| 9 | Review Centers for Disease Control framework for sexual violence prevention strategies | | | |
| 10 | Link sexual assault prevention activities with desired outcomes | | | |
| 11 | Identify risk for Midshipmen, Academy community and leadership | | | |
| 12 | | | | |



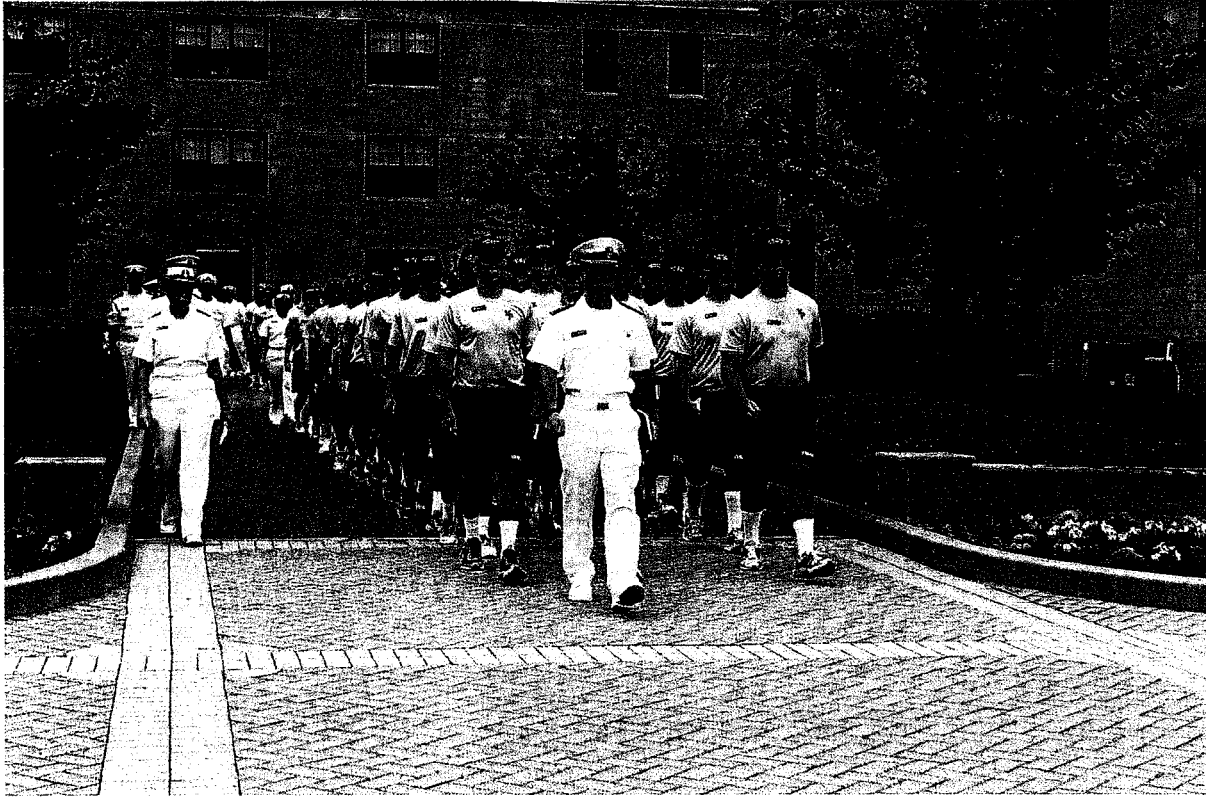
Response

Improve the availability and quality of response support for sexual assault and sexual harassment victims. Increase victim confidence and lessen the stigma associated with reporting.

Sexual assault and sexual harassment are traumatic experiences for the victim. It is essential that he or she knows how to get professional help, from trustworthy sources, in a timely manner. Training – for the Sexual Assault Response Coordinator (SARC), Victim Advocates (VAs) and other responders – is critical to providing quality support services. The victim must also have confidence in the reporting processes, the role of the Academy and awareness of reporting options.

LOE 3 -- Response

| Number | Task | Status | Time | Responsible |
|--------|--|--------|------|---|
| 1 | Establish an online tracking system for incidents of sexual assault, sexual harassment, stalking, dating violence and domestic violence | | | |
| 2 | Develop standard operating procedures for responding to sexual harassment | | | |
| 3 | Create a Superintendent Instruction for Campus Security Authorities and Responsible Employees, outlining obligations | | | |
| 4 | Train Campus Security Authorities and Responsible Employees on responsibilities | | | Jeff Thomas |
| 5 | Identify a second incident investigator and send that person to the "Trauma Informed Sexual Assault Investigation and Adjudication" course | | | |
| 6 | Develop a FY18 budget in support of response activities | | | SARC, Deputy Superintendent, Academy Operations |
| 7 | | | | |
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Accountability

Ensure those who commit sexual assault or sexual harassment at the Academy are held accountable. Improve capability and capacity for reporting, investigation, and prosecution of sexual assault and sexual harassment; and elevate leadership engagement in response to sexual assault and sexual harassment.

The Academy will protect the health and safety of all victims of sexual assault and sexual harassment. We will hold those who commit sexual assault or sexual harassment accountable for their actions while preserving their due process rights. The Academy will ensure professionalism and objectivity by assigning trained investigators to all sexual assault and sexual harassment cases and elevating the authority level in which those cases are adjudicated in order to promote accountability and confidence that allegations are taken seriously. Offenders will face appropriate discipline up to and including disenrollment from the Academy. Offenders may also face judicial action by civilian authorities leading to possible fines or imprisonment. The Academy will ensure adequate programmatic oversight through proper resourcing and leadership support in order to sustain prevention and response efforts.

LOE 4 – Accountability

| Number | Task | Status | Time | Responsible |
|--------|--|--------|------|-------------|
| 1 | Protect the SARC and Victim Advocates/Prevention Educators from retaliation, coercion, ostracism, discrimination, or reprisals related to the execution of their duties and responsibilities | | | |
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GOAL FIVE

Assessment

Effectively standardize, measure, analyze and assess program progress.

The Academy will protect the health and safety of all victims of sexual assault and sexual harassment. We will hold those who commit sexual assault or sexual harassment accountable for their actions while preserving their due process rights. The Academy will ensure professionalism and objectivity by assigning trained investigators to all sexual assault and sexual harassment cases and elevating the authority level in which those cases are adjudicated in order to promote accountability and confidence that allegations are taken seriously. Offenders will face appropriate discipline up to and including disenrollment from the Academy. Offenders may also face judicial action by civilian authorities leading to possible fines or imprisonment. The Academy will ensure adequate programmatic oversight through proper resourcing and leadership support in order to sustain prevention and response efforts.

| Number | Task | Status | Time | Responsible |
|--------|--|--------|-------|---|
| 1 | Develop a methodology for evaluating sexual assault and sexual harassment training | | Short | Institutional Assessment |
| 2 | Review metrics for assessing effectiveness of the Sexual Assault and Response Prevention program; link activities to outcomes (Figure 1) | | Short | Institutional Assessment |
| 3 | Develop a FY 18 budget in support of assessment activities | | | SARC, Deputy Superintendent, Academy Operations |
| 4 | | | | |
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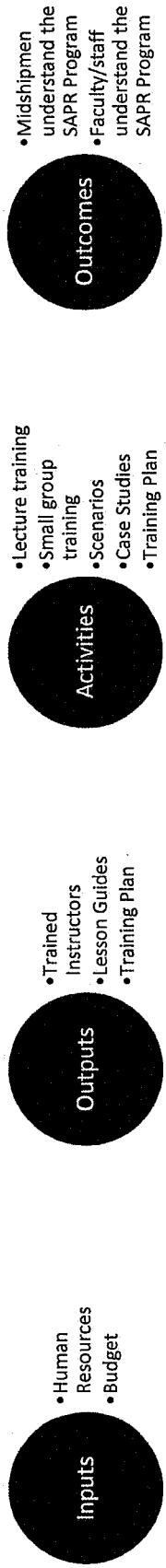


Figure 1: Linking inputs, outputs and activities to outcomes

Appendix a: Glossary of Terms

Sexual Assault: Sexual assault, a crime of violence, is defined as touching of a sexual nature against the will or without the consent of the victim. Sexual assault includes, but is not limited to, the following:

- Unwanted kissing, groping, fondling or other more aggressive physical acts, such as intercourse;
- 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 his or her mind due to the presence of coercion or intimidation; and
- Sexual contact with someone who is under the age of consent.

The victim of a sexual assault may be male or female and the perpetrator of the sexual assault may be of the same or opposite sex.

Sexual Harassment: 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.

- i. **Quid pro quo sexual harassment** is the

conditioning of academic or Regimental benefits on an individual’s submission to unwelcome sexual conduct.

- ii. **Hostile environment sexual harassment** is unwelcome sexual conduct or conduct directed at an individual because of his or her gender that is sufficiently severe or pervasive to create an intimidating, hostile or offensive academic or Regimental environment.
- iii. **Examples of sexual harassment** include, but are not limited to, the following:
- a. Unwanted flirtation, advances or propositions of a sexual nature;
 - b. Insults, humor, jokes or anecdotes that belittle or demean an individual’s or a group’s gender or sexuality;
 - c. Unwelcome sexual comments about an individual’s body or clothing;
 - d. Displays of sexually suggestive objects or pictures;
 - e. Unwelcome touching, such as patting, pinching, hugging or brushing against an individual’s body; or sexual assault.

Sexual Assault Response Coordinator (SARC): The Sexual Assault Response Coordinator (SARC) is the Academy employee responsible for managing the Academy’s Sexual Assault Prevention and Response Program, including but not limited to providing prevention and awareness training to Midshipmen and employees, providing services to victims, overseeing Sexual Assault Victim Advocates, advising leadership on best practices and developing and revising policies and procedures.

Sexual Assault Victim Advocate (SAVA): A Sexual Assault Victim Advocate (SAVA) is a member of the Academy community who are trained to provide crisis intervention, referrals and ongoing non-clinical support to sexual assault victims.

Restricted Report: A restricted report allows a victim/complainant, on a confidential basis, to disclose the details of an assault to specifically identified individuals and receive access to medical and counseling services without triggering an official investigative process. No notification is made to law enforcement and no administrative investigation is undertaken by the Academy. A restricted report can only be made to the Sexual Assault Response

Coordinator (SARC), a Sexual Assault Victim Advocate (SAVA) or an Academy health care provider (HCP).

Unrestricted Report: An unrestricted report allows a victim/complainant to receive access to medical and counseling services and commence law enforcement action and/or an administrative investigation, as appropriate. An unrestricted report can be made to any member of the Academy's faculty or staff.

Appendix b: Metrics

The following metrics will be utilized to measure effectiveness of the SAPR program goal and objectives.

1. *Number of reported incidents* – This metric will measure the overall occurrence of sexual assaults and sexual harassments and indirectly measure the climate of confidence of people making reports.
2. *Number of restricted reports* – This metric will directly measure the climate of confidence.
3. *Pre and post test scores from online training* – This metric measure the awareness level before the training and the level after the provided online training.
4. *Number of sea year reported incidents* – This metric will measure effectiveness of prevention training and climate of confidence. Sea year poses the highest vulnerability and incidents are hard to capture when students are detached from the Academy.
5. *Training evaluations* – Randomly selected students will be surveyed to provide feedback from a minimum of 2.5% of attendees. Survey will be generic with numeric values to gauge effectiveness.
6. *Investigations* – Number of investigations and number of restricted reports that change to unrestricted, thus initiating an investigation.
7. *Victim advocacy* - Number of referrals to supporting agencies such as medical, counseling, and chaplain.
8. *Sexual harassment* - Number of sexual harassment incidents reported.

Guiding Document for the USMMA Culture Campaign

Campaign Mission

Develop and facilitate a campus-wide discussion of Academy Core Values resulting in a unified USMMA community.

Vision for the Academy

Maintain a campus culture at the Academy that embodies our Core Values and unites the campus community with a shared vision.

Academy Values Statement

By incorporating our Core Values, the Academy will educate students from diverse backgrounds in a professional and service-oriented environment. Midshipmen, Faculty and Staff will contribute to a student-centered academic community woven from all campus departments and entities.

The Academy is committed to providing the best possible educational experience both on campus and at sea and will constantly strive to promote and maintain an optimal learning environment. The Academy will also provide a comprehensive internship program and extra-curricular experience including but not limited to service opportunities, engagement in the arts, clubs, competitive athletic and recreational programs.

Our Core Values will be adopted by all members of the campus community to ensure the best possible educational and work experience while inspiring loyalty to the United States Merchant Marine Academy and its Mission.

Core Values

HONOR

- Be Honest and Trustworthy and maintain the highest level of Integrity.
- Take Responsibility & Accountability for your actions and for those under your leadership.
- Demonstrate courage and stand up for the honor of others.

PROFESSIONALISM

- Demonstrate Respect for others and appreciate what each individual contributes to the Academy community.
- Promote an environment where Inclusion, Multiculturalism, and Diversity are encouraged and valued.
- Communicate Effectively and engage in Healthy Relationships.

SERVICE

- Generate the highest levels of Trust, Unity, and Pride in all Academy undertakings.
- Consider the needs of others before your own self-interest.
- Engage in Leadership opportunities that contribute to our Nation's Maritime and Military interests and our community.

Campaign Goals

- 1- Create a multi-year campaign
- 2- Provide strategies and opportunities to improve campus climate
- 3- Organize activities and discussions centered around different themes taken from the Core Values
- 4- Monitor engagement of campus personnel
- 5- Use assessment tools to evaluate campus climate



THE HOMEFRONT FOUNDATION

www.thehomefrontfoundation.org

"Teaching Veterans & Servicemembers How to Tell Their Story"

SCOPE OF WORK

The Homefront Foundation will provide professional facilitators and executive coaches to work with groups or individuals to assist in the different phases of the workshop. Facilitators and coaches are set to guide workshop phases, encourage involvement and promote positive engagement of all participants:

Just like a veteran returning from combat we encourage reflection and authentic connection based on their experience. The planned exercises and coaches help the midshipmen discover, discuss, develop and share their story in a meaningful way. By learning the skills and structure of their story the cadets see the value of "sea year" and how they can lead their underclass back at Kings Point.

LAYOUT

