

UNITED STATES NAVAL ACADEMY
INSTITUTIONAL SELF-STUDY

Prepared for the Middle States Commission on Higher Education

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It is our honor to present the 2005 Naval Academy institutional self-study—the foundation document for the decennial accreditation visit on 20-23 February 2006. We look forward to the review and recommendations of the distinguished team of educators scheduled to visit the Academy on behalf of the Middle States Association of Colleges and Schools.

The decade since the last accreditation visit has been one of remarkable progress, accomplishment, and recognition. In every area – moral development, academics, and athletics – the Naval Academy has made great strides. The Academy Foundation inaugurated its first Comprehensive Fundraising Campaign and, as of September 2005, had exceeded the original campaign goal of \$175M by over \$60M. Renovation of the eight residential wings of Bancroft Hall, initiated in 1994, was completed, and six of the Academy’s eight academic buildings have been entirely refurbished. The Academy’s first Jewish Chapel was completed and dedicated in September 2005. During 2002-2005, the Navy-Marine Corps Memorial Stadium underwent a three-phase renewal and expansion and was rededicated in October 2005. Engineering and science laboratories underwent significant refurbishment following the damage caused by the storm surge of Tropical Storm Isabel in September 2003; these facilities now represent some of the finest undergraduate laboratories in the country. The FY06 National Defense Authorization Act included Military Construction funds for the Wesley M. Brown Field House, the first new athletic facility on Academy grounds in nearly thirty years and the first major building at the Naval Academy named in honor of an African-American Academy graduate.

Academy admissions have continued to be highly selective. The projected percentage of midshipmen graduating in the Class of 2006 places the Academy among schools with the highest four-year graduation rates in the nation, with the highest graduation rate in recent Academy history. Historically at-risk midshipmen continue to graduate at rates that approximate the class as a whole. Midshipmen in the Class of 2005 won three Rhodes Scholarships (out of 32 nationally), one Marshall, one Truman, one Gates, one Fulbright, one Rotary International, and one NSF scholarship. In addition, two Class of 2005 graduates were named to the USA Today Academic All America First Team (out of 20 nationally). Information regarding prestigious scholarships awarded to midshipmen in the Naval Academy Class of 2006 is just now becoming available, with last month’s announcement that four 2006 Rhodes Scholarships had been awarded to current or former midshipmen, the largest number awarded this year to students from any single school in the nation. Relative to their numbers at the time of commissioning, Academy graduates continue to stay in military service demonstrably longer and achieve proportionately higher rank than those from any other commissioning source—validating the Academy’s cost-effectiveness in producing career naval officers.

Even in adversity, the Academy has responded with remarkable resilience, fortitude and determination. The catastrophic flooding of Academy buildings, facilities, and grounds in September 2003 as a result of Tropical Storm Isabel incurred over \$100M in damages. Yet the Academy team, extending from every midshipman, faculty and staff member, to Navy Leadership, our Board of Visitors and the Maryland Congressional Delegation, responded as one: only one day of class was lost and most classrooms and laboratories were restored within one semester.

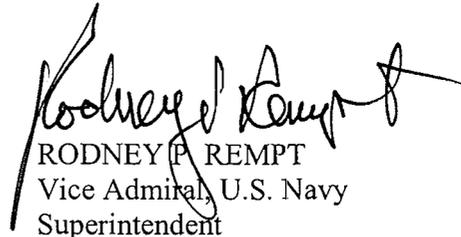
The result of a two-year effort by Academy faculty and staff, the self-study that follows is candid in its assessment, and aggressive—even far-reaching—in its recommendations. These attributes grow out of the fundamental commitment by faculty, staff and leadership that generated the successes of the past decade: to learn from experience, and to constantly seek out new avenues of improvement.

The working groups have cast a broad net in examining Academy programs and documenting the Academy's compliance with the Middle States Association Characteristics of Excellence. In an effort to be both responsive and complete, we have organized the self-study around Middle States' fourteen Standards. Each fundamental element and every recommendation has been numbered for ready cross-referencing and follow-up. All recommendations have been given careful scrutiny and are written to be actionable following careful consideration and validation.

The Academy has achieved noteworthy progress in the area of assessment-based feedback and decision-making, as envisioned in the Middle States Characteristics of Excellence (Standards Seven, Eleven, Twelve, and Fourteen). Nonetheless we must improve these processes further; in particular, we must upgrade our system for tracking the performance of our graduates after their commissioning, as a means of assessing the effectiveness of our academic and military professional development programs. Given the considerable turnover in midshipmen, faculty, staff, and senior leadership inherent in a national military academy, sustained attention to core value training, sound governance, good communication, and public transparency needs to remain high on the Academy's agenda (Standards One, Four, Five, Six, and Eight). Tangible successes achieved on the basis of imbedded assessment mechanisms include the refurbishment of most of the Academy's academic and dormitory spaces over the past decade, cited in our responses to Standards Two, Three, and Seven. The same rigorous assessment mechanisms call for the completion of the academic building refurbishment, and for additional personnel and materiel resources to sustain the Academic program for a Brigade size of 4,300 midshipmen (Standards Three, Nine, Ten, and Thirteen). Inadequate numbers of military and civilian faculty, administrative and technical support staff, library resources, and faculty development funds are cited both in this report and during the November 2005 ABET accreditation visit, and need to be quickly remedied.

The self-study will be made available both in print and digital (CD) format. The CD includes, by numbered and electronically-linked appendices, the supporting documentation for the self-study. Consolidating a wide range of Naval Academy-related background, guidance, and statistical data, the digital version thus will serve as a valuable resource document in its own right.

The Naval Academy looks forward to the decade ahead. We have recently completed a strategic planning process that draws in many ways on the Middle States legacy of assessment-based improvement, with a view to achieving measurable, verifiable and achievable results. For us, the fundamental ingredients of institutional excellence are our national mission, outstanding students, first rate facilities, and a top notch faculty and staff; with these assured, we believe the Academy's future will be bright indeed.



RODNEY P. REMPT
Vice Admiral, U.S. Navy
Superintendent

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STANDARD ONE

MISSION, GOALS, AND OBJECTIVES

The United States Naval Academy has a clear, broadly understood mission and a well-articulated set of goals and directives. As a national, federally funded institution, resourced by and responsive to a larger federal department, the Academy serves constituencies that have both broad and relatively explicit expectations of the Academy as a commissioning source and institution of higher education.

With respect to the accomplishment of its mission, goals, and objectives, the Academy has been remarkably successful in remaining accountable, responsive, and adaptive to the needs of its “customers” —the Navy and Marine Corps—at the same time that it retains its institutional integrity and credibility measured against the best practices and standards of excellence of peer educational institutions. As might be expected of an institution wholly contained within a federal department, draft goals and objectives brought to the Academy from above require careful collaboration and communication in order to be integrated successfully into the pre-existing structure of mission, goals and objectives. The current strategic planning process has redoubled collaboration and communication among all Academy stakeholders, internal and external, to ensure that the institution’s mission and higher level goals and objectives remain current, actionable, and responsive to the needs of the Naval Service.

Element 1.1 Goals and Objectives.

The **mission** of the Naval Academy is as follows:

To develop midshipmen morally, mentally, and physically and to imbue them with the highest ideals of duty, honor, and loyalty in order to provide graduates who are dedicated to a career of naval service and have potential for future development in mind and character to assume the highest responsibilities of command, citizenship and government.

This mission statement is long-standing, widely accepted and comprehensive, and has proven to be an inspirational source of guidance for the Naval Academy over the years. It articulates, in particular, three enduring goals, namely to develop midshipmen **mentally, morally, and physically**; places these goals in the context of dedicated national service; affirms the outcome of a career orientation for all its graduates; and embraces the role of an academic education of midshipmen in preparation for service at the highest levels of the nation.

Consistent with its status as a national, publicly-funded institution, contained and accountable within still larger organizations – the Department of the Navy (DON) and the Department of Defense (DOD) – the higher level goals and objectives linked to the Academy’s mission are developed, reviewed, assessed, and refined in a broad context of both internal and external constituencies. As the elected representatives of the American people, the Congress of the United States has imposed statutory *objectives* upon the Academy in Title 10 U.S.C. §603 (List of USNA-related statutes, **Appendix 1-1**). The requirement of a four-year academic curriculum, authority to award (only) the Bachelor of Science degree, numbers of midshipmen enrolled, as well as a variety of organizational authorities and stipulations, are all embedded in federal law.

Beyond the Congress, both DOD and DON provide specific written guidance to the Academy in the execution of its mission (OPNAVINST 5450.330, SECNAVINST 1531.2A, DOD Directive 1322.22, **Appendix 1-2**). These documents, in the form of various *directives* or *instructions*, provide implementing

guidance derived from Congressional intent and service requirements. They also affirm the place of the Naval Academy within the military and administrative chain of command, make explicit the responsibilities of the senior officers of the Academy, summarize reporting procedures and responsibilities, and outline basic attributes of the Academy's curriculum.

Because the Naval Academy provides virtually all its graduates as commissioned officers to the Navy and Marine Corps, the needs of the Naval Service constitute a very specific set of outcome objectives regarding: how many Naval Academy graduates are to be provided each year to the Navy and to the Marine Corps; how these officers should be prepared, academically and professionally; and in what numbers officers should be graduated each year for duties as diverse as maintenance and control of a nuclear reactor, special operations and low intensity conflict, piloting high performance tactical aircraft, and the operation of sophisticated shipboard weapons control systems (Service Selection Quotas, USNA Class of 2005, *Appendix 1-3*). How well these officers are prepared and how long and capably they serve, particularly in comparison with those from other commissioning sources, are the criteria upon which the Academy is judged by the DON and Congress (Comparison of terms of service, selection to O-6, by commissioning source, *Appendix 1-4*).

Among the higher level *goals* of the institution is engendering those explicit attributes in our graduates that will make them effective leaders of our armed forces in the 21st century. These attributes are derived from our mission and adapted to service needs in a rapidly changing and often ill-defined security environment (Attributes of Graduates, *Appendix 1-5*). Other higher level goals are achieving gender and ethnic diversity in Academy graduates roughly comparable to that of the Naval Services and the nation as a whole and developing the ability of these graduates to lead an increasingly diverse and technically proficient workforce, in an environment of mutual respect.

Element 1.1(a) Goals and Objectives that guide faculty, administration, staff, and governing bodies in making decisions related to Planning, Resource Allocation, Program and Curriculum Development, and Definition of Program Outcomes.

Because the Academy is formally a part of the DON, and organized around a comprehensive and integrated four-year intensive military and academic experience, institutional planning, resource allocation, program and curriculum development, as well as the definition of program outcomes are linked closely to the achievement of the above higher level goals. Each major functional area of the Academy (academic, administrative, military, and athletic) includes in its program mission and definition of program outcomes links to the institution's mission and primary goals – *to develop midshipmen morally, mentally, and physically*. Specific examples are provided as a part of the discussion of each of these areas in this report. In addition, primarily because the Academy is the most costly of the various officer accession programs (i.e., Naval ROTC, Navy Officer Candidate School, and the Marine Corps Platoon Leader Course) its goals and objectives at all levels are more ambitious and are subject to almost constant monitoring, assessment, and refinement.

Element 1.1(b) Goals and objectives that include support of scholarly and creative activity.

Higher goals and objectives of the institution explicitly embrace the support of scholarly and creative activity by both midshipmen and faculty. Subject matter currency and educational excellence in a fast changing international security environment require ongoing scholarly programs and interaction among academic peers by all career faculty members, military and civilian. The Naval Academy Faculty Handbook (*Appendix 1-6*) outlines a blend of outstanding teaching, scholarship, and professional service as essential criteria for retention and advancement of the faculty. DOD Directive 1322.22, cited earlier in *Appendix 1-2*, explicitly requires annual reports on the competitiveness of compensation for career Naval Academy faculty, measured against career teacher-scholar counterparts nation-wide. At least three of the characteristics of graduates (*Appendix 1-5*)—capable of critical thinking, able to demonstrate broad-based knowledge,

committed to lifelong learning—are predicated on continuing scholarly and creative activity by both faculty and midshipmen. Senior design and research capstone experiences that involve scholarly and creative activity on the part of both faculty and midshipmen are an increasingly significant component in most academic majors at the Naval Academy.

Element 1.1(c) Collaborative development of Mission, Goals, and Objectives and the relationship of Mission, Goals, and Objectives to external as well as internal contexts and constituencies.

An unusually wide range of individuals and organizations that facilitate or are otherwise responsible for institutional improvement and development are engaged in the collaborative generation, refinement – and approval – of the Naval Academy’s mission, goals, and objectives. In the broadest sense, these external and internal groups extend from the President of the United States, and the American people, at one end of the spectrum, to every midshipman and member of the faculty and staff, at the other. Nonetheless, collaboration and communication concerning Mission, Goals, and Objectives fall into three channels. The most prominent external vehicle in this collaborative effort is the quarterly Board of Visitor (BOV) meetings with Academy administration, faculty, and staff (see discussion of *Standard Four*). (The BOV includes nine members of Congress, in addition to seven national business, education and political leaders.)

Outcomes affecting the definition, achievement, assessment, and adjustment of mission, goals, and objectives are disseminated widely in the wake of these meetings and reported on in the Board President’s annual letter to the President of the United States. For the updating or reissue of written guidance from the DON or the DOD, the Departments’ chain of command relies on an administrative review process to ensure institutional review and endorsement of change. Proposed changes in law are coordinated through DON and DOD to the Congress, generally to the House and Senate Armed Services Committee.

Within the Academy, the institution’s Strategic Planning process, now in its third iteration since 1995 (see *Standard Two*, below), has been the principal vehicle for ensuring a collaborative and comprehensive engagement by Academy stakeholders in the review, development, and implementation of those goals and objectives largely within the Academy’s purview.

In addition, there have been several ad hoc internal and external curriculum reviews over the last ten years that have involved faculty and staff collaboratively in the refinement of our goals and objectives (see report of Curriculum 21 – *Appendix 1-7*).

Element 1.1(d) Publicizing and wide familiarity of Mission, Goals and Objectives by the institution’s members.

Naval Academy mission, goals and objectives are disseminated through a broad range of print, video and on-line media, and through personal presentations by Academy leadership. Examples of print and on-line media include the Naval Academy catalogue and the implementing guidance cited in *Appendices 1-1* and *1-2*, above. The 1999 Strategic Plan was disseminated and monitored largely through on-line, electronic media, for example (and continues to be available on-line). It is important that the 2005 Strategic Plan, still in development, be disseminated via similar means as it becomes mature. Once goals and objectives are finalized, the Academy has well-developed internal media for getting the word out; both the Superintendent and the Academic Dean hold convocations each semester for all faculty and staff concerning the State of the Academy, with complementary postings of information to the USNA intranet website. The Dean, Vice Dean, and Associate Deans regularly attend Faculty Senate meetings and the Superintendent usually addresses the Senate at least once a semester. The focus, throughout is to ensure that the Academy’s mission and its dynamic goals and objectives are widely acknowledged and accepted.

Element 1.2 Linkage of mission to institutional goals and objectives that focus on student learning, other outcomes, and institutional improvement.

Several of the directives concerning the Naval Academy, including OPNAVINST 5450.330, DOD Directive 1322.22, and above all SECNAVINST 1531.2A, cited in *Appendix 1-2*, above, and the Professional Core Competencies (*Appendix 1-8*), generated by DON for all Navy commissioning sources make explicit reference to the content and desired outcomes of student learning. In addition to student learning, these documents also direct a variety of outcomes relating to the Academy's admissions policy and to its physical and moral mission components. There is an inherent accountability for institutional self-assessment and continuous improvement resulting from the Academy's annual Congressional appropriation for operating funds. For example, as part of the current Curriculum Review, institution level student learning outcomes for the Core Curriculum that are linked to the institutional mission are receiving considerable attention. References to institutional improvement are explicit in both the purpose of the Curriculum Review process (see Academic Dean Instruction 5420.20D, *Appendix 1-9*) and in the 2005 Strategic Plan (*Appendix 1-10*), Academic Goals, Objective 1, Learning Outcomes and Assessment: *Focus the midshipman academic program on achieving specific learning outcomes and implement a system of assessing how well USNA graduates are achieving those outcomes in order to guide a process of continuous improvement.*

In light of the preceding discussion, the following recommendations are made concerning the Academy's mission, and implementing goals and objectives:

Recommendation 1-1 Dissemination and implementation. *In order to ensure that changes in institutional goals and objectives are widely familiar to the USNA community the following are recommended:*

- *Publicize the 2005 Strategic Plan fully and widely, as it is being developed, and continue with its implementation.*
- *Post the Plan on the Academy web page, along with appropriate links to provide feedback to the Core Planning Team.*
- *A Superintendent's State of the Academy presentation or Academic Dean's convocation and a Faculty Senate Forum could also be venues for information and discussion of the Plan.*
- *Involve the Academy Public Affairs officer and his staff in the dissemination of the Plan's content and implications.*

Recommendation 1-2 Linkage of mission to institutional improvement. *Include in an upcoming revision of SECNAV Instruction 1531.2A, "U.S. Naval Academy Curriculum and Admissions Policy," an explicit reference to a requirement for institutional improvement based on periodic, data-based institutional assessment of student learning and other outcomes linked to the institution's mission, goals, and objectives.*

STANDARD TWO

PLANNING, RESOURCE ALLOCATION AND INSTITUTIONAL RENEWAL

The response to this standard describes the use of planning to guide resource allocation and institutional renewal (i.e., improvement and maintenance of institutional quality) based on data from institutional assessment.

The Academy's planning and resource allocation vehicles are shaped by the federal departments—Navy and Defense—of which they are a part. The source of funds, timing and procedures for the operation and maintenance of the Naval Academy are almost entirely prescribed by DON and DOD. Even within the Academy, planning, resourcing and renewal issues occur by means of a largely top-down organizational structure, with the Superintendent and his cost center heads at the top. Productive planning for resources and renewal has been initiated by the Academy and subsequently been applied within the prescribed DON and DOD channels to justify additional resources, and create and adjust programs: the 2005 USNA Strategic Plan is perhaps the best recent example of this. The Academy should continue to strive to be broadly inclusive in its processes for planning, resource allocation, and institutional renewal.

As part of the Department of the Navy (DON) with its own planning and resource allocation procedures, the Naval Academy has had planning, resource allocation and institutional renewal processes in place for many years—most prominent among these are the “Planning, Programming, Budgeting and Execution” system (*Appendix 2-1*). This so-called “PPBE” system remains the backbone of the Naval Academy’s year-to-year fiscal planning and resource related interactions within the larger Navy Department. Justification of current budgets, integration of new initiatives, and year-to-year adjustments for inflation, as examples, all occur within PPBE. Nonetheless, while PPBE defines the Academy’s formal planning and fiscal interface with the Navy Department, more is clearly needed.

Embedded in a larger fiscal system, and dependent on an annual Congressional appropriation for virtually all its funding, the Academy does not—and will likely never—conform to planning processes typical at many undergraduate institutions. Periodic review of programs and facilities do occur, but within the constraints of the PPBE process these often appear piecemeal, rather than comprehensive and institution-wide because of the manner in which funding is appropriated. The Naval Academy depends each year on several separate Congressional appropriations: operations and maintenance resources (O&M, Navy), military personnel (MP, Navy), military construction (MILCON), and other procurement (OP, Navy).

Naval Academy leaders and planners have anticipated the need for a more institution-centered approach to institutional renewal. For over a decade, both for itself and with view to its external customers—the Navy and Marine Corps—the Academy has engaged in a variety of self-reflective multi-year planning efforts. These have assessed the Naval Academy’s mission accomplishment, evaluated current programs against changing Fleet and Fleet Marine Force requirements, compared our academic program with the best practices elsewhere, evaluated the comparability of faculty and staff compensation and workload, and assessed and planned for information technology requirements. As a result, specific recommendations were subsequently forwarded via the PPBE process, and significant program improvements—curricular refinements, better funding for faculty compensation, extensive technological enhancements to classroom and laboratory infrastructure, and comprehensive renovation of academic facilities—have taken place.

In 1992 the Academy consolidated all Academy-related data collection under a single organization—the Office of Institutional Research, Planning and Assessment (OIR)—to routinely monitor key institutional performance data, provide a single point of contact for data calls, and to provide impetus and oversight for internal assessment efforts. OIR is not presently staffed or chartered to assume leadership in directing the planning and assessment process (see the Academy response to *Standard Seven*, below).

Element 2.1 Clearly stated Goals and Objectives used for planning and resource allocation at the institutional and unit levels.

Beyond the Academy's mission statement, and the goals and objectives cited above, there is also important unit and sub-unit level guidance. U.S. Naval Academy Instruction 5450.3F, "United States Naval Academy Organization Manual," Superintendent's memos 1 Oct 03, "USNA Leadership Alignment," and 1 Nov 04, "USNA Officer Development System" (*Appendix 2-2*) outlines responsibilities, defines command relationships and reporting chains, and creates clear expectations for all units and senior officials at the Academy. Internally, the Academy is arrayed around large organizational units, called "cost centers," a term with planning and resource allocation, as well distinct fiscal and fiduciary, connotations. The principal cost centers are those of the Academic Dean and Provost, the Commandant of Midshipmen, Dean of Admissions, Information Technology Services, the Deputy for Finance, and the Deputy Superintendent/Chief of Staff. Many of the legacy base operational support functions, such as public works, security, and fire protection, were realigned to a new Navy-wide facilities management command—Commander, Navy Installations—on 1 October 2003.

Virtually all cost center heads report directly to the Superintendent, as a part of his Senior Leadership Team (SLT), which includes the heads of all the above-listed cost centers, plus the Athletic Director and the Director of Institutional Research, Planning and Assessment. The SLT constitutes the Superintendent's most senior advisers for planning, resource allocation and institutional renewal.

By position and responsibility, the cost center heads represent the link between clearly stated Goals and Objectives, planning, and resource allocation. The cost center heads are charged with meeting specific mission-related goals, as well as with planning and resource allocation functions within their respective cost centers. They are also integrated, via the SLT, into the budget year execution functions.

Building renovations and other physical improvements, endowed chairs, the creation of the Ethics Center, enhanced Academic Center services, the renovation of museum, and the construction of the new Jewish Chapel are all examples of how goals and objectives were used for planning and resource allocation at the institutional level. Characteristic of military organizations, the planning processes embedded in the Cost Center heads reflect a largely top-down approach rather than the client-manager model (students, faculty, and administration) more common to academic institutions.

Element 2.2 Planning processes that are clearly communicated, provide for constituent participation, and incorporate the use of assessment results.

The formal chain of command and accountability, which links each department, division, and administrative unit to the Superintendent via the respective cost center heads, and further links the Superintendent and the Academy to the Department of the Navy and the Department of Defense, constitutes the most routinely used vehicle for constituent participation in the planning process and the use of assessment results for institutional renewal.

In addition, the Academy's strategic planning process has provided the context for broad participation, comprehensive assessment of programs (for example, Curriculum 21, in 1997-1998, *Appendix 1-7*), and careful monitoring of results (Monitoring and Implementation Team Completed Actions, 1999 Strategic Plan, *Appendix 2-3*). Strategic planning initiatives have sought to engage large topics—curriculum, attributes of graduates, business processes and human capital—not readily captured by day-to-day review of performance criteria. Beginning in the mid-1990s, the Academy's strategic planning processes departed from this characteristically military, top-down approach by offering broad participation for comprehensive monitoring and assessment of programs (see for example *Appendix 2-3*, Monitoring and Implementation Team Completed Actions).

Though still in process, the 2005 Strategic Plan initiative (June 2005 draft, *Appendix 2-4*) is in many ways the most comprehensive, data-oriented and participatory planning effort to date. More members of the Academy's internal constituencies arguably were involved, for a more extended period of time, than in any previous planning processes (List of attendees, *Appendix 2-5*). The Strategic Plan has twelve goals:

- Admissions
- Officer Development Systems
- Professional Training
- Security and Counter-Terrorism
- Funding & Requirements
- Physical Mission
- Academics
- Human Capital Investment
- Business Processes
- Facilities
- Assessment
- Midshipman Life and Development

The goals are further subdivided into over 100 objectives, with timelines for implementation and completion of over 1000 tasks. As noted in the institution's response to *Standard One*, many of these goals have not yet been comprehensively communicated to all members of the faculty and staff.

In addition to overt strategic planning initiatives, the Academy's Command Evaluation Office, chartered by DON and Academy directives (*Appendix 2-6*) routinely examines Academy organizational units for compliance with existing statute and regulation, provides explicit written feedback of its assessment, and monitors follow up actions through to completion. Command Evaluation retains records of its oversight function for fifteen years.

Through data generated by the Academy's OIR with respect, particularly, to recruitment, retention, Fleet and Fleet Marine Force performance, and other prominent mission functions, an almost continuous feedback loop exists where assessment results are used to evaluate the success of the institution in accomplishing its overall mission.

Finally, the Facilities Master Plan (*Appendix 2-7*), developed via extensive collaboration with USNA faculty and staff, has brought coherence and direction to the recapitalization of the Academy's physical plant.

Element 2.3 Objectives for improvement that are clearly stated, reflect conclusions drawn from assessment results, and are linked to mission and goal achievement, both institution-wide and for individual units.

Each of the above examples, documented in *Appendices 2-3, 2-4, 2-5, 2-6, and 2-7*, depends on assessment data and analysis, evaluated in the context of the institution's mission, higher level goals and objectives, in order to generate discreet objectives for improvement that are monitored through to completion. For example, the Facilities Master Plan and Command Evaluation reviews reflect an assessment and response cycle that is embedded in Navy and DOD regulation. In addition, the overarching goal of achieving the Academy mission more efficiently and effectively has guided the other institutional assessment and planning exercises, such as Curriculum 21, the 1999 Strategic Plan, and the 2005 Strategic Plan, as well as the Academic Dean's instruction regarding academic assessment (ACDEANINST 5400.1, *Appendix 2-8*).

Elements 2.4 and 2.5 Well-defined decision making processes and authority that facilitates planning and renewal. Assignment of responsibility for improvements and assurance of accountability.

The Academy's military and administrative chain of command, culminating in the leadership positions of the cost center heads, and of the Superintendent himself, is the clearest example of well-defined decision making processes and authority. The Academy's vertical reporting chain affords both broad responsibility to unit chiefs (cost center heads) and a clear sense of accountability and responsiveness to the Superintendent. The SLT additionally affords high level lateral coordination within this otherwise highly vertical organizational structure. Cost center heads are plainly responsible for setting strategic priorities, and for planning and renewal functions within their areas of responsibility. Every recommended outcome of the strategic planning initiatives has a responsible project manager to see the recommendation through to completion.

On the academic side, the organizational structure (including the Dean's Office, Division Directors and Department Chairs) assigns responsibility for improvements and assurance of accountability. In the Commandant's areas of responsibility the chain of command assigns responsibility for improvements and assurance of accountability.

Element 2.6 A record of institutional and unit improvement efforts.

Perhaps the most tangible record of institutional and unit improvements, accomplished with the collaboration of faculty and staff, are the newly renovated academic buildings (Sampson, Mahan, Maury, Luce, Michelson and Chauvenet Halls). These renovations, which have resulted in first rate facilities for our midshipmen, faculty and staff, are a direct outgrowth of the Facilities Master Plan.

This foundation of well-exercised planning practice served the Academy well following Tropical Storm Isabel, in September 2003. The Academy was able to quickly vacate the damaged facilities, adapt promptly to new circumstances, and still complete the Michelson-Chauvenet laboratory complex renovations within the prescribed time.

Curriculum 21 (*Appendix 1-7*) and the 1999 Strategic Plan (*Appendix 2-3*) both include comprehensive records of completed actions. Among these, the newly renovated Navy Marine Corps Stadium and the enhanced Academic Center services for midshipmen are two prominent examples of programs that have benefited from successful fund raising efforts that were accelerated through the Academy's strategic planning initiatives.

In addition, by the time of the Accreditation Committee's visit in February 2006, outcomes will begin to be visible from the current 2005 Strategic Plan initiative. Improvements resulting from assessment activities conducted by academic units may be found in the discussion of *Standard Fourteen*, below.

Two top-down initiatives were just beginning to emerge in discussions as this self-study went to press: (a) a Navy proposal to combine the Naval Academy, the Naval War College and the Naval Postgraduate School into a Naval University; and (b) an initiative from the office of the Secretary of Defense to expand dramatically the instruction of foreign language and regional knowledge (Language Acquisition Roadmap).

Finally, as noted earlier, the Academy's Command Evaluation Office maintains a fifteen year record of its unit reviews, recommendations, and completed actions. Command Evaluation reviews typically focus on cost center, or sub-cost center compliance with federal law, regulation, directive or instruction.

Element 2.7 Periodic assessment of the effectiveness of planning, resource allocation, and institution renewal processes.

Appendix 2-4 contains a valuable history of strategic planning efforts at the Academy since the early 1990s. The progression of the Academy's strategic planning efforts over twelve years has culminated in the comprehensive twelve-element strategic planning efforts of the 2005 plan and reflects a critical refinement of planning processes along the way. In addition to its broader scope, compared with its predecessors, the 2005 Strategic Plan is rooted explicitly in participatory assessment and evaluative processes against which plans and outcomes will be measured. Outside oversight bodies, prominently the Board of Visitors and the USNA Executive Steering Group (ESG) chaired by the Vice Chief of Naval Operations and the Assistant Secretary of the Navy for Manpower and Reserve Affairs (see *Appendix 2-9*), periodically review and endorse the Academy's planning, resource allocation and renewal strategies. The USNA Executive Steering Group, though only recently constituted, has proven to be an effective review, coordination and review body for Naval Academy initiatives with the Navy leadership.

Recommendation 2-1 Better Communication. *Many faculty and staff members have a limited understanding of the intricacies of planning, budget, and execution processes at the Naval Academy. Moreover, many faculty remain unfamiliar with important details of the 2005 strategic planning process. Finally, the link between the SLT and the faculty may be more presumed than real. Recommendation 1-1, above, encourages the senior leadership (Dean and Superintendent) to convey information about the 2005 Strategic Plan. More direct participation by the Comptroller's office with faculty and staff representatives, for example, would improve information exchange. A clear depiction of the planning and budget process along with elaboration of regulatory and budgetary constraints would not only be welcome but is essential for broad faculty and staff understanding of how the Academy receives and applies resources.*

STANDARD THREE

INSTITUTIONAL RESOURCES

The response to this chapter describes the extent that the human, financial, technical, physical facilities, and other resources necessary to achieve an institution's mission are available and accessible.

Naval Academy resources are mediated almost entirely through the Department of the Navy (DON) and the Department of Defense (DOD). Statutes, regulations, and guidelines for the justification, receipt, and execution of resources—and the subsequent accounting for these resources—are drawn in large measure from DON, DOD, and the direction of the U.S. Congress. The Academy has been reasonably successful in making its case for resources within the larger government bureaucracy. Nonetheless, given the intricacy of this fiscal environment and the not infrequent turnover of senior leaders, the response to this standard encourages regular training of Academy leadership. The response also recommends continued engagement with DON and DOD on the matter of adequate facilities and maintenance.

Element 3.1 Strategies to measure and assess the level of and efficient use of institutional resources required to support the institution's mission and goals.

The Naval Academy, the Navy, and the DOD rely on a variety of benchmarks, at varying levels of detail, to measure and assess the appropriate level and efficient use of Academy resources. At the highest level, DOD Instruction 1025.4 requires the submission of an annual Service Academy Resources Report (SARR) (*Appendix 3-1*). This data is further used to calculate a Cost per Graduate (CPG) (*Appendix 3-2*) that is frequently a means of comparison and benchmarking among the three service academies. The format of the SARR and procedures for calculation of CPG are being incorporated into a new DOD Instruction, currently in draft (*Appendix 3-3*). The Naval Academy and the Navy also measure the cost-effectiveness of the Naval Academy as a commissioning source compared with the Naval Reserve Office Training Corps (NROTC) and Officer Candidate School, once the graduates of these three schools enter the Fleet and Fleet Marine Force (*Appendix 3-4*). This latter measure, of career officer retention, is the principal economic justification for the Naval Academy. Additionally, the Academy compares its four year graduation rate (about 80%) and student-faculty ratio (about 7.5:1), with that of comparable undergraduate institutions in justifying small class sizes (about 17 midshipmen per class) and academic support programs (*Appendix 3-5*). In addition to these outcome measures, the Academy also tracks faculty salaries by rank, region and discipline, relying on measures from the National Association of State Universities and Land Grant Colleges, the American Association of University Professors, and Runzheimer International, an executive relocation consultancy (*Appendix 3-6*). Within the Academy's fiscal chain-of-command, several comptroller-level measures exist to assess the efficiency of year-to-year budget execution (*Appendix 3-7*). There are extensive measures to justify capital projects (Basic Facilities Requirements, *Appendix 2-7*) and building renewal cycles (the DOD Facilities Sustainment Model, *Appendix 3-8*).

Element 3.2 Rational and consistent policies and procedures in place to determine allocation of assets.

The Program Objective Memorandum/Program Review process (see *Appendix 2-1*) identifies the overall funding appropriated by Congress and allocated to USNA for a given fiscal year. Several months prior to the start of the fiscal year in October, the Comptroller distributes draft budget controls to the Cost Center heads for both labor and material funding, including an amount held back as a Naval Academy Reserve, as specified by the Superintendent. These planning figures are reviewed by the Cost Center heads, and areas are identified where shortfalls exist (these are called "unfunded requirements") or where funding needs to be re-allocated among programs within the cost center. The Senior Leadership Team (SLT) reviews unfunded

requirements in order to give priority to the most acute needs among cost centers. Following this review, recommendations are made to the Superintendent, who approves the controls for each cost center. Finally, funding is provided to each cost center on a quarterly basis in the form of “resource authorizations” from the Comptroller.

Throughout the fiscal year, additional unfunded requirements may emerge that must be funded from within the overall USNA budget. These requirements may be funded from within a Cost Center’s approved control, at the discretion of the Cost Center head, or in some cases the Cost Center head may seek an additional allocation of funding from the reserve held by the Superintendent.

Element 3.3 An allocation approach that ensures adequate faculty, staff, and administration to support the institution’s mission and outcomes expectations.

As noted in 3.2, above, the proposed allocation is made to the Cost Center heads for both labor and material funding. Where shortfalls exist, the Cost Center head must reallocate resources among programs within the Cost Center and/or bring unfunded requirements to the SLT, in order to give priority to the most acute needs among the cost centers. If subsequent to the SLT review, the final controls are still insufficient, the Superintendent retains the option of seeking mid-year (March) or end-of-year (September) funding from the Navy financial chain of command. Long term unfunded or under-funded programs can be brought forward to the Navy as part of the Program Objective Memorandum/Program Review Process described in Appendix 2-1; the POM/PR process plays a central role in addressing the needs of the institution to the Navy. Whenever personal advocacy is required with respect to resource issues, the Superintendent is the principal Academy spokesman to the DON leadership. The venue for articulating Academy requirements is the USNA Executive Steering Group (ESG), co-chaired by the Vice Chief of Naval Operations and the Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN(M&RA)). Other standing members of the ESG include the Assistant Secretary of the Navy (Financial Management & Comptroller), the Director, Navy Staff, a Marine Corps Flag Officer, and the USNA Superintendent. The group has called upon the Chief of Naval Personnel, the Chief of Naval Education and Training, the Director of the Navy Staff, and Commander Navy Installations, among others, in evaluating issues and initiatives related to USNA. Recent successful initiatives brought to the ESG include the establishment of the Graduate Education + Teaching (GE+T) program, to ensure an adequate flow of appropriately training officer-instructors to the Academy, and the expansion to 50 participants of the Permanent Military Professor (PMP) program.

Element 3.4 A budget process aligned with the institution’s mission, goals, and strategic plan that provides for an annual budget and multi-year budget projections for at least three years, both institution wide and among departments; that utilizes planning and assessment documents; and that addresses resource acquisition and allocation for the institution.

As described in *Element 2.1*, above, all Congressionally appropriated funding received by USNA—by far the largest part of its budget—is governed by the DOD Planning, Programming, Budgeting, and Execution (PPBE) System. This system translates the national security strategy into specific programs, defines fiscal constraints and allocates resources to these programs across a multi-year period. There may be significant overlap among the four phases of the PPBE System, such that at any point in time, several phases are in progress, as illustrated in Appendix 2-1. The POM is the culmination of the programming phase, taking place in even-numbered years, and provides an allocation of resources across a six-year period in the Future Year Defense Plan (FYDP). In calendar year 2004, while executing Fiscal Year 2004, USNA submitted POM 06, which delineated requirements for fiscal years 2006 through 2011. The first two fiscal years (FY2006 and FY2007) then became the basis for the biennial budget submission, and the President’s Budget submission to Congress in January of 2005. In odd-numbered years, this process is called a “Program Review” (PR) and considers only the last five years of the POM (e.g., in CY 2005, USNA submitted issues

related to PR-07, covering FY 2007-2011). Thus, the allocation of resources for any given fiscal year has been included in six POM/PR review cycles by the time its budget is finalized and ready for execution. Depending on the budget or program issue at hand, the mensuration and assessment approaches cited in paragraph 3.1 play a prominent role in making the Academy's budget case.

Other funding sources include the following:

Non-Appropriated Funding

Operation of USNA Non-Appropriated Fund Instrumentalities (NAFI) is authorized by Title 10 U.S.C. §6971. The retail activities such as the Midshipman Store, Barber Shop, Visitors Center, Cobbler Shop, Tailor Shop, Laundry, etc., conduct approximately \$30M total business each year. Proceeds from the NAFI activities of approximately \$2.5M per year support midshipman welfare, extracurricular activities, club sports and other activities, as well as investment and recapitalization for the NAFI infrastructure.

Private Gift Funds

Title 10 U.S.C. §6973 established the United States Naval Academy Gift and Museum Fund, and specifies that the Secretary of the Navy may accept gifts or bequests of personal property to benefit the Naval Academy or Naval Academy Museum. The Secretary of the Navy has delegated authority to the Superintendent of the Naval Academy to accept gifts of non-real property up to \$50,000, and gifts of travel from non-federal sources (governed separately by 31 U.S.C. §1353 and 41 CFR §304). Donations may include gifts of cash, non-cash gifts in kind (such as artwork, books, services), one-time gifts, and distribution from endowments and wills. The Secretary of the Navy has also delegated gift acceptance authority of \$5,000 to the Deputy for Finance, and \$2,500 to the Museum Director and to the Head Librarian.

Donations may be received from the USNA Foundation, an independent, non-profit corporation whose purpose is to raise private gifts to support all facets of the development of the Brigade of Midshipmen and the activities of the Naval Academy Alumni Association, or directly from private donors; in either case, these processed through the Deputy for Finance and the Comptroller. Cash donations are deposited in the U.S. Treasury, and the Comptroller maintains separate accounts to track the restrictions associated with the donations. Funds held in reserve may be invested in Treasury Securities, with the income used to fund additional expenses. Private funding has been used to support programs that provide a margin of excellence beyond those items funded by appropriated resources; for example, private funding enables the Academy to hire Distinguished Professors, fund lecture series, midshipman overseas travel and cultural immersion programs, various enhancements to the USNA Library collections, Academic Center programs, midshipman academic projects, faculty enrichment programs, and capital projects such as the building of the Glenn Warner Soccer Facility, the Commodore Uriah P. Levy Center and Jewish Chapel, and renovation of the Robert Crown Sailing Center.

In the past, private gift funds provided limited resources for specific projects; since the USNA Foundation aligned its strategic goals with those of the Naval Academy and initiated a comprehensive capital campaign, funding from the Foundation has increased dramatically. The 1999 Strategic Plan played a prominent role in defining a needs list that culminated in a highly successful Capital Campaign, raising over \$240M by March 2005, and transferring more than \$90M to the Naval Academy in the last four years.

Reimbursable Funding

USNA may also receive reimbursable funding from other activities for specific purposes, such as routine services or day-to-day operations or specific, definite work or production. Navy regulations specify that for an activity to accept funding, a majority of the work must be accomplished "in-house"—in the Academy's case, *at USNA*. All funding provided to USNA from external sources—largely from other government agencies--must be accepted by the Academy Comptroller; a significant portion (approximately \$6M

annually) is received and spent by the Academic Dean and Provost in support of faculty research projects proposed by individual USNA faculty for scholarly work that occurs predominantly during the two-month summer inter-sessional period. The Academic Dean Budget Office and Research Office assist the Comptroller in managing the reimbursable funding.

Athletic Programs Funding

The Naval Academy sustains a National Collegiate Athletic Association Division IA athletic program with 30 varsity sports, supported by both appropriated funding and other-than-appropriated funding provided by the Naval Academy Athletic Association (NAAA). The NAAA is a not-for-profit association under §501 (c) (3) of the Internal Revenue Code, and exists to promote and assist in financing the athletic program of the midshipmen of USNA in accordance with the policy of the Superintendent. An operating agreement that is comparable to a contract between USNA and the NAAA specifies the level of support and funding responsibilities each organization has for the athletic programs. The total athletic funding is approximately \$21M per year, of which appropriated funding has averaged approximately \$2.5M or 12% of the total.

Element 3.5 A comprehensive facilities or infrastructure master plan and facilities -infrastructure lifecycle management plan, as appropriate to mission, and evidence of implementation.

Since the last Middle States' review, considerable repair and renovation of facilities have occurred. In the mid-1990s, the multi-year renovation of Bancroft Hall was begun, a new Visitors' Center was constructed, an addition (housing the NAAA) was made to Ricketts Hall, and the USNA fire station was replaced. In 1995-1996, the Naval Academy engaged the Cannon Architectural Firm (Washington, D.C.) to draw up a master plan to determine best use of facilities. Their proposals were reviewed by a USNA blue ribbon committee offering broad guidelines and directives, and were later formalized in conjunction with the Washington D.C. office of Einhorn, Yaffee, and Prescott Architecture and Engineering (EYP) and presented to the Academy as the USNA Master Plan in 1997 (Facilities Master Plan, *Appendix 3-9*).

The Master Plan employs a "who-what-when" matrix, integrated with the three-fold USNA mission statement, to project the order of academic building renovation. After consideration of the proposed sequence of renovations, the Superintendent made the decision to focus first on the oldest academic buildings in the Yard, the Sampson-Mahan-Maury complex; this renovation was completed in 1999. From there, the focus moved to upgrading laboratory space, so renovation proceeded to the Michelson-Chauvenet Science complex. This multi-year renovation was completed in 2005. Luce Hall, the classroom and office building for professional education and the Ethics Center, was renovated in 2002. The final renovation of the Nimitz-Rickover complex was originally scheduled for 2007. As a result of the transition of all USNA capital projects to the Commander Navy Installations this date has been delayed to at least 2011, and CNI is developing tangible measures for interim building renovations in Nimitz and Rickover Halls. In FY07, the Naval Academy continues the decade-long renovation of Bancroft Hall, the midshipmen's living and dining facility, with the refurbishment of King Hall, where the entire Brigade receives three meals each day.

Throughout the renovation process, faculty and midshipmen relocated into temporary classrooms and swing space to accommodate the renovations. This was further complicated during Academic Year 2003-2004, when additional space was required after Tropical Storm Isabel flood waters extensively damaged equipment and facilities on the ground floor of Rickover, Michelson and Chauvenet Halls. The Congress made available \$100M to effect repairs following this weather related damage.

In April, 2003 a Basic Facilities Requirement (BFR) study of academic facilities was conducted by the Virginia offices of EDAW. The EDAW study built a baseline model that used objective indicators of needs provided by the Academy along with assumptions derived from a similar model designed for the University

of Maryland. EDAW analysts used these indicators to “reconstruct” the Academy and determine space requirements. Given the assumptions provided, the study projects a 226,859 SF shortage in academic space (2005 BFR, *Appendix 2-7*). While the EDAW study is under evaluation, any prospective classroom deficit presents a serious concern that affects other planning and financial initiatives.

In October 2003 (start of Fiscal Year 2004) the "base support" function for USNA (and other activities Navy-wide) was regionalized under the Commander of Navy Installations (CNI). By that action, the USNA is now located in the Naval District Washington (NDW) East Region, which has an Area Operations Office on the Academy grounds. Under this organization, CNI/NDW East is responsible for all base support functions, such as fire, security, and facilities management; CNI/NDW manages Base Operating Support (BOS) and facilities Sustainment, Restoration & Modernization (SRM) finances. The transition of these management and support functions to CNI/NDW is complete.

In recognition of the unique and historic nature of the Naval Academy, USNA and CNI have come to an agreement regarding support of the Academy's requirements as a Navy "Flagship Institution." Under this Flagship Agreement (*Appendix 3-10*), CNI provides 100% funding under the DOD/Navy Facilities Sustainment Model, and provides a 52-year average Facility Recapitalization Rate. CNI also provides "Capability Level 1" (e.g., highest level grounds-keeping) for other Base Operating Support programs within the showcase areas of the Academy—the central part of the historic Yard, south of Dorsey Creek—and the Navy average level for other areas of the Academy.

Despite careful planning regarding resource acquisition and expenditure, unexpected events can and do occur that require prompt response to unanticipated change. In response to the threat of terrorism after 9/11 and a devastating storm (Isabel, September 2003), the Naval Academy revamped procedures and infrastructure for quicker, more effective response to unexpected events. For example, security at the main USNA gates has been strengthened, and the entrances have been modified to better accommodate security and traffic flow. Academy staff engineers are coordinating planning with the City of Annapolis and the Army Corps of Engineers to devise plans for episodes of weather-related threats to infrastructure and security.

Element 3.6 Recognition in the comprehensive plan that facilities, such as learning resources fundamental to all educational and research programs and libraries, are adequately supported and staffed to accomplish the institution's objectives for student learning.

The Naval Academy uses benchmarks similar to those used by peer institutions, where these exist, for its support staff and support organizations. One of the most comprehensive examples is a comparison of Patriot League Libraries (*Appendix 3-11*) used successfully in making a case for enhancements to the USNA Library. Another instrument is an algorithm developed by the Comptroller and Academic Dean staffs concerning the marginal cost of 100 midshipmen (*Appendix 3-12*); such an algorithm has simplified the cost analysis associated with creating a larger Brigade (and calculating budget reductions, if the Brigade of Midshipmen gets smaller). In December 2004, the Superintendent chartered a faculty committee (*Appendix 3-13*) to examine the sufficiency of support staff in the academic program. That group has issued a preliminary report (*Appendix 3-14*); final outcomes are still pending. Options are under active consideration (September 2005) for the renovation of Nimitz Library. The library renovation was originally projected for 1999-2000, but it has been delayed repeatedly since then. As noted in Librarian Richard Werking's 21 January 2005 memo (*Appendix 3-15*), the library opened in 1973 with 150,000 assignable square feet (SF), of which the library function occupied about 118,000 SF for most of its history. The remaining 32,000 SF on the ground floor have been occupied by the departments of Political Science, Language Studies, and Economics, along with the Photo Lab, parts of the Multimedia Center, the Center for Teaching and Learning, and the Registrar's Office. After 30 years without significant renovation, Nimitz Library is overdue for repair and modernization.

Element 3.7 An education and other equipment acquisition and replacement process and plan, including provision for current and future technology, as appropriate to the educational programs and support services, and evidence of implementation.

The Deputy for Information Technology, drawing on Operations and Maintenance, Navy (O&M,N) funding, centrally manages the life cycle replacement of equipment having a unit cost less than \$250,000. Currently, each Cost Center submits an Abbreviated Systems Decision Paper (ASDP) delineating its requirements in a manner that allows these to be prioritized across the institution, with the goal of making most efficient use of available resources.

Element 3.8 Adequate institutional controls to deal with financial, administrative and auxiliary operations and rational and consistent policies and procedures in place to determine allocation of assets. An annual independent audit, confirming financial responsibility, with evidence of follow up on any concerns cited in the audit's accompanying management letter.

The Naval Academy must comply with all fiscal laws governing execution of Congressionally appropriated funding, and at the end of each fiscal year, the Comptroller is responsible to the Superintendent to certify that resources have been managed in compliance with generally accepted accounting principles, the DOD Financial Management Regulation and Federal Acquisition Regulations. These fiscal laws include:

Purpose – In accordance with 31 U.S.C. §1301(a), funds may be spent only for the purpose for which the appropriation is made.

Time– Obligations may be made only during the availability of the appropriation (i.e. one year for O&M, N), in accordance with 10 U.S.C. §2306(c)); the obligation must be a "bona fide need" within the period of the appropriation (31 U.S.C. §1502(a)); and obligations or expenditures cannot occur in advance of an appropriation (31 U.S.C. §1341(a)(1)(b)).

Amount – Spend or the commitment of funds cannot occur in excess or in advance of an appropriation (31 U.S.C. §1341(a)(1)(A)); obligations cannot be made in excess of an apportionment or allocation (31 U.S.C. §1517); and, finally, an appropriation cannot be augmented by funds from other sources (31 U.S.C. §3302(b)).

The Anti-Deficiency Act prohibits (a) any expenditure or obligation that exceeds an appropriation, apportionment, or allocation; (b) the obligation of government resources before an appropriation is made unless authorized by law; and (c) the acceptance of voluntary services except in emergencies involving human life and property.

Allocation of private gift funding follows a similar review process that culminates in the Superintendent providing approval of budgets; gift funds are tracked at an individual account level due to the necessity to fulfill restrictions imposed by the donors of funds.

USNA travel is governed by the Joint Travel Regulations (JTR) for civilian personnel and the Joint Federal Travel Regulations (JFTR) for military personnel. The Commercial Travel Office (CTO) that services USNA is located at the Washington Navy Yard, and manages the travel arrangements for all transportation in accordance with the JTR/JFTR and existing government contracts. The current travel order system in use at USNA is the Windows Automated Travel Order System (WINATOS), by which the Cost Centers enter via computer the travel order requests, which are then electronically routed to the USNA Travel Desk for final approval. Each Cost Center allocates a portion of its operating budget for the fiscal year in support of official travel, and specific lines of accounting appear on each travel order, linking it back to the Cost Center. Expenses incurred during official travel are documented, claimed by the individual traveler, certified by

designated personnel, and then processed for reimbursement through the Personnel Support Detachment (PSD) at Fort Meade, Maryland. USNA is in transition to the Web-based Defense Travel System (DTS), which will decentralize the travel process by allowing personal on-line reservations and itinerary changes for airline, lodging and rental cars. The travel regulations have been simplified under DTS, with additional responsibility placed on the Approving and Certifying Officers, and rapid liquidation of travel claims directly from the Defense Finance and Accounting Service (DFAS), rather than through PSD.

In addition, the Office of Command Evaluation conducts routine reviews of all organizational units and subunits for compliance with appropriate regulations, as outlined in the Academy's response to ***Standard Two***. All written audits and the corresponding responsive actions are retained for fifteen years.

With many Naval Academy expenditures, and perhaps no where more than travel, there appears to be a conflict—frustrating to some—in operating an academic institution under the restrictions of the government budget process. Faculty sometimes discover that their submissions to speak at a conference have been accepted only shortly beforehand, which makes advance planning impossible. Most faculty travel infrequently (once a year) making the flexibility given to them to make their own arrangements a unfamiliar burden. For travel and other expenditures, lack of money while awaiting budget approval, and sudden availability of money only if used immediately near the end of the fiscal year, can be a further frustration.

Element 3.9 An annual independent audit confirming financial responsibility, with evidence of follow up of any concerns.

The Academy's Command Evaluation office conducts periodic audits of Academy functions for compliance with U.S. law and regulation, as well as DOD, DON, and Naval Academy instructions and directives. The Naval Academy Comptroller annually certifies compliance with institutional fiduciary requirements to the DON Field Support Activity (FSA) in accordance with the DOD Financial Management Regulations, Chapter Three, Section Eight (http://www.dod.mil/comptroller/fmr/03/03_08.pdf).

Element 3.10 Periodic assessment of the effective and efficient use of institutional resources. Because it is firmly embedded in the chain of command of a larger organization, the DON, as a publicly, federally-funded organization, the Academy is subject to almost continuous review and evaluation of its use of resources. These assessment vehicles are outlined in the Academy's response to ***Standard One***.

Recommendation 3-1 *Appropriate Controls.* *The multitude of funding sources provides additional flexibility, but also greatly increases the complexity of complying with the different statutory limitations associated with each funding source, e.g., Congressionally-appropriated funds, private funding, and non-appropriated funding. This complexity often makes it difficult for dedicated professional financial personnel to comply with all regulations in execution, and presents a serious challenge for those individuals assigned financial responsibilities as a collateral duty. The Academy needs to continue to ensure that personnel with fiduciary responsibility for the expenditure of funds are adequately trained even as staff turnovers occur.*

As mentioned earlier in this chapter, the Naval Academy is allowed by statute to accept private donations; nonetheless, government employees are prohibited from soliciting donations. Therefore, USNA must rely on the USNA Foundation (an independent non-profit organization) or other outside parties to conduct fundraising activities. It is crucial that requirements for private funding are clearly and effectively communicated to those parties.

The Naval Academy should therefore continue efforts to communicate financial regulations, processes, procedures and other information to all key Academy personnel. Training should be improved, especially for those personnel assigned financial duties as a collateral responsibility; this burden can be mitigated with reduced personnel turnover in key areas.

Recommendation 3-2 USNA Placement in DOD Facilities Sustainment and Recapitalization Model. *Although the Flagship Institution Agreement with CNI (Appendix 3-10) specifies that "sustainment" of facilities and physical plant will be fully funded, the cost factors in the model may not accurately reflect the unique aspects of construction and the historical nature of USNA facilities. This could lead to calculation of a reduced requirement and to funding shortfalls, by as much as a factor of two. USNA should therefore continue to work with CNI and DOD to develop and refine the DOD Facilities Sustainment and Recapitalization Model to reflect the unique characteristics of facilities at USNA, which are currently not addressed in the model.*

Recommendation 3-3 Space Allocation and Classroom Scheduling. *The Basic Facilities Requirement released in August 2005 indicated a shortfall in academic space of approximately 227,000 SF. This shortfall in classroom and laboratory space is validated through anecdotal input from faculty and staff. Pending formal action concerning the construction of additional academic space, the Academy should review the process for space allocation and classroom scheduling to ensure that the existing space is being used with the highest achievable efficiency.*

STANDARD FOUR

LEADERSHIP AND GOVERNANCE

The response to this standard describes how the institution’s system of governance clearly defines the roles of institutional constituencies in policy development and decision making.

Leadership and governance entities at the Naval Academy exhibit attributes of both military and academic organizations. Though appropriate to a national institution funded largely through annual infusions of public resources by the Congress, the range of leadership and governance bodies discussed below—the Board of Visitors (BOV), the Congress, and the President of the United States at one end, the Faculty Senate and informally constituted faculty and staff working groups at the other—will also appear to be more extensive than at many similarly-sized colleges. Thus constant communication is perhaps the single most important ingredient for ensuring the continued responsiveness and vitality of the Academy. Indeed, the recommendations emerging from the Academy’s response to this standard all address, in one way or another, the importance of careful and routine listening and communication among all institutional constituencies.

Element 4.1 A well-defined system of collegial governance including written policies outlining governance responsibilities of administration and faculty and readily available to the campus community.

The governance directives at the Naval Academy range from federal law (*Appendix 1-1*), to Department of Defense (DOD) and Department of the Navy (DON) directives and instructions (*Appendix 1-2*), to Naval Academy instructions (*Appendix 2-2*), which outline the duties and responsibilities of unit and subunit officials at the Academy. These documents portray a largely hierarchical organization with clearly defined obligations for senior administrators, faculty, and midshipmen.

Within that vertical organization, a variety of consultative, collaborative, and information-sharing organizations and relationships exist, formally and informally constituted.

Appointed by the President of the United States or his designated agent(s), the Naval Academy BOV functions “to inquire into the state of morale and discipline, curriculum, instruction, physical equipment, fiscal affairs, academic methods, and other matters relating to the Naval Academy that the Board decides to consider” (*Appendix 2-9*). The BOV remains in close contact with the Naval Academy on all issues. Among USNA constituents, the BOV is an actively engaged and relevant institutional link to considerable resources and experience. The BOV provides oversight functions, and USNA leadership actively seeks to engage and comply with the Board’s concerns. Along with the other senior Academy leaders, the Faculty Senate President attends all meetings of the BOV. The BOV meetings are not widely attended by USNA faculty and staff.

Already described in *Element 3.3*, above, the USNA Executive Steering Group provides a monthly setting for discussion of fiscal, personnel and related matters pertaining to the Naval Academy among the senior leadership of the DON.

The governance structure at the institutional level begins with the Superintendent and the Senior Leadership Team (SLT)—see *Element 2.1*, above. On the academic side the leadership and governance structure includes the Academic Dean and Provost, the Vice Academic Dean, Associate Deans, the Division Directors (roughly equivalent to deans of colleges within a university model), the Academic Assembly (department chairs, division and program directors, deans), the Council of Chairs, and the Faculty Senate (with a formal set of by-laws). Each of these groups meets at least monthly and, more commonly, weekly or bi-weekly. In

addition, there are regularly scheduled meetings between, for example, the Faculty Senate President and the Superintendent; the Academic Dean and the Commandant of Midshipmen; and the Superintendent and the Faculty Senate. The Academic Dean, the Vice Academic Dean, the Deputy Commandant of Midshipmen, and the Dean of Admissions regularly attend the Faculty Senate meetings.

The Commandant of Midshipmen is occasionally—and somewhat imperfectly—compared to a Dean of Students at a civilian university. Many typical Dean-of-Students functions belong to the Commandant, but additional duties are assigned the Commandant, as well: virtually all the midshipman support organizations, reported on in *Standard Nine*, are overseen by the Commandant. But the Commandant also oversees the immersion into the military environment and comprehensive leadership preparation that constitute an essential and prominent part of the Naval Academy education. The leadership and governance structure within the Office of the Commandant of Midshipmen corresponds closely to a military organization: at the top are the Commandant and Deputy Commandant and their immediate staff; reporting to them are thirty midshipman companies organized into six battalions and two regiments. Each battalion is led by a senior Navy or Marine Corps Officer (Commander or Lieutenant Colonel), and a mid-grade Navy or Marine Corps officer (LT/LCDR or Captain/Major) is in charge of each company. A midshipman chain of command parallels the military organization of the Brigade, with a Brigade Commander at the top, reported to by midshipman regimental, battalion and company commanders.

Strategic planning and other ad hoc initiatives generate a variety of short term committees charged with providing actionable feedback to the Superintendent, Commandant of Midshipmen, and/or Academic Dean and Provost.

Element 4.2 Written governing documents, such as a constitution, by laws, enabling legislation, charter or other similar documents that define structure; assign authority; and provide for selection.

As with *Element 4.1*, above, a variety of federal laws, DON regulations, and Naval Academy instructions define structures, assign authority, and provide for selecting appropriate governing body members. The duties of virtually all officers of the institution are defined in USNAINST 5450.3F, the U.S. Naval Academy Organization Manual (*Appendix 2-2*).

The Naval Academy Faculty Handbook (dated 1 May 1998, *Appendix 1-6*), provides guidance on the appointment of the Academic Dean and Provost, the Vice Academic Dean and Associate Deans. ACDEANINST 5450.1A, “Department Chair Selection,” (*Appendix 4-1*) provides guidance on the process governing the nomination and appointment of department chairs. ACDEANINST 5420.1M, “Academic Standing Committees” and ACDEANNOTE 5420 document committee function, membership, and current members (*Appendix 4-2*).

The Faculty Senate Charter, USNAINST 5420.33A, (*Appendix 4-3*, which includes Senate by-laws and a summary of Senate responsibilities), outlines the mission, membership, organization and selection processes of the Senate. The Bylaws of the Faculty Senate govern its administration and describe its purpose: “... to support the mission of the United States Naval Academy by providing a vehicle for dialogue between the faculty and other groups, to provide advice to the administration of the Academy, and to develop a sense of ownership in the faculty.” In pursuit of these goals, the Senate conducts regular meetings generally attended by a large majority of its membership, along with the Academic Dean, the Vice Academic Dean, the Associate Dean for Academic Affairs, and a representative of the Commandant.

The Bylaws also govern the composition of the Senate, ensuring a wide array of representation serving academic, professional, and military interests. Departmental senators may be civilian or military, but at least one of the three divisional at-large senators must be an officer. The Charter includes organizational components such as an executive committee, several standing committees, and ad hoc committees as needed.

The Senate deliberates issues ranging from the ceremonial and pro forma to the controversial, including improvement of Academy-wide communication, emeritus status qualifications, and promotion and tenure policies. The Academic Dean's regular attendance indicates how seriously the administration takes the Senate's advisory role. Nonetheless, the opportunities are there, as the Superintendent meets monthly with the Faculty Senate president and vice president to discuss matters of mutual concern.

No significant deficiencies in the Senate's composition, procedures, or practices were noted in this self-study, but its function may be somewhat hampered by an "excess of stability." That is, perhaps the recurrent re-election (every two years) of some senators over long terms of office gains us steadfast service at the sacrifice of new or fresh ideas about faculty governance.

Element 4.3 Appropriate opportunity for student input regarding decisions that affect them.

Midshipman input regarding the decisions that affect them (academic major, course and schedule selection, and career choice) is considerable; much of the input regarding the environment in which they live and work is mediated and channeled via the military chain of command, of which they become a part as soon as they arrive.

A body of regulations concerning personal conduct and honorable behavior which is enforced, in the first instance, by midshipmen themselves, holds midshipmen to the highest personal standards. Personal freedoms are narrowed for entering midshipmen, but gradually increase (more weekend liberty, or permission to park a car on the Yard) as they grow in maturity, accomplishment, and rank. Those with higher grades are generally accorded greater personal freedoms. The midshipman Brigade Commander and his staff works closely with the Commandant of Midshipmen and the Superintendent in soliciting, assessing, and acting on the midshipman input concerning their living, study, and leisure environment. Appendices 4-4, 4-5, and 4-6 describe the midshipman chain of command, the Brigade conduct system, and the midshipman Honor Concept, respectively.

Midshipmen provide input via a wide variety of surveys (Office of Institutional Research, *Appendix 4-7*). Midshipmen input is also obtained and used in academic areas; recent examples include a student "advisory board" for the Computer Science Department, an exploratory Department of Leadership, Ethics, and Law study about a "leadership" major/minor, and Chemistry Department focus groups related to creating and improving the Integrated Lab curriculum.

Midshipman selection of academic majors is largely elective (constrained only by resources and the Navy's interest in technically capable graduates—all midshipmen received their first choice of major the past two years); their selection of service at the end of the four-year curriculum is likewise largely elective, subject only to the needs of the service and their own physical qualifications. Nearly 100% of all graduates in the last five years received their first or second choice of initial service assignments (*Appendix 1-3*). The Academy offers each semester virtually all required and elective courses—in the necessary number of sections—for which the midshipmen have expressed an interest through the pre-registration process.

Element 4.4 and 4.5 A governing body capable of reflecting constituent and public interest and of an appropriate size to fulfill its responsibilities, and which includes members with sufficient expertise to assure that the body's fiduciary responsibilities can be fulfilled. A governing body not chaired by the Chief Executive Officer.

Nine of the fifteen members of the Naval Academy's governing body, the BOV, are elected officials—five members of the House of Representatives and four members of the United States Senate. The remaining members have distinguished backgrounds in national service, business, and education (2005 BOV membership, *Appendix 4-8*). The BOV meets four times a year and is well attended by both members and

primary staff members—roughly 60% attendance for principal members and nearly 100% when including primary staff members. Three BOV members are from the Maryland Congressional Delegation: Representative Steny Hoyer and Senators Barbara Mikulski and Paul Sarbanes. They, and other Congressional members, offer the Academy top level appropriation and oversight support, in addition to the extensive professional backgrounds of the non-elected members. The BOV holds quarterly meetings, three in Annapolis, one in Washington, in office spaces of the U.S. Congress.

The present chair of the BOV is General Charles A. Krulak, USMC, Retired (former Commandant of the U.S. Marine Corps and a Naval Academy graduate). The present Associate Chair is Ms. Bonnie Newman, former executive dean of the Kennedy School of Government, Harvard University. The Superintendent never serves as chair of the BOV.

Elements 4.6 A governing body that certifies to the Commission that the institution is in compliance with the eligibility requirements, accreditation standards and policies of the Commission, describes itself in identical terms to all its accrediting agencies; communicates any changes in its accrediting status; and agrees to disclose information required by the Commission to carry out its accrediting responsibilities, including levels of governing body compensation, if any.

Unlike a typical Board of Trustees that elects its members, the Naval Academy BOV is appointed by the President of the United States or his designated agent(s) and functions “to inquire into the state of morale and discipline, curriculum, instruction, physical equipment, fiscal affairs, academic methods, and other matters relating to the Naval Academy that the Board decides to consider. . . .”

It is the Naval Academy Superintendent and not the Naval Academy BOV that certifies to the Commission that the institution is in compliance with the various requirements and standards of the Middle States Association of Colleges and Schools.

Elements 4.7 A governing body that assists in generating resources needed to sustain and improve the institution.

Among USNA constituents, the BOV is an actively engaged and relevant institutional link to considerable resources and experience. However, the BOV does not directly provide financial resources as is the case with a traditional university board of trustees.

The BOV provides oversight functions, and USNA leadership actively seeks to engage and comply with the Board’s concerns. In the past decade, the BOV has been instrumental in overall reform and revision of the midshipman Honor Concept in the 1990’s. Most recently, the Board has supported the Superintendent’s major initiatives in the areas of leadership, the Honor system, and the prevention of sexual harassment and sexual misconduct. The minutes of the meetings of the USNA BOV reflect an ongoing commitment to maintaining excellence in every aspect of Academy’s performance (*Appendix, 4-9*).

In December 2003, the Board appointed three subcommittees to conduct a detailed, interactive review in the areas of academics, resources, and combat leadership (*Appendix, 4-10*). As a result of the subcommittee reviews and the deliberations of the Board, specific recommendations in each area were forwarded to the President of the United States in January 2004; each recommendation remains an active initiative among USNA constituencies.

Element 4.8 A conflict of interest policy for the governing body (and fiduciary members, if such a body exists), which addresses matters such as remuneration, contractual relationships, employment, family, financial or other interests that could pose conflicts of interest.

The Federal Advisory Committee Act (FACA) provides the umbrella guidance for the operation of the BOV; the specific rules of its operation are delineated in the “Rules of the Board of Visitors” (*Appendix 4-11*).

Element 4.9 A process for orienting new members and providing continuing updates for current members of the governing body on the institution’s mission, organization, and academic programs and objectives.

In light of the relative frequency of BOV meetings—quarterly—and the proximity to Washington for most of the members, the Academy has made a practice of integrating orientation-style topics into the quarterly agenda—for example, overviews of the academic, physical or leadership components of the Academy mission. This type of presentation is particularly appropriate when a new athletic director, Commandant of Midshipmen, Academic Dean, or Superintendent has assumed his or her duties at the Academy, and when the new incumbent is presenting to the BOV the vision for the position just assumed. As new or renovated facilities are brought on line, effort is made to provide the BOV membership with an appropriate facilities tour. The new Mitscher-Levy Jewish Chapel and Brigade Activity Center, dedicated in September 2005, was made available to a BOV visit in July 2005, for example.

Element 4.10 A procedure in place for the periodic objective assessment of the governing body in meeting stated governing body objectives.

The BOV is accountable for meeting its above-stated mission to the President of the United States, to whom it submits a report of its oversight findings once a year. Responsible for appointing members to the BOV are the President of the United States (five members), the Vice President of the United States (three), the respective chairman of the House and Senate Armed Services Committees (one member each), and the Speaker of the House of Representatives (four members).

Element 4.11 A chief executive officer, appointed by the governing body, with primary responsibility to the institution.

The Superintendent of the Naval Academy is appointed by the President of the United States, with the Advise and Consent of the United States Senate. The nomination originates with the Chief of Naval Operations, and is forwarded to the President via the Secretaries of the Navy and Defense. For oversight purposes, the Superintendent is accountable to the BOV, but the BOV does not select the Superintendent. Within the military chain of command, the Superintendent reports to the Chief of Naval Operations, the most senior uniformed officer in the Navy.

According to the U.S. Naval Academy Organization Manual (*Appendix 2-2*), the Superintendent’s responsibilities are “to serve as the senior officer at the Naval Academy, and the Annapolis Area Complex, and to develop, modify, and enforce policy to accomplish the goals and mission of the Naval Academy.”

Element 4.12 Periodic assessment of the effectiveness of institutional leadership and governance.

In addition to the oversight functions afforded by the military chain of command and the Board of Visitors, the Naval Academy and organizational units of the Academy receive periodic assessment visits by the Navy Inspector General, ABET, Middle States, American Chemical Society, and visiting committees to academic departments.

Recommendation 4-1 Announcement of BOV Meetings. Publicize dates and times of the Board open session to encourage attendance among USNA faculty and staff.

Recommendation 4-2 Faculty Senate Membership Turnover. The Faculty Senate should consider creating more turnover among the membership to provide wider representation and changing perspectives.

Recommendation 4-3 Consideration of Faculty Senate Resolutions. The Naval Academy administration should continue to weigh seriously Faculty Senate resolutions.

Recommendation 4-4 Involvement of students in decision- making. Continue to provide robust opportunities for students to provide input regarding decisions that affect them as appropriate at all levels of the institution.

STANDARD FIVE

ADMINISTRATION

The response to this standard describes how the institution's administrative structures and services facilitate learning and research/scholarship, foster quality improvement, and support the institution's organization and governance.

The Naval Academy's senior administrative positions are filled by individuals with overlapping and varying terms of service. Depending on whether they are military or civilian, individuals in these positions are nominated and selected via disparate procedure, from backgrounds that are quite different, even though oriented to, and supportive of, the duties they will assume. Those in the Academy's senior military positions will have served with distinction in high level assignments appropriate to their rank in the Navy and Marine Corps, and will be assigned to Academy duties for no more than three years (four, in the case of the Superintendent). Those in senior civilian positions will generally be career academics and are largely recruited through internal institution-wide searches; they may generally be reappointed, subject to a careful review process. In order to compensate for the complexities of Academy's administrative processes, the specialized requirements of academic administration, and the regular turnover of senior administrative staff, recommendations regarding this standard include complementary training and assessment schedules, and mutually supportive staff assignments and organizational structures.

Element 5.1 A chief executive officer whose primary responsibility is to lead the institution toward the achievement of its goals and with responsibility for administration of the institution.

The sole responsibility of the Superintendent, outlined in the U.S. Naval Academy Organizational Manual (*Appendix 2-2*), is "to serve as the senior officer at the Naval Academy, and the Annapolis Area Complex, and to develop, modify, and enforce policy to accomplish the goals and mission of the Naval Academy."

Element 5.2 A chief executive with the combination of academic background, professional training, and/or other qualities appropriate to the institution's mission.

The position of Superintendent is a three-star military billet (that is, limited to Vice Admiral rank); therefore, a Rear Admiral (two stars), who would be promoted to Vice Admiral, or a currently servicing Vice Admiral are the most likely to be chosen. In selecting the Superintendent, the Chief of Naval Operations (CNO) chooses from among all officers at the rank of Admiral and then nominates the candidate to the Secretary of the Navy, the Secretary of Defense, and the President. If the President approves the choice, the nomination is forwarded to the U. S. Senate for confirmation. In practice, operational constraints, timing of rotation, and other matters pertain to the decision. (The most recent three Superintendents were Rear Admirals when they were nominated and were promoted upon being confirmed by the U. S. Senate.) There is no Board of Visitor or faculty input into the selection process.

Qualifications include being a member of a Navy warfare community or a Marine. While there is no requirement to choose a Naval Academy graduate, most Superintendents have been graduates and several recent Superintendents have had prior commissioned service at the Naval Academy.

Although there are no academic requirements such as an advanced degree or experience in administering higher education institutions, by virtue of their military background, including service at the senior executive levels of the Sea Services, Superintendents typically have had extensive administrative, supervisory, and budgetary experience overseeing large programs and components of the operating forces of the Navy and Marine Corps. The current Superintendent was President of the Naval War College before being assigned as Superintendent of the Naval Academy in 2003.

Element 5.3 Administrative leaders with appropriate skills, degrees, and training to carry out their responsibilities and functions.

The senior administrative leaders at the Naval Academy are a mix of military and civilian personnel. The military officers are assigned to the Naval Academy subject to the review of the Superintendent and, for those under their purview, the Commandant of Midshipmen and the Academic Dean and Provost. The military personnel are selected based on distinguished careers at senior levels in the nation's armed services and their suitability to serve as role models and mentors for midshipmen in addition to providing prudent direction to the Academy's academic, athletic, and professional development programs. Those military officers serving in leadership positions in the academic program will have at least a master's degree. The senior civilian personnel such as the Academic Dean and Provost, the Vice Dean, Associate Deans, Athletic Director, Deputy for Finance, and Deputy for Information Technology Services are recruited through nationwide or institution-wide searches. Below are summaries of senior academic positions, including qualifications, selection, and assessment. Selection of the Academic Dean, the Vice Academic Dean, and Associate Deans is described in the Faculty Handbook (*Appendix I-6*). All senior civilian academic administrators hold the PhD degree.

The Office of the Academic Dean and Provost.

The Secretary of the Navy appoints the Academic Dean and Provost on the recommendation of the Superintendent of the Naval Academy and the CNO. The initial term runs four years, accompanied by rigorous assessment, after which the Dean can be reappointed for not more than five years. This reappointment can be renewed, with no fixed limit to the number of reappointments. By law, the faculty have input into the hiring of the Academic Dean. The successful candidate can come from either inside or outside USNA, but the search must be nationwide. The Superintendent evaluates the performance of the Academic Dean, and by law the faculty must have input into reappointment decisions.

Vice and Associate Deans.

The Academic Dean appoints the Vice Academic Dean and the Associate Deans, choosing successful candidates from among the USNA faculty. In a recent hiring cycle to select a new Vice Academic Dean, candidates were evaluated by a search committee and then appeared before the Faculty Senate to take questions from USNA faculty and staff. General agreement suggests that it is better to fill these positions with in-house candidates to reduce the disruption and length of the hiring process, to avoid the expense of national searches, and to promote proven performers who offer continuity and thorough understanding of the Academy's unique culture. The Academic Dean evaluates the Vice Academic Dean and the Associate Deans through yearly performance reviews using the standard Performance Appraisal Reporting System (PARS). All new appointments at the Associate Dean and Vice Academic Dean level are for a period of four years, and each successive appointment is renewable.

Division Directors.

The four division directors at the Naval Academy serve in a capacity roughly equivalent to that of college deans at other universities. The four division directors at the Naval Academy serve in a capacity roughly equivalent to that of college deans at other universities. The Director of the Division of Engineering and Weapons, for example, has a job somewhat analogous to that of a Dean of Engineering in other schools. The

key difference is that division directors are senior military officers, not professional academics. Division directors' military experience and leadership skills make them able, even inspiring, administrators. However, they can be at a disadvantage in supervising academic matters such as accreditation, faculty hiring and development, curriculum, and research.

In the collective view of several department chairs interviewed, division directors can be heavily overloaded, often filling not just their administrative roles but also teaching a course or serving as an officer representative to a sports team or both. In addition, they all serve as members of the Admissions Board—a heavy time commitment—and have significant other responsibilities such as the Academic Board or even military obligations beyond academics. The Division Director of the Division of Humanities and Social Sciences (HUM/SS), for example, directs five academic departments; as the senior Marine officer at USNA, this same individual is responsible for all Marine Corps activities both at the Naval Academy and across the river at the Naval Station. Division directors often appear before the Naval Academy Promotion and Tenure Committee on behalf of promotion candidates from their divisions, but the faculty committee naturally tends to rely more heavily on the recommendations of the department chairs, though department chairs cannot completely substitute for credible administrative leadership at the division level.

Annual evaluations of division directors, guided by a systematic Report on the Fitness of Officers (FITREP), and signed by the Superintendent, have significance in military promotion boards, but the academic leadership of most division directors may appear to be only indirectly assessed.

Department Chairs.

The selection of department chairs at the Naval Academy follows a more traditional academic model. Each department selects its own chair candidate by a process determined in that department; their nominee is proposed to the Academic Dean, who ordinarily accepts the department's choice for a two-year term with an option to renew for a further two years. The nomination process for academic department chairs is described in Academic Dean and Provost Instruction 5450.1A (*Appendix 4-1*). Most department chairs interviewed have little or no formal training for the position, and reported that it takes about a year to grasp the complexities of the job. The chairs of the Oceanography Department; the Department of Leadership, Ethics, and Law; and the Department of Seamanship and Navigation traditionally have been military officers. Division directors annually evaluate department chairs under their purview, using the PARS form for civilians or the military FITREP system for officer chairs.

Element 5.4 Qualified staffing appropriate to the goals, type, size and complexity of the institution.

Since its founding the Naval Academy has had roughly a 50/50 ratio of civilian and military faculty, though this ratio is now closer to 60% civilian and 40% military. This mixture permeates much of the Naval Academy organization. All career academic faculty hold the PhD degree. The officer faculty members are assigned based on prior outstanding service in the Fleet or Fleet Marine Force. Officers assigned as officer instructors in academic departments will additionally hold the master's degree or equivalent.

The Navy and Marine Corps officer placement systems are responsible for nominating personnel assignments to the Academy, subject to the Academy's review and acceptance of the nomination. Civilians are recruited in accordance with Title 5 and Title 10, U.S.C. Title 5 incorporates procedure for recruiting, hiring, promoting, retaining, and separating personnel in technical, clerical, and administrative positions in the Federal Civil Service. Title 10 authority, to hire civilian faculty, (Title 10, C, III, 603, §6952—*Appendix 5-1*) is delegated to the Superintendent by the Secretary of the Navy. The Faculty Handbook (*Appendix 1-6*) and Academic Dean Instruction 12300.1, Procedures for Appointment to the Faculty (*Appendix 5-2*), prescribe a national search for all tenure-track positions.

The Naval Academy aspires to hiring, promoting, and retaining the highest quality faculty and staff appropriate to its mission. Diminishing numbers of Navy officers have appropriate postgraduate degrees required for duty as officer instructors in academic departments. Over the last decade, the Naval Academy has worked closely with the Chief of Naval Personnel to ensure that officers qualified both academically and professionally are assigned to the Naval Academy. As a result of these efforts, the Permanent Military Professor program (latest message draft, **Appendix 5-3**), the Graduate Education + Teaching program (latest message draft, **Appendix 5-4**), and Navy reserve recall initiatives (latest announcement, **Appendix 5-5**) have been launched to ensure a robust cohort of qualified officer instructors in the Academy's academic classrooms.

Element 5.5 Adequate information and decision making systems to support the work of administrative leaders.

The Naval Academy's Office of Institutional Research, Planning, and Assessment, established in 1993, has been a source of institutional information to support the Academy's senior leaders in the accomplishment of their duties. The 2005 USNA Strategic Plan calls for strengthening institution-wide assessment processes (**Appendix 2-4**).

Decision making authorities and paths, outlined in the USNA response to **Standard Two**, provide efficient processes for effective and prompt data-based decision making.

Element 5.6 Clear documentation of the lines of organization and authority.

U.S. Naval Academy Instruction 5450.3F, "United States Naval Academy Organization Manual," (**Appendix 2-2**) outlines responsibilities, defines command relationships and reporting chains, and creates clear expectations for all units and senior officials and the Academy. Internally, the Academy is arrayed around large organizational units, called "Cost Centers", a term with distinct fiscal and fiduciary connotations. All Cost Center heads report directly to the Superintendent, as a part of his Senior Leadership Team (SLT), listed in **Element 2.1**, above. The SLT constitutes the Superintendent's most senior advisers for planning and resource allocation.

Element 5.7 Periodic assessment of the effectiveness of administrative structures and services.

A variety of vehicles are available for the review of the effectiveness of administrative structures and services. The charter of the Naval Academy Board of Visitors broadly encompasses such a review (**Appendix 2-9**). Periodic (decennial) readiness inspections of the Naval Academy by the Navy's Inspector General also encompass such a review (Guiding Documents for Inspections of Echelon Two commands <http://www.ig.navy.mil/Downloads and Publications.htm>). The 2005 Strategic Plan includes a review of Business Processes and a comprehensive assessment plan for the institution (**Appendix 2-4**).

Recommendation 5-1 Civilian Associate Division Directors. *Consider appointment of a full Professor as Associate Director in the Divisions of Math and Science, Engineering and Weapons, and Humanities and Social Sciences to serve a substantial term advising and assisting the Division Director in the academic aspects of each of these divisions. A candidate for this position should have served as a Department Chair and have a long history of service to the Academy. The role of the Associate Director would be similar to that of a college dean at other schools. The military division director could then deal with most administrative and leadership duties, while relying on the associate director for academic concerns and tasks.*

Recommendation 5-2 Chair Training. *Provide new Department Chairs with useful training, before or shortly after they assume their new duties, in administrative matters likely to confront them. Such a program would be an expansion of the orientation sessions that the Associate Dean for Faculty already provides to new Department Chairs.*

Recommendation 5-3 Ongoing Institutional Assessment Implementation. *The Naval Academy should ensure the implementation of the institutional assessment program envisioned in the 2005 Strategic Plan, with an emphasis on data collection and data analysis. The assessment program should be implemented **at the same time** as the development and implementation of the Strategic Plan goals, objectives, and tasks, that is, sooner than the 2011 date given in the latest draft of the plan.*

Recommendation 5-4 Institutional Assessment Evaluation Cycles. *The Naval Academy should consider regularly scheduled, rather than ongoing, **evaluation of the overall institutional assessment process**. (In the draft Strategic Plan, institutional assessment would appear to be a continuous process, which seems more appropriate at the program level than at the institutional level, as noted in recommendation 5-3.) A five-year cycle would seem adequate, and there may be efficiencies to be gained by synchronizing overall institutional assessment with either the Middle States five-year interval, the decennial Navy Inspector General visits, and/or the five-year lifespan envisioned for the Strategic Plan.*

STANDARD SIX

INTEGRITY

The response to this standard describes how in the conduct of its programs and activities involving the public and the constituencies it serves, the institution demonstrates adherence to ethical standards and its own stated policies, providing support to academic and intellectual freedom.

*Nowhere more than in the response to this standard is it clear that the Naval Academy is part of a larger organization, with which it shares a common ethos of fairness to all members of the Academy community, transparency and responsiveness to outsiders, and a bedrock commitment to the spirit and letter of law and regulation, and to doing the right thing. Moreover, as a training ground for leaders who will be expected to embody, enforce, and project these values during their careers in service to the nation, it is essential that this ethos of integrity be presented to midshipmen both as precept and example. The Honor Concept, cited in the response to **Standard Four**, above, and the Bedrock Standards of Federal Service (**Appendix 6-1**) clearly articulate the precept for all members of the Naval Academy community. Nonetheless, with the arrival of over 1,200 new students every year, and a significant annual turnover in faculty and staff, the Academy faces recurring challenges in meeting the expectations of this standard; particularly in light of this circumstance, the recommendations at the end of this section identify areas of immediate interest for the institution.*

Element 6.1 Fair and impartial processes, published and widely available, to address student grievances, such as alleged violations of institutional policies.

Several grievance processes are available to midshipmen. For grievances against faculty members, ACDEANINST 1531.63B, “Complaints Against Faculty Members” (**Appendix 6-2**) describes the procedure to be followed. For routine non-academic complaints the military chain of command is available to the midshipman. A separate procedure in the U.S. Naval Academy Instruction 5354.5, “Prevention and Deterrence of Sexual Harassment, Misconduct and Assault,” prescribes the grievance procedure and institutional expectations regarding sexual harassment or assault (**Appendix 6-3**).

Element 6.2 Fair and impartial practices in the hiring, evaluation, and dismissal of employees.

The Naval Academy is subject to federal law and regulation regarding the hiring, evaluation, and dismissal of employees. The Naval Academy also subscribes to the guidelines of the American Association of University Professors with respect to the awarding of academic tenure, outlined in the Naval Academy Faculty Handbook (**Appendix 1-6**). All announcements for tenure-track faculty positions are advertised nation-wide, as well as on the Naval Academy Human Resources home page, and include the following words: “The U.S. Naval Academy is an Affirmative Action/Equal Employment Opportunity employer and provides reasonable accommodations to applicants with disabilities. Women and minorities are encouraged to apply.” All civilian employees are evaluated in writing at least annually, via the Personnel Appraisal Review System (**Appendix 6-4**). The current evaluation system—soon to be supplanted by the National Defense Personnel System for non-faculty personnel—provides only for a summary Pass/Fail grade. A failing grade under the current system prompts a Performance Improvement Plan (PIP), which, if not successful, can be the basis for dismissal from government service. Historically, the performance of virtually all Naval Academy faculty and staff has been assessed as Passing. The Academy’s Deputy Equal Employment Opportunity Officer, the Navy’s Equal Employment Opportunity Office, and the federal-level Merit System Protection Board are available to provide procedural oversight and appeal opportunity for personnel who seek assistance as a result of hiring, evaluation, or dismissal processes and actions (governing Human Resources regulations for DEEOO & MSPB, **Appendix 6-5**).

Element 6.3 Sound ethical practices and respect for individuals through its teaching, scholarship, research, service, and administrative practice, including the avoidance of conflict of interest, or the appearance of such conflict in all its activities and among all its constituents.

A variety of instructions guide the institution, its faculty, staff, and midshipmen regarding ethical practices and respect for individuals. At the highest level, the Joint Ethics Regulations provide the most comprehensive guidance for all members of the Naval Academy community, military and civilian. The Joint Ethics Regulations (JER) are contained within the Code of Federal Regulations (CFR), at 5 CFR 2635 (on-line reference, *Appendix 6-6*). The JER generally provides that federal employees may not enter into a conflict of interest with their federal responsibilities or use their government position for private gain. The Naval Academy Staff Judge Advocate is the ethics counselor for the Command with respect to the Joint Ethics Regulations. Specific conflict of interest instructions guide the Board of Visitors (*Appendix 4-11*), and the faculty (ACDEANINST 5370.3, *Appendix 6-7*), in addition to the JER and the Bedrock Standards for Federal Service (*Appendix 6-1*). A separate instruction, on the adjudication procedures for investigating concerns regarding integrity in research and scholarship, is contained in ACDEANINST 3920.3 (*Appendix 6-8*).

Element 6.4 Equitable and appropriately consistent treatment of constituencies, as evident in such areas as student discipline, student evaluation, grievance procedures, faculty promotion, tenure, retention and compensation, administrative review, curricular improvement, and institutional governance and management.

Student discipline and evaluation of student conduct is under the direction of the chain of command within the Office of the Commandant of Midshipmen. Student conduct rules and regulation are defined by the formal instructions and notices of the Commandant of Midshipmen, which also contain relevant grievance procedures (*Appendix 6-9*). Faculty members are responsible for students' academic evaluation. Student grievances regarding their treatment by faculty members are governed by the procedure described above (*Appendix 6-2*).

The hiring effort in pursuit of faculty diversity has achieved good results but not total success (see "Civilian Faculty Makeup," *Appendix 6-10*), as well as another representation of minorities and women in the civilian faculty profile in *Standard Ten* on "Faculty"). In that table, promotion data represented by gender show that the promotion rate of women currently exceeds that of men. Consultation with the Associate Dean for Faculty in 2004, with pay step data for the past fifteen years examined with names deleted, showed no discernible gender distinction; individuals advanced rapidly, moderately, slowly, or not, regardless of gender. Otherwise, because the number of minority faculty members is still relatively low, it was not possible to draw a valid conclusion about the rate of pay steps awarded to minorities as compared to non-minorities.

Performance-related grievances are those arising from the annual faculty Performance Rating Report. The applicable instruction, "Performance Appraisal of Civilian Faculty Members," (*Appendix 6-4*) provides for the meeting of the Civilian Faculty Performance Board to evaluate a grievance and to report to the Academic Dean and Provost for final action. This instruction and others governing faculty hiring, evaluation, and promotion are available on the Dean's web site: <http://www.usna.edu/AcDean/regulations.html>. General grievances by and against faculty members are initially addressed at the department level. If no satisfactory conclusion is possible at that level, they are forwarded to the division level. If necessary, the Division Director contacts the President of the Faculty Senate, who convenes an ad hoc committee to review the grievance. The committee report is normally made to the Division Director, who may use it as a basis for any recommendation to the Academic Dean and Provost, particularly if disciplinary action is proposed. A similar procedure is followed for issues of integrity in research and scholarly activity (*Appendix 6-8*). The grievance resolution procedure when a midshipman is concerned (*Appendix 6-9*) is available on the Academic Dean and Provost's web site.

The USNA Director of Human Resources is responsible for placing employment advertisements with the same diversity wording that appears in faculty advertisements on its website:

<http://www.usna.edu/JobInfo/>. However, data pertaining to hiring, promotion, and grievance for the academic support staff are not readily available. In addition, the Human Resources Department does not maintain employment records by race and gender.

Two instructions, Administrative Grievance System and Disciplinary Actions (*Appendix 6-11*) are readily available to the support staff. Few grievances reach Human Resources, and those that do are usually in the form of a protest of disciplinary actions.

The Director of the Technical Support Department, which provides assistance in the engineering and science laboratories, indicates that because women and minorities have not traditionally pursued technical training as frequently as white males, there are few women who have been promoted to the highest grade. Although grievance procedures are posted, grievances are rare among the academic support staff. As mentioned in *Element 6.2*, above, the Academy's DEEOO, the Department of the Navy Equal Employment Officer, and the federal Merit Systems Protection Board—and Members of Congress—are available to the employee or applicant if he or she believes to have been unfairly treated.

Element 6.5 A climate of academic inquiry and engagement supported by widely disseminated policies regarding academic and intellectual freedom.

Academic freedom is mandatory in the academic pursuit of truth. The Naval Academy subscribes to the major tenets of the American Association of University Professors (AAUP) guidelines (1940) on academic freedom, apparently excluding only a section allowing institutions to limit freedom on certain issues when they are clearly outlined at the time of hiring. By reserving Academy support for only “certain provisions,” the USNA *Faculty Handbook* may incorrectly imply an unintended tone of hesitancy. It would be better to say “we support the 1940 AAUP guidelines with the 1970 interpretive comments.”

The high visibility of the Academy, given its national status and physical location, increases institutional sensitivity, especially as it applies to faculty exercising their citizen rights and faculty commenting on military and Academy issues. The current Academic Dean and Provost, as the prime advocate for the faculty, has taken a strong public stand supporting academic freedom. The Naval Academy does not require faculty to submit professional publications for review, although outside funding agencies may use national security or proprietary concerns to limit the right of faculty to publish results emanating from such grants. Faculty members are cautioned that classified research cannot be used to strengthen their case in promotion and pay deliberations.

While academic freedom in the classroom and in one's professional activity seems to be alive and well at the Academy, the rights of faculty as citizens can be a source of controversy. For example, in 1996, an untenured Assistant Professor, after feeling ignored in his effort to voice concerns about a broad range of Academy problems through his chain of command, wrote an article later published in the *Washington Post*. The then-current Academy administration called him “disloyal” and a “traitor”, while “relieving” him of his teaching duties. After negative publicity and a strong appeal from the AAUP, he was returned to the classroom and tasked by his superiors to write a report spelling out how to fix the problems he had identified. In a later, similar situation, the administration acknowledged that academic institutions are meant to air conflicting opinions.

More recently, an English Professor wrote an opinion piece critical of Academy admissions policy. Appearing in a regular column entitled “Nobody asked me but . . .” in the U. S. Naval Institute's magazine *Proceedings* (February 2005), the professor's article, “The Academy Can Do Better,” suggested that USNA could build a stronger incoming class if it used different criteria. The piece generated quite a lively and

mixed response from midshipmen, faculty, and alumni. The Superintendent then wrote the Professor a memorandum, which he sent down the chain of command, recognizing the Professor's academic freedom and right to publish but questioning his teamwork and personal responsibility for not first addressing the issue in-house. Subsequently, the professor wrote a letter of reply to the Superintendent, defending what he had done and wondering if he had received a warning. The article and the controversy arising from it garnered interest from the press and from CNN, which ran a brief television spot on the events. The issue seems to have been resolved when the Superintendent, asked directly in the CNN piece if the professor were in trouble, answered, "Not at all," and the Dean told the professor that there would be no retribution.

A query of the faculty during the writing of this report—but before this most recent incident—indicated that actual or potential infringements of academic freedom are not a high priority concern among them. Some pointed out an informal "chilling effect," wherein faculty anticipate potential problems and "censor" themselves into curtailing the full airing of issues in the classroom or in their personal civic participation. Specific issues associated with academic freedom have emerged from situations where values conflict. For example, one case involved the use of a movie in a language course that one faculty member challenged as inducing a hostile environment in violation of Navy equal opportunity regulations; other faculty members in the same department felt the film was an appropriate educational tool. A Faculty Senate Ad Hoc Committee examined this issue and found the film to be appropriate. This committee also recommended to the faculty several guidelines for voluntary use when they anticipate using potentially troublesome material.

Current policy encourages faculty to go through the chain of command in raising institutional concerns, both as an effective strategy and as a matter of courtesy, rather than contacting outside media precipitously. Nonetheless, reliance on the chain of command should not delay consideration of an issue. The Public Affairs Office encourages faculty to work through them when dealing with the media on Academy-related topics. Whether acting professionally or as a citizen, Academy personnel are expected to indicate clearly that they are expressing personal views, not those of the institution.

Element 6.6 An institutional commitment to principles of protecting intellectual property rights.

The Naval Academy encourages its faculty to conduct research and to publish books and articles in peer-reviewed journals, to expand their knowledge, to forward the cause of learning, and to enhance the prestige of the institution. Proper guidance should be given to faculty members to help them protect their intellectual property rights in their publishing efforts. By the same token, the Naval Academy must show respect for the intellectual property rights of others. Federal law allows fair, limited use of copyrighted material for educational purposes; even so, such a privilege must be carefully controlled. Institutional controls should be in place to prevent the intentional or accidental misuse of copyrighted materials, and both faculty and students should be trained and monitored on the proper scope of Fair Use Doctrine. Controls should be in place to prevent misuse of information technology services (computers, intranets, media centers, printers, etc.) for the purposes of obtaining entertainment media without proper compensation to the owners of copyrights.

The Librarian and Associate Dean for Information oversees the application of the Fair Use Doctrine at the Naval Academy. The Librarian relies on the National Education Association's Fair Use Guidelines for Educators (*Appendix 6-12*) and the National Association of College and University Attorneys' A Guide to Copyright Issues in Higher Education (*Appendix 6-13*). Faculty and student use of copyrighted material is governed by a Naval Academy instruction, (USNAINST 5870.1A, *Appendix 6-14*) which properly applies federal law in evaluating whether a particular use of copyrighted material meets fair use guidelines. The Associate Dean for Information provides training for new faculty members during the second phase of the Faculty Indoctrination program; these training materials are included in *Appendix 6-15*. All faculty members have access to photocopiers within their departments, so proper use of photocopied printed materials is a matter of training and self-discipline. Students have access to photocopiers within the library

and through the divisional offices. Nonetheless, no reminders regarding fair use limitations are posted on photocopiers. Violations of copyrighted digital images, music, and video segments could occur within the Multimedia Support Center (MSC), so the MSC staff ensures that all customers complete fair use evaluation forms, but no warnings are given to library customers to avoid the unlawful replication of copyrighted materials such as DVDs.

Faculty and midshipman use of computers is monitored by the Information Technology Department in Ward Hall. Since all computers on the Naval Academy are government assets, they are governed by Department of Defense (DOD) regulations regarding the proper use of computers and Internet access. DOD places entire Internet Protocol (IP) ports off-limits unless there is an identified, authorized use for such ports. Internet addresses with impermissible content such as pornography or racist materials are also made inaccessible from Naval Academy computers.

In November 2002, approximately 100 midshipmen were identified as using excessive bandwidth by abusing peer-to-peer (computer-to-computer) privileges and illegally downloading copyrighted materials from the Internet. The Information Technology Department has since increased the procedural controls and training given to all midshipmen to prevent such abuses. File size restrictions on peer-to-peer computer transfers, such as electronic mail transfers, have been implemented. The midshipmen involved in the November 2002 incident were disciplined. The Recording Institute Association of America (RIAA) subsequently commended the Naval Academy for its exceptional efforts in this arena.

Student groups making use of copyrighted materials for entertainment purposes must respect intellectual property proprietary interests. The Naval Academy Drama Club (The Masqueraders), for example, ensures that it purchases only scripts that honor and pay royalties on copyrighted materials.

As part of its faculty professional development program, the Academy supports research with grants. Other faculty members may independently conduct research. In either case, scholars from both groups publish results and sometimes receive royalties for the sale of such publications. As federal employees, some activities of faculty members are governed by the Joint Ethics Regulations (JER), contained within the CFR, at 5 CFR 2635: the JER generally provide that federal employees may not enter into a conflict of interest with their federal responsibilities or use their government position for private gain. A copy of the applicable portions of the JER is included in *Appendix 6-6*.

The Naval Academy apparently has reasonable measures to monitor the use of copyrighted materials for educational use by its faculty and student body and has already taken action to prevent its student body from misusing institutional information technology resources for entertainment purposes.

Element 6.7 A climate that fosters respect among students, faculty, staff, and administration for a range of backgrounds, ideas, and perspectives.

Recent climate surveys among midshipmen and faculty indicate that the Academy does foster a climate of respect among students, faculty, staff, and administration; these surveys include, for example, the 2003 Higher Education Research Institute (HERI) survey (*Appendix 6-16*), climate surveys conducted by the USNA Office of Institutional Research, Planning and Assessment (*Appendix 4-7*), and the August 2005 Department of Defense Committee report (*Appendix 6-17*). Based on that report, the Superintendent addressed the Brigade of Midshipmen on 19 October 2005 to reaffirm the Academy's commitment to a climate of mutual respect (*Appendix 6-18*).

The 2005-2006 Princeton Review, conducted on less scientific foundations, placed the Naval Academy among the top twenty institutions nationwide based on the "free and easy interaction among students of different ethnic backgrounds" (*Appendix 6-19*).

Element 6.8 Honesty and diversity in public relations announcements, advertisements, and recruiting and admissions materials.

The integrity of an institution manifests itself as honesty as perceived by its constituents, including the general public, media, and prospective applicants. Further, such an institution responds honestly to public inquiries, fostering open and honest debate among its faculty, student body, and the general public about its policies and decision-making processes. The Naval Academy's Public Affairs Office (PAO) issues official news releases and responds to media inquiries. The Naval Academy Admissions Office corresponds with prospective student applicants; indeed, field representatives, called Blue and Gold Officers, interview many prospective candidates. In addition, the Naval Academy Athletic Association (NAAA), a non-federal entity, recruits promising athletic candidates for possible admission to the Naval Academy. Each of these avenues of information comes under scrutiny for integrity in public affairs.

The Academy's Administration Officer manages the Freedom of Information Program at the Naval Academy with legal oversight by the Superintendent's Staff Judge Advocate. The federal Freedom of Information Act (FOIA) governs all public requests for information. At the Naval Academy, specific FOIA requirements are governed by USNAINST 5720.5A (*Appendix 6-20*). The results of an interview with the Naval Academy's Assistant Staff Judge Advocate are included in *Appendix 6-21*, as are sample responses to FOIA inquiries (*Appendix 6-22*). The Naval Academy appears to respond diligently and honestly to outside inquiries for information within the bounds set by federal law.

The Naval Academy's PAO coordinates official news releases and responses to media inquiries. DOD and Department of the Navy regulations govern PAO oversight of public affairs, including the DOD Principles of Information (*Appendix 6-23*) and the Navy's Public Affairs regulation (SECNAVINST 5720.44A, *Appendix 6-24*). The Naval Academy's PAO has condensed higher guidance into a Naval Academy instruction governing its policies and practices (USNAINST 5720.3E, *Appendix 6-25*). By connecting the media with informed staff and faculty, the PAO tries to ensure that media stories about the Naval Academy contain a balanced perspective. At times, there can be tension between promotion of a positive image of the Academy and an individual, albeit expert, opinion. In such instances, the Academy seeks a middle ground that preserves both the academic freedom of the individual and the public perspective on the institution.

Another guardian of institutional integrity is the Dean of Admissions, who oversees all aspects of the admissions process. Entry into the Naval Academy is different from admission to a civilian college or university. Prospective midshipmen must qualify academically, but they must also meet certain physical fitness standards and pass a comprehensive physical medical examination for commissioning in the armed services. Further, most applicants must also obtain a Congressional nomination. The Academy screens candidates using the "whole person" concept, seeking individuals with exceptional academic records who have also been active in athletics, student government, or other extracurricular activities, as well as community service. In addition to the data available in print, and on-line, the Academy has a wide net of part- and full-time Academy information officers to ensure that all information provided to candidates is complete and correct. The Appendix to this report includes a brief on the Admissions process (*Appendix 6-26*). See also the institutional response to *Standard Eight*, below, which covers the admissions process.

Element 6.9 and 6.10 Reasonable, continuing student access to paper or electronic catalogues. When catalogues are available only electronically, the institution's web page provides a guide or index to catalog information for each catalog available electronically.

Midshipmen have routine on-line access to catalogue information and to their academic matrix requirements for graduation (*Appendix 6-27*).

Element 6.10 does not apply to the Naval Academy, which publishes annual paper catalogues, in addition to on-line information.

Element 6.11 Availability of factual information about the institution, such as the Middle States Commission on Higher Education annual data reporting, the self-study or periodic review report, the team report, and the Commission's action, accurately reported and made publicly available to the institution's community.

Considerable factual information about the Academy is available on-line or in the Academy catalogue; detailed information, such as previous self-studies, periodic review reports, and so forth, are available in the Naval Academy library.

Element 6.12 Institutional information provided in a manner that ensures student and public access, such as print, electronic, or video presentation.

The Naval Academy provides a wide variety of information on-line, and in print and video formats. These include the www.usna.edu website, the Naval Academy Catalogue (*Appendix 6-28*) and related candidate information, and the video/DVD, "To Lead and to Serve."

Element 6.13 Fulfillment of all applicable standards and reporting and other requirements of the Commission.

The Naval Academy has been successfully reaccredited after every accreditation review to date.

Element 6.14 Periodic assessment of the integrity evidenced in institutional policies, processes, practices, and the manner in which these are implemented.

The Department of the Navy Inspector General evaluates the Academy every ten years per [http://www.ig.navy.mil/Inspections\(Schedule\).htm](http://www.ig.navy.mil/Inspections(Schedule).htm). A review of the integrity of institutional policies, processes, practices, and the manner in which these are implemented is a part of that review. For details, see [http://www.ig.navy.mil/Inspections Division.htm](http://www.ig.navy.mil/InspectionsDivision.htm). Such an Inspector General assessment is tentatively scheduled for September 2006.

Recommendation 6-1 Sustaining a diverse faculty and staff. *Being able to sustain a diverse faculty and staff requires continuous active effort by all members of the Naval Academy chain-of-command. USNA should continue its active recruitment of a diverse work force to support the Academy of the future.*

Recommendation 6-2 USNA Faculty Handbook statement on Academic Freedom. *Rewrite the paragraph on Academic Freedom and Responsibilities in the Faculty Handbook. It should say simply: "The Academy subscribes to the '1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.'"*

Recommendation 6-3 Training on Fair Use. *The importance of Training on Fair Use of copyrighted material should be emphasized—especially the attendance of faculty and staff at these meetings.*

Recommendation 6-4 Warning signs regarding unauthorized copying and use—copying machines. *Photocopiers in the Nimitz Library should have warning signs adjacent to them regarding the unauthorized copying and use of printed copyrighted materials.*

Recommendation 6-5 Warning signs regarding unauthorized copying and use—DVDs and related media. *Nimitz Library customers checking out DVDs and similar media should have to sign a warning form, cautioning them from making unauthorized copies of copyrighted materials.*

STANDARD SEVEN

INSTITUTIONAL ASSESSMENT

The response to this standard describes how the institution has developed and implemented an assessment plan and process that evaluates its overall effectiveness in achieving the focus of standards one through eight.

*Though in many regards quite robust, the Academy's response to institutional assessment is still piecemeal and incumbent-dependent. The Academy's academic program is further along in developing comprehensive assessment processes, but even these are not uniformly implemented across all academic programs (see response to **Standard Fourteen**). The current (2005) Strategic Plan embraces assessment strategies for other-than-academic portions of the institution; yet even here the Academy remains dependent upon the judgment and focus of its senior leadership. Absent a full institutionalization of assessment processes across the entire Academy, broad adoption of assessment strategies at the Naval Academy are still largely dependent on the currently serving Superintendent.*

Element 7.1 The institution is characterized by a written overall assessment plan.

As noted in the Academy's response to **Standards One, Two, and Three**, the Naval Academy has no single overall institutional assessment plan. The response to **Standard Fourteen** will describe a comprehensive Assessment Plan for Student Learning. This chapter summarizes the Academy's assessment processes that were outlined in response to Standards One through Six.

There are clear expectations for the Academy with respect to compliance with best educational practices, including assessment. Wholly contained within the federal Departments of the Navy and Defense, the Academy is embedded in a formal, vertically-integrated organization of accountability and fiduciary responsibility that is public and well-defined, with clear expectations of the Academy, its graduates, and its leadership. Accrediting, standard-setting, and educational umbrella organizations, such as ABET, the American Chemical Society, the National Collegiate Athletic Association, and Middle States, place clear requirements on the Academy to gather data, assess programs, and apply conclusions toward the betterment of our program.

Partly in response to its demands of such diffuse constituents, the Naval Academy established an Office of Institutional Research, Assessment, and Planning in December 1992. This office has the responsibility to gather and store data, initiate and coordinate institutional assessment activities; provide coordinated responses, support decision makers with data and assessment, and track institutional replies to constituents.

The best single document integrating assessment processes across the institution has now (September 2005) been adopted for action: the 2005 Strategic Plan, comprising twelve separate components: Admissions, Officer Development Systems, Professional Training, Security and Counter-Terrorism, Funding & Requirements, Physical Mission, Academics, Human Capital Investment, Business Processes, Facilities, Assessment, and Midshipman Life and Development (**Appendix 2-4**). These components were selected to improve the accomplishment, efficiency, and effectiveness of the USNA mission. Each component of the 2005 Strategic Plan has a project leader, goals, objectives, and tasks with a link to resources and a timeline. There is an explicit expectation for ongoing assessment of each component and for continuous improvement based on assessment results.

Element 7.1(a) A foundation in the institution’s mission, goals and objectives.

The Academy response to *Element 1.1*, above, makes clear the closely linked relationship between the Academy’s mission, goals, and objectives and the ongoing institutional assessment processes, which are, in turn, integrated into Academy planning and resource decision making.

Element 7.1(b) Periodic assessment of institutional effectiveness that addresses the total range of educational offerings, services, and processes, including planning, resource allocation, and institutional renewal processes; institutional resources, leadership and governance; administration; institutional integrity.

As noted above, the Academy’s current assessment processes were outlined in response to Standards One through Six. Therefore, see the institutional responses to *Element 1.2*, *Element 2.7*, *Element 3.10*, *Element 4.12*, *Element 5.7*, and *Element 6.14*, above. The responses to these fundamental elements include descriptions of both external and internal assessment activities.

The 2005 Strategic Plan includes the periodic assessment of that portion of these areas for which the Academy itself is responsible. Leadership and governance issues within the Navy chain of command, but beyond the purview of the Naval Academy Superintendent, are not included; these are described in relation to previous standards, where appropriate.

Element 7.1(c) Support and collaboration of faculty and administration.

The institutional response to *Element 2.2*, above, documents the collaborative role of faculty and administration in this regard. A prominent recent example of careful assessment processes that generated outcomes applied in resource-intensive decisions, with striking outcomes, are the renovated buildings of the Academic Facilities Master Plan. The on-going Curriculum Review has also involved faculty from each of the academic departments and divisions.

Element 7.1(d) and (e) Systematic and thorough use of multiple qualitative and/or quantitative measures, which maximize the use of existing data and information. Evaluative approaches that yield results that are useful in institutional planning, resource allocation, and renewal.

The institutional response to *Element 3.1*, above, outlines the extensive, continuous data streams used in the assessment of Naval Academy effectiveness as a commissioning source for the Navy and Marine Corps. Meanwhile, the 2005 Strategic Plan’s assessment program, Goal 11 of the Plan, seems to be the Naval Academy’s best, most current response to data-driven institutional assessment. Goal 11, to evaluate the Academy’s other goals and objectives with an eye toward their derivation from the overall Mission, leads directly to the prime objective, the development of “*a comprehensive, mission-oriented Institutional Effectiveness Plan which addresses all programs and policies of the Naval Academy focused on the moral, mental, and physical development, performance and growth of midshipmen from recruitment through the conclusion of their military careers.*”

The Plan is to have a strong empirical dimension, and Goal 11 of the Plan gives considerable attention to the accumulation, storage, and dissemination of quantified data on present and former midshipmen. There is less attention to how that data will be analyzed. Goal 11 calls for centralization in the warehousing of this data, and specifies that efforts should be made to coordinate efforts with other Department of Defense agencies that will continue to collect information on personnel once they graduate from the Naval Academy, thus

lending considerable emphasis to the performance of Academy graduates in meeting the needs of the Naval Service. Goal 11 further promises to identify the resources necessary for this assessment effort, and to develop feedback loops so that the accumulated evaluations will help to modify and grow Academy programs and policies.

In this manner, Goal 11 sketches broad concepts and leaves the details of assessment to be developed and conveyed later. Goal 11 does not appoint the entity that will actually be performing the institutional assessment.

The institutional response to *Element 2.6*, above, summarizes several of the most effective recent examples of successful evaluative approaches that have yielded results for Academy planning, resource allocation and renewal.

Element 7.1(f) Realistic goals and a timetable, supported by appropriate investment of institutional resources.

Many of the most urgent timetables are those set by the Departments of the Navy and Defense, and by the Congress of the United States, as outlined in the Academy response to *Standard Three*, above. The current (2005) ongoing strategic planning initiative has set the goal of focusing on achieving specific results (“measurable outcomes”) appropriately resourced and bounded by the next five years (2010).

Element 7.1(g) Periodic evaluation of the effectiveness and comprehensiveness of the institution’s assessment plan.

The Academy’s commitment to self-evaluation of its assessment effort is evident in the several strategic planning initiatives that have taken place over the past twelve years, summarized in the institutional response to *Element 2.7*, above. Nonetheless, assessment processes themselves must continue to be assessed and on a periodic basis; Goal 11, Assessment, of the 2005 Strategic Plan is a commitment to that ongoing self-evaluation process.

Element 7.2 Use of assessment results to improve and gain efficiencies in administrative services and processes, including activities specific to the institution’s mission (e.g., service, outreach, research).

Human Resources (Goal 11) and Business Processes (Goal 9) are an explicit part of the 2005 strategic planning effort.

Element 7.3 A written strategic plan that reflects consideration of data from assessment.

The 2005 Strategic Plan calls for results that are measurable and verifiable. Assessment in the academic program, which is somewhat further developed than assessment initiatives within the institution as a whole, could serve as a model for assessment activities in other programs, as well as for an Academy-wide assessment effort. Academic assessment has drawn upon existing national examples, it is centralized and coordinated, and it is an on-going process with feedback loops. Nonetheless, the institutional plan should differ in being periodical, rather than ongoing continuously, to the extent program assessment approaches.

The Academy’s data gathering process is complex and can be haphazard. It should not fall to the recurrently changing leadership at the top of the chain of command to oversee institutional assessment; instead, with proper “resident management” of an institutionalized assessment system, leaders could raise questions and

depend on the existing system to provide them with valid, reliable data-driven answers. Institutional Research provides a valued service and houses a rich data bank, but a permanent, ongoing institutional assessment program with strong incentives to implement coherent, coordinated assessment throughout the Yard should be established as well. Several possible internal agencies could fulfill this function:

a. The Academic Dean and Provost. This position offers relative permanence and seniority. Its incumbent is in a good position to bring institutional memory to the process and to be familiar with existing programs.

b. An Assessment Advisory Board (similar to the Institutional Research Board), as another layer of oversight, with authority over all assessment efforts. This entity would eliminate duplication, assign assessment tasks to appropriate, non-overlapping groups or committees, and have authority to approve or reject all additional requests for assessment data.

c. The Faculty Senate Assessment Committee. This existing body could be given the mandate to oversee all future requests for assessment from whatever source and to determine appropriateness, assign priority, and establish responsibility and jurisdiction.

Recommendation 7.1 *The Office of Institutional Research, Planning and Assessment is not presently constituted to adequately oversee an institution-wide assessment function. Moreover, there does not seem to be an overall institutional assessment plan and a steering or advisory group (similar to the Faculty Senate Assessment Committee) with oversight responsibility for guiding and evaluating the overall institutional assessment process. The Academy should institutionalize periodic assessment processes so that these do not remain dependent upon the routinely changing senior leadership of the institution.*

See also Recommendations 5.3 and 5.4, above.

STANDARD EIGHT

STUDENT ADMISSIONS

The response describes how an institution seeks to admit student whose interests, goals, and abilities are congruent with its mission.

The mission of the Office of Admissions is to support the Strategic Plan of the Naval Academy by identifying, recruiting, and selecting candidates best suited for the demanding Naval Academy program and who show potential for leadership in the naval service. Noteworthy successes by the USNA Office of Admissions over the past decade include an average yield (acceptance) rate of over 83% of those offered appointments, which has been consistently the highest or among the highest in the nation. Improvements in the admission process has resulted in average College Board scores of over 1300 for each class since the induction of the Class of 2002, in 1998. Statistics on the inducted students during this period include 94% who placed in the top 40% of their high school graduating classes, 89% who participated in varsity athletics in high school, and nearly 100% who have held leadership positions in their schools and communities. Over this same period of time, the Academy has been able to diversify its student populace. Additionally, the graduation rates of each class have continued to improve and are among the highest in the nation at nearly 80%. The response to Standard Eight summarizes the finding of the Admissions study group with view to building on the successes of the past decade. After an overview of the admissions policies, special focus was given to the following areas: (i) recruiting and retention of athletes, women, and minorities; (ii) the admission process and performance of midshipmen who attend the Naval Academy Preparatory School, Foundation schools, and other colleges and universities before attending the Naval Academy; and (iii) the composition, role, and practices of the admissions board.

Element 8.1 Admissions policies, developed and implemented, that support and reflect the mission of the institution.

Upon receipt of any complete pre-application for admission to the U.S. Naval Academy, the Academy Office of Admissions conducts an initial record review of all pre-applications to determine whether or not an applicant meets criteria to be labeled a candidate. A computer generated score called a mini-multiple is used and takes into account self-reported College Board scores and class rank. A scoring method with a predetermined cut-off based on historical data is applied; if an applicant's score meets the predetermined level, he/she will be made a candidate. Other candidates may include those with lower academic information. Additional significant factors indicative of academic success and leadership potential may also generate a candidate designation. These factors include Fleet enlisted performance, recommendations from school officials and others, athletic prowess, college grades, and unusual and diverse life experiences. However, the primary factors are class rank and the applicant's high school percentage of college attendance.

The Naval Academy Admissions Board evaluates each and every individual candidate record. The Board is comprised of 14 members drawn from the faculty and staff at the Naval Academy. The Board determines if a candidate is "qualified" or "not qualified" to compete for admission to USNA. Written guidance from the Superintendent governs the Admissions Board process.

Each candidate's record is screened and prepared for review by an Admissions Board member by a Regional Director. If a record possesses sufficient information to qualify the candidate scholastically, then the Admissions Board member may elect to sign off the record as "qualified." This process is called a "quick board." However, if there is questionable information in the record that might necessitate a discussion by the Admissions Board as to the qualification of an individual, then the record is briefed to the Admissions Board by the Admissions Board member. A subjective judgment is involved, but the following indicators are used as a guideline by the Admissions Board member to assist in his/her decision making: poor grades (Cs and

below in core subjects), declining grade trend, low college board scores, weak or no athletic participation, or negative comments by school officials and others. In the case of a diverse candidate, a Diversity Admissions Counselor (DAC) briefs the record. For a recruited athlete, the record is briefed by an athletic department representative. As a starting point for review and/or briefing, the Admissions Board member uses a computer-generated score called the “whole person multiple” (WPM). Included in the WPM are a candidate’s standard test scores (SAT/ACT), class rank, math and English teacher recommendations, athletic and non-athletic extra-curricular activities, and strong interest inventory completed by the candidate as part of the application process. In addition, the Admissions Board member will brief other information in a candidate’s file including the school profile, academic transcript, recommendations of counselors and others, the results of field interviews conducted by Naval Academy Information Officers (Blue & Gold Officers), results of a physical evaluation, Summer Seminar evaluations, and a personal statement written by the candidate. Some adjustments to the WPM may be made based on the information provided in his/her record and the assessment of the Admissions Board. However, no additional points are awarded to a candidate based on ethnicity or gender. At completion of the briefing, a majority vote by the Board determines the qualification of a candidate. Overall, about 65% of the records receive a full briefing by the Admissions Board, with the remainder receiving a quick board review.

For records determined by the Board to not meet direct admissions criteria, the Board may vote to recommend the candidate for admission to the Naval Academy Preparatory School (NAPS) in Newport, Rhode Island or to a Foundation school. Foundation schools represent a one-year preparatory program for qualified students who the Admissions Board feels exhibit a high level of leadership, athleticism or motivation for naval service, but who will benefit from an additional year of academic preparation. Entrance to the Naval Academy is achieved via a recommendation by the Admissions Board after a review of the student’s performance at the Foundation school. The NAPS mission is to prepare individuals exhibiting leadership and academic potential for admission to the Academy after successfully completing an intensive one-year program of academic, physical and professional development. Entrance to the Naval Academy is assured for any candidate that successfully completes this rigorous program and receives the recommendation of the commanding officer. Primary consideration for an appointment to NAPS is provided to fleet applicants who have demonstrated strong performance and leadership potential, and other candidates who bring exceptional life experiences, diversity, gender, socio-economic, or geographic representation, but who may not otherwise be able to compete for an appointment to the Academy due to disadvantages evidenced by their record (including factors like socio-economic conditions, quality of their high school educational system, and other life experiences that would merit consideration for appointment).

In addition to qualifying scholastically at the Admissions Board, three other milestones must be completed in order for a candidate to compete for an offer of appointment. Each candidate must also qualify medically, pass a physical fitness evaluation, and receive a nomination from an official source.

It is important to note that the Office of Admissions may issue a Letter of Assurance (LOA) to some candidates based on their final WPM and the recommendation of the Board. LOAs are offered because they assist in attracting candidates who are most highly desired for admission. A LOA will guarantee an offer of appointment to a candidate if all of the remaining requirements for Admission (i.e., medical, physical, nomination, etc.) are met and is normally offered to candidates whose final WPM score is above a certain threshold.

The next step in the process is to match candidates qualified by the Board with the Congressional and service-related nominations in order to make offers of appointment. Title 10 U.S.C. is the governing statute in this process. After making offers of appointment to children of deceased veterans, POWs, Medal of Honor winners, etc, offers of appointment are then made to candidates receiving nominations from

Congressional sources (Congressmen, Senators, Vice President, etc.) first and then to military service connected (President, Secretary of the Navy, etc.) sources. Offers of appointment are made based on order of merit (i.e., rank using the WPM) of each candidate on an individual slate, and without regard to ethnicity or gender.

Once the Title 10 requirements are met for each nominating source, offers of appointment are made to the first 150 candidates by order of merit (i.e rank using WPM) as Qualified Alternates (QA). In making offers of appointment to candidates on the QA list, the WPM is the dominate factor. However, many recipients of LOAs who did not win their nomination slates are included.

After the QA list is satisfied, the remainder of the class is filled with previously qualified Additional Appointees. Additional Appointees may be made out of order (as allowed in Title 10), and priority is given to any remaining LOA recipients who did not receive an appointment through another method.

The Naval Academy does not use quotas or goals in the Admissions process, but strives to continually to improve diversity, where feasible. Over the last several admissions cycles, an increased number of applications from both majority and minority applicants has yielded a corresponding increase in the number of “qualified” candidates for admission. This has enabled improvements in overall diversity within the Brigade of Midshipmen while maintaining high academic standards and adherence to requirements set forth in Title 10 U.S.C.

Element 8.2 and Element 8.3 Admissions policies and criteria available to assist the prospective student in making informed decisions. Accurate and comprehensive information regarding academic programs, including any required placement or diagnostic testing.

Numerous sources of information materials regarding the demands and opportunities at the Academy are available to potential students, including the catalogue, view books, and the candidate package provided to prospective students which are included in *Appendix 8-1*. Admissions information is also available on websites (www.usna.edu) and in on-line electronic application forms www.usna.edu/Admissions/steps. The electronic forms have contributed significantly to the efficiency and convenience of the admissions process in the past ten years for both applicants and UNSA Admissions Board.

The Naval Academy also has extensive information and outreach programs to ensure that its admissions policies and criteria are available to prospective students. This includes conveying not just the admissions standards and processes, but also the demands related to success at the Naval Academy. The following describe the various admissions programs:

Blue and Gold Officers. The Office of Admissions benefits greatly from the volunteer work of approximately 2000 Blue and Gold Officers (BGO), who are mostly alumni or parents of alumni. Their responsibility is to increase awareness of the Naval Academy by working as liaisons with schools in their areas, representing the Naval Academy in the community and working with other Naval Academy organizations (Alumni Associations, Parents’ clubs, etc.). BGOs also help candidates with the nomination process and interview candidates for the Admissions Board. The BGOs are required to complete a training session every five to six years, either at the Naval Academy or regionally at hub cities. Training conducted at the Naval Academy is comprehensive and is done primarily for new BGOs. Thorough briefings are provided on every aspect of the Naval Academy experience including the academic program, military training, career opportunities, policies and procedures governing admissions, and interviewing of candidates. Hub training is conducted primarily as a “refresher course,” is performed by one or two members of the Admissions staff, and is a scaled down version of the BGO training program provided at USNA. Although the primary mission of the BGO is to act as an advocate of the Naval Academy, often a BGO takes on the

role of advocate of the candidate. A BGO can help the candidate with the complicated nomination process, but in an interview an objective approach is vital. If the Admissions Board discerns undue advocacy, or notes that a BGO rates too many interviewees in the top 5%, the Board will disregard the volunteer's assistance.

Operation Information. Each year during Thanksgiving week, approximately 500 midshipmen visit high schools in their hometowns to present information about the Naval Academy. Through this program the Office of Admissions targets top schools not represented at the Academy, as well as under-represented areas of the country. While regarded as one of the Naval Academy's top recruiting methods, Operation Information (OpInfo) also raises recurrent concern among the faculty due to the large number of students gone from class during that holiday week. Recent changes have been made to the program to address faculty concerns. For example, the Office of Admissions is now more selective in the geographic regions that the midshipmen visit, thereby reducing midshipmen absenteeism.

Summer Seminar. During the summers, approximately 1800 high school students (600 per week) come to the Naval Academy for a week-long immersion orientation planned to provide a realistic Academy experience that exposes potential candidates to the rigors of a midshipman's day, including academic workshops, drills, and physical training. New enhancements to the week include "sea trials" and character development seminars. Midshipman supervisors coordinate the activities and evaluate each participant; these evaluations become part of an applicant's admissions package if Seminar students later apply. A small percentage of Summer Seminar students on a case-by-case basis receive financial aid for travel and registration. The program has proven very successful due in large measure to the full support it receives from the entire Naval Academy. For the class of 2007, 38% of the incoming midshipmen attended Summer Seminar.

Candidate Weekends. The Office of Admissions invites competitive candidates to visit the Naval Academy during seven weekends throughout the academic year. Approximately 125 candidates visit on each of these weekends to participate in three academic classes on Friday, plus Saturday morning professional training. With a few exceptions, candidates pay their own expenses. The Office of Admissions identifies some candidates for financial assistance on a need-basis only. Midshipmen 4/c and 3/c host the candidates and submit evaluations of the candidates. Evaluations are subsequently included in the candidate admissions packages.

Admissions Information Forums. Throughout the academic year, the Office of Admissions sponsors approximately ten Admissions Information Forums throughout the country to inform potential candidates about the Naval Academy and the admissions process. The forums are usually attended by the Superintendent, representative midshipmen, and area BGOs. The forums are often timed to coincide with a Navy football game in that area, but the number and location of the forums are determined by geographic recruiting needs obtained from the Enrollment Planning System (EPS) database. Approximately 300 potential candidates attend each forum. The regional host is a Parent's Club or Alumni Association chapter.

External Marketing. The Office of Admissions has recently hired a marketing firm to establish and maintain a database of students interested in the Naval Academy. This firm sends information about the Naval Academy and invitations to the regional Admissions Information Forums to these potential students and to their respective high school guidance counselors.

Element 8.4 Information on student learning outcomes available to prospective students.

At the institutional level, the Naval Academy's student learning outcomes are both highly competitive and publicized nationally. The Naval Academy enjoys one of the highest four year graduation rate in the U.S. (ten year average of 78%). Another widely publicized, though narrower, measure of student learning

outcomes are the number of prestigious national scholarships and honors won by midshipmen. In the class of 2005, there were three Rhodes Scholars (out of 32 nationally), one Marshall, one Truman, one Gates, one Fulbright, one Rotary International, and one NSF scholarship winner. In addition, two Class of 2005 graduates were named to the USA Today Academic All America Team (out of a total of 20 nationally). The Naval Academy has recently become an institutional participant in the National Survey of Student Engagement and that these data (*Appendix 8-2*) can be made available to prospective students, as well. Beyond these outcomes, processes for identifying department and discipline level student learning outcomes are only now maturing (see *Standard Fourteen*) and once these are available we expect this information can be shared with prospective students, as well.

Element 8.5 Accurate and comprehensive information, and advice where appropriate, regarding financial aid, scholarships, grants, loans, and refunds.

Element 8.5 does not apply to the Naval Academy. Room, board, tuition, and a monthly stipend are provided to each midshipman as a part of their enrollment at the Academy. The stipend is partially used to defray academic and military expenses including books, computers, and uniforms.

Element 8.6 Published and implemented policies and procedures regarding transfer credit and credit for extra-institutional college level learning.

The Naval Academy provides, by law, a four-year immersion education. Courses taken elsewhere, in high school or college, are welcomed by the Academy's validation and placement process, which is well-publicized to entering midshipmen in the print and electronic versions of the catalogue (*Appendix 6-28*) and again in enrollment materials upon admission to the Academy. Midshipmen are urged to validate for coursework taken elsewhere, by passing a validation exam. Such validation often allows midshipmen to double-major, pursue foreign language study, or enroll in Voluntary Graduate Education Programs leading to a master's degree within four and one-half years. Transfer credit is not accepted.

Element 8.7 Ongoing assessment of student success, including but not necessarily limited to retention that evaluates the match between the attributes of admitted students and the institution's mission and programs.

There is extensive assessment of student success in light of the institution's admissions criteria and subsequent student achievement at the Academy. One component of this assessment is a regular review of the WPM, described in *Element 8.1*, above.

As described earlier, the purpose of the WPM in the admissions process is to best predict success and thus more accurately to select successful candidates. In practical application, the WPM is used to rank candidate records to help determine which candidates receive offers of appointment. "Multiple" in the term refers to several weighted factors, such as SAT/ACT scores, high school academic performance, extracurricular activities, recommendations of teachers and guidance counselors, and indicators from the Strong Interest Inventory.

A recent comprehensive assessment of the WPM factors and weightings, conducted by a former chair of the Admissions Board, led to recommendations for revisions to the WPM. Recommendations included proposing "new" weights for the different WPM factors, normalizing the distribution of data, and the need to revisit the WPM on a periodic basis to continue to validate its use. The revised WPM was presented to the Dean of Admissions and the Superintendent, and the new WPM was approved for use in the admissions process starting with the Class of 2007 (during Academic Year 2002-2003).

Diversity Recruiting and Retention. Navy leadership has identified a need to provide more minority officers to better reflect the diversity of American society and to serve as role models for African Americans, Hispanics, and other minority enlisted personnel in the active fleet. The Admissions Office continues intense efforts to find and attract qualified minority students to the Naval Academy. The Academy employs a full-time outreach coordinator and maintains five field minority admissions offices staffed by junior Navy and Marine officers (Field Diversity Admissions Counselors) in Los Angeles, New York, Houston, Atlanta, and Chicago. These officers attend college fairs, assist candidates in their geographic area, and coordinate with local community networks, called “Centers of Influence,” where students gain information from school, church, and local business leaders. The Naval Academy also uses BGOs and alumni to identify, inform, and recruit potential minority candidates. Minority “callout programs” also allow potential candidates to speak to minority midshipmen (for more detailed information on these efforts, see *Appendix 8-1*).

These efforts have led to an increase in the number of minority applications in recent years: for example, from 1,780 for the Class of 2002 to 3,041 for the Class of 2008. Despite the increase in total number of minority applications, the percentage of minority applicants achieving candidate status has decreased in recent years to the current level of 78%, though this is still close to the overall applicant average of 80%. This small reduction is due primarily to higher selectivity and more thorough screening prior to the advancement-to-candidate phase, since pre-screening aims to bring only viable candidates before the Admissions Board.

Once an applicant has been given an offer to attend the Naval Academy, the “yield” (number of acceptances compared to the number of offers) for minorities, especially African-Americans, is generally higher than the overall yield for an entire incoming class. For example, over the past six years, the class-wide yield has been 82%, compared to 88% for African Americans and 84% for Hispanics. This difference suggests that information and encouragement by the Diversity Admissions Counselors do influence a candidate’s decision to attend the Naval Academy.

There has been progress toward the goal of a more diverse Naval Academy. The Class of 2006 is the most diverse in terms of minority students, and the Class of 2007 has the largest number of minority students of any class in history. The percentage of minority midshipmen over the past ten years has ranged from 18% - 21% for the classes of 1998-2005. The percentage of minority midshipmen has increased to 25% for the classes of 2006 and 2007. A focused effort towards minority recruiting will be necessary to sustain this trend.

The average graduation rate of minority inductees over the past ten years has been consistently below the overall graduation rate of 78% (70% for African Americans and 72% for Hispanics). The Admissions Board has been more selective in qualifying candidates in the most recent classes, in hopes of lowering attrition numbers by admitting inductees with greater potential for success. We do not yet have sufficient data to predict attrition results for classes admitted under the more selective criteria.

Admission of Athletes. Approximately 30% of the male midshipmen and 40% of the female midshipmen participate in varsity athletics each year. Applicants given coded athlete status are those identified during the admissions process by a representative of the Athletic Department as possibly possessing the athletic skills to compete in varsity athletics at the Naval Academy. “Blue chip” athletes constitute a sub-set of those coded athletes. “Blue chip” is defined as an athlete who received additional consideration from the Admissions Board for having been evaluated by the intercollegiate athletic department as having the potential to contribute to the intercollegiate program.

The Senior Associate Athletic Director (for) Admissions, Academics, and Compliance is responsible for presenting “blue chip” athletes applications to the Admissions Board. Once qualified by the Admissions Board, a “blue chip” athlete receives a letter of assurance, in a manner similar to other qualified high-caliber

applicants. In a given year, 18% of an entering class may be “blue chip” athletes. On average, 25% of “blue chip” athletes (1999-2007) spend a year at the Naval Academy Preparatory School (NAPS) before qualifying for admission to the Naval Academy. An additional 8% (2002-2007) of “blue chip” athletes attend a Foundation school prior to admission to the Academy. Foundation scholarships and NAPS are alternative paths to admission. These programs are discussed more fully below.

In general, the academic and military performance of varsity athletes compares favorably with their non-varsity peers for academic years 1994-2003: (1) the semester grade average (QPR) for non-varsity is 2.87, compared to 2.88 for varsity female athletes and 2.82 for varsity male athletes; (2) the conduct grade average for non-varsity is 3.82, compared to 3.86 for female varsity athletes and 3.85 for male varsity athletes; and (3) the Aptitude for Commissioning grade average for non-varsity is 3.10, compared to 3.12 for varsity female athletes and 3.03 for varsity male athletes. The graduation rates for varsity athletes for the classes of 1994-2003 are also comparable; varsity athletes have an 86% graduation rate, compared with the overall Brigade average of 78%. The subset of “blue chip” athletes has a lower graduation rate of 74%.

Admission of Women. The admissions process for women is the same as that for men. The number of female applicants has increased from 1,871 female applicants for the Class of 1998 to 3,004 female applicants for the Class of 2007. The portion of female applicants within the total applicant pool has remained fairly constant during this decade at approximately 20%. Women are given offers of admission to the Naval Academy and accept these offers at rates similar to their male counterparts. The number of female inductees remained constant at approximately 200 annually for the entering classes 1998 through 2007. Admission of the classes of 2008 and 2009 reflects a positive trend with respect to women with 250 and 237 females inducted in each class respectively.

Female midshipmen attrite at a higher rate than their male counterparts. For the classes of 1993-2004, females had an attrition rate of 29%, compared to the attrition rate of 20% for males. This is a slight improvement over the previous ten years (1984-1993), when female attrition was at 33% while male attrition was at 22%. Higher attrition begins during Plebe summer with 9% of female inductees leaving during Plebe summer, compared to 5% of the male inductees for the classes of 1999-2007. Graduation rates for females in the classes of 2004 and 2005, and current attrition rates for the classes that are presently enrolled at the Naval Academy indicate that the gap may be narrowing. The graduation rates for females in the two most recent classes were within 5% of their male counterparts, and the attrition rates of the classes still in attendance at USNA appears to be following the same path.

Alternative Paths to Admissions. The Naval Academy has several alternative paths to admission that encompass both NAPS and Foundation schools. Additionally, some prior enlisted students receive technical training in Nuclear Power School. A growing number of midshipmen have some prior college experience before attending the Naval Academy.

The Naval Academy Preparatory School (NAPS) provides extra academic preparation in advance of admission to the rigors of the Academy's academic program. Students spend one full academic year at NAPS before entering the Academy, provided they meet admissions standards and graduate from NAPS with at least a C average in their course work. Over the past decade, approximately 270 slots have been available annually to students who meet the profile of lower SATs (below 1200 combined) or lower GPA in core courses (especially mathematics, chemistry and English). Approximately one-sixth of the incoming USNA Plebe class comes from NAPS. Students attending NAPS typically include prior enlisted from the Fleet and Fleet Marine Force (FMF), “blue chip” athletes, and minority applicants. The number of minorities (defined as Hispanic, African American, Native American, and Asian American students) attending NAPS has increased from 29% for the class of 2000 to 45% for the class of 2006. The percentage of prior enlisted and “blue chip” athletes has remained approximately constant over this period at 31% and 25%, respectively.

The U.S. Naval Academy Foundation Athletic and Scholarships Program (hereafter “Foundation”) is a second alternative path to admission, but it is based on different criteria. Foundation appointments are offered to candidates exhibiting extraordinary leadership, strong motivation, or athletic prowess. The Naval Academy has approximately twenty-two preparatory schools that participate in the Foundation program. Since 1992, approximately 80 admissions per year have come from the Foundation option. Worthy applicants who otherwise might not receive a nomination due to competition and a limited number of nominations in their districts, are occasionally selected by the Admissions Board for possible Foundation status. Beginning with the 2004/2005 academic year, the number of candidates sponsored by the Foundation was limited to approximately 65 per year, and to those applicants who would benefit from an additional year of academic preparation in addition to possessing those qualities desired in a future midshipman. The executive director of the Foundation program sends a letter of interest to all students marked for such consideration. About two-thirds of all students so identified by the Admissions Board indicate some interest in preparatory school. Students who decide to attend a Foundation school for the required year receive a full or partial scholarship based on the financial needs of the individual. The Admissions Board reviews the Foundation school records of these students prior to the granting them an appointment to the Naval Academy. “Blue chip” athletes accounted for about 20% of the Foundation students in the classes of 2003-2006, compared to the prior years’ average of less than 10%.

Available data regarding alternative admission paths were restricted to the Classes of 2000-2006, due to the two changes beginning with the Class of 2000: the Nuclear Power School designation was first used for the Class of 2000, and the SAT/ACT scores were also re-centered beginning with that class year. The percentages of the total midshipmen admitted for the Classes of 2000-2006 from these alternative sources are 5% from Foundation, 23% from NAPS, and 2% from Nuclear Power School. The remaining 69% were directly admitted from high school or college.

The most consistently used indicators of the academic preparation of midshipmen admitted to the Academy are the SAT and the ACT scores. The scores from at least one of these tests are required for each applicant. For the classes of 2000-2006 the following are the average SAT scores listed by admissions source: Direct Admission – MSAT 677, VSAT 649; NAPS – MSAT 598, VSAT 578; Foundation – MSAT 652, VSAT 628; and Nuclear Power – MSAT 663, VSAT 636. Midshipmen admitted from NAPS consistently have the lowest averages in both the MSAT and the VSAT, while in five of the seven years those admitted from the Foundation schools have the next lowest. Current Office of Admissions standards require additional justification SAT scores below 600. The percentages of SAT scores below 600 for the classes of 2000-2006 are as follows: Direct Admission – MSAT 11%, VSAT 19%; NAPS – MSAT 51%, VSAT 62%; Foundation – MSAT 11%, VSAT 31%; and Nuclear Power – MSAT 12%, VSAT 28%. The relatively high number of scores below 600, particularly for the VSAT, concerns the admissions self study group and should concern the Admissions Board.

The average USNA academic grades (QPR) by admission source for the Classes of 2000-2006 are as follows: Direct Admission – 2.95; NAPS – 2.50; Foundation – 2.70; and Nuclear Power – 3.00.

The average military grades—summarized as a midshipman’s “Aptitude for Commissioning”—by admission source for the Classes of 2000-2006 are as follows: Direct Admission – 3.04, NAPS – 2.80, Foundation – 3.00, and Nuclear Power – 3.01. The overall Brigade average during the same period was 2.99.

The percentages of graduation by admission source for 2000-2003 follows: Direct Admission – 79%, NAPS – 78%, Foundation – 84%, and Nuclear Power – 83%. The overall graduation rate during that period was 80%.

Prior college students have recently been given particular attention at the Admissions Board. Because of the strength of their credentials, more college applicants are currently winning their Congressional slates. For the class of 2007, 60 out of approximately 300 prior-college applicants were granted admission. The class of 2008 had 77 prior-college inductees.

Consistent data are available from the Classes of 2001 and 2002. The class average Order of Merit (OOM) for USNA graduation (e.g., the graduate standing first in the class has an OOM of “1”) is highest for prior-college applicants who have attended a four-year college (410 average OOM), compared with community college students (596 average OOM) or those who attend a preparatory school not officially sponsored by the Foundation program (625 average OOM). Midshipmen who have attended a four-year college perform much better in this comprehensive metric when compared with the overall Brigade average of 489.

The data for this two-year period also suggest that the percentage of those prior-college students who attended a four-year college attrite at a much lower rate than the overall Brigade average. The overall average attrition rate for the Brigade is 20%, compared to 13% for four-year college applicants, 27% for preparatory school applicants, and 56% for community college applicants.

Base on the above information, the Admissions Board recently revised the rating scale for prior-college applicants. The WPM has been adjusted to account for prior college course work, weighting the WPM in accordance with the extent of college work completed (with each additional semester in college, college course work is given a higher weighting in the WPM).

Recommendation 8-1 Blue and Gold Officer Assessment. *The Admissions Board should continually assess the BGO interview process for objectivity and utility. The Admissions Office should consider making a selected subset of BGOs responsible for interviews; these volunteers would receive additional training on the candidate interview process. The Office of Admissions should also ensure that the training of all BGOs be current to make certain the volunteers accurately represent the goals and missions of the Naval Academy.*

Recommendation 8-2. Operation Information Assessment. *To assess the recruiting effectiveness of the OpInfo program, a question was included on a recent Fourth Class (Plebe) midshipmen survey asking whether their high school was visited and whether this had a significant influence on their decision to apply. Additional assessment is still needed: in particular, matching the Enrollment Planning System (EPS) code of the high schools visited with the number of applicants, candidates and admitted midshipmen from respective schools. The Office of Admissions should also ensure that the training of all BGOs be current to make certain the volunteers accurately represent the goals and missions of the Naval Academy.*

Recommendation 8-3 Summer Seminar Assessment. *Continue to assess the program’s effectiveness by tracking the number of applications, offers, and inductees who attended summer seminar. The Summer Seminar program should encourage—with appropriate financial support if necessary—Seminar participation by desirable admissions candidates of limited means. Consider expanding the Summer Seminar program with financial support from Alumni Association Chapters and Parents’ Clubs for potential candidates with financial need. Additionally, summer Seminar leaders should reflect the diverse student body of the Naval Academy.*

Recommendation 8-4 Candidate Weekend Assessment. *Current assessment of this program is limited. Additional data and analysis might determine the appointment acceptance rate for candidates who attend Candidate Weekend versus those who do not, as well as the retention rate of those participants who attend the Academy. Midshipmen hosts for Candidate Weekend should reflect the diverse student body of the Naval Academy.*

Recommendation 8-5 *Assessment of Admissions Information Forums.* This effort should be assessed based on attendance at the forums and evaluation of the number of applications from the regions targeted by the Admissions Information Forums. Early assessment of the external marketing program shows an approximate doubling of the attendance at Naval Academy Admission Forums. It is difficult to attribute specifically the year-to-year fluctuations in the number of applicants, but more potential applicants now receive information about the Academy.

Recommendation 8.6 *Evaluation of the new Whole Person Multiple every five years.* Since the Class of 2007 has not yet graduated, only preliminary evidence is available to assess the impact of the new WPM. Several metrics should be tracked, including performance on standardized placement tests given during the summer prior to Plebe Year academic attrition rates, course validations, and overall attrition. Preliminary data indicate that the trend toward decreasing numbers of midshipmen leaving the Academy either voluntarily or involuntarily (due to academic or conduct boards) has continued under the new WPM (i.e., attrition rates continue to decline). The academic QPRs for the first semester of the Plebe class have continued to improve under the new WPM, and the numbers of validations earned in the first and second required calculus courses have increased. Each of these indicators reflect positively on the new WPM at this early vantage point. The new WPM should be critically evaluated within five years to determine whether the new weighting factors accurately predict the Order of Merit at graduation, improve the overall performance of the midshipmen at the Naval Academy, and the graduates meet the needs of the Navy and Marine Corps.

Recommendation 8-7 *Assessment of Diversity Recruiting.* Recruitment efforts in the minority population, though improving, continue to be challenging. The Academy continues to build and use community networks as its primary method to distribute information to potential applicants, but so far there is no system in place that provides a reliable means for tracking or assessing the effectiveness of the community recruitment resources. Nor has the Admissions Office been able to generate data to indicate whether focused outreach recruiting and more selective minority admissions have translated into improved graduations rates among minorities. The Naval Academy Office of Institutional Research (OIR) has already alerted the Academy regarding higher rates of attrition for minorities; OIR can continue to help by continuing to gather information about minorities who leave the Academy prior to graduation.

Recommendation 8-8 *Refinement of Admissions Criteria in order to enhance Minority Admissions.* Admitting higher percentages of minorities to the Naval Academy is only part of the equation. Naval Academy Admissions must continue to refine admissions criteria to find those metrics that will result in higher graduation rates. One concrete suggestion is to include on the mini-multiple questionnaire (the pre-screening application) a means to identify the recruitment source. This identification can be in a multiple choice format, including community resources such as a friend or family member, community member (including clergy), high school counselor, or college fair, as well as Naval Academy recruitment resources. Such information would allow the Diversity Admissions Counselor to identify recruitment sources, to assess the type and caliber of these sources and to identify those that are under-utilized or inefficient.

Recommendation 8-9 *Assessment of the Admission of Athletes.* Comparisons of the performance of varsity athletes to the non-varsity athletes should continue annually. The performance and attrition of the “blue chip” athletes should be studied in comparison to non-blue chip and to non-varsity athletes.

Recommendation 8-10 *Admission of high quality athletes while sustaining USNA admissions standards.* USNA should continue to accommodate the acceptance of high quality athletes without lowering admission standards. The NAPS program can be a valuable asset in this process.

Recommendation 8-11 *Assessment of the Admission of Women.* Percentages of female applicants, qualified applicants, and acceptances should continue to be tracked closely by the Office of Admissions. The attrition rates of women during summer and during subsequent semesters should also continue to be monitored.

Recommendation 8-12 *A gender blind admissions policy.* The Naval Academy should continue its gender-blind admissions process. Nonetheless, due to the continued higher rates of attrition for women (29% v 20% for the class as a whole), the Office of Institutional Research should gather information about females who elect to leave the Naval Academy prior to graduation. This information could be used to help in admission decisions about the likelihood of future candidates to separate from the Naval Academy.

Recommendation 8-13 *Assessment of the NAPS and Foundation school curriculum.* Students who attend NAPS and Foundation schools are provided the opportunity improve their academic preparation through a one-year program prior to entering USNA. The Naval Academy should continue to evaluate the curricula at NAPS and Foundation schools on an ongoing basis to determine their applicability to success at the Academy. Graduation rates of those attending NAPS and Foundation schools should continue to be tracked to ensure that NAPS and Foundation school graduates are successfully completing the Naval Academy program. NAPS should continue to be used to improve selected students' skills in language, analytical problem solving, and basic study methods.

Recommendation 8.14 *Monitoring of the VSAT and MSAT scores below 600.* The number of incoming midshipmen with VSAT and MSAT scores below 600 should be monitored throughout the process. Order of merit at graduation and retention rates of those being admitted with VSAT/MSAT scores below 600 should be tracked, as well.

Recommendation 8.15 *Clarification of criteria for admission via Foundation schools.* Criteria for admission via the Foundation schools should be clarified. Foundation appointments should be offered to candidates exhibiting extraordinary leadership, strong motivation and/or athletic prowess who need an additional year of preparation.

Recommendation 8.16 *Assessment of the representation of prior college applicants.* Prior-college applicants are valuable assets to the Academy. They often bring a greater level of maturity and dedication to their academic and military performance. Strong performance in prior-college course work (if completed at a four year-institution) is a good measurement of future success. An increase in the representation from this group should be considered. The Naval Academy should continue to evaluate the performance of midshipmen with prior-college experience.

Recommendation 8-17 *Assessment of the Whole Person Multiple for Prior College Applicants.* There seems to be a significant difference in success between four-year college applicants and those arriving from community colleges. Admissions should begin to collect data on prior-college students in a more systematic way in order to identify their performance. The Office of Admissions should continue to assess the effectiveness of the new WPM for prior college students to ensure it accurately reflects the level of college performance, including an assessment of the rigor of previous course work.

STANDARD NINE

STUDENT SUPPORT SERVICES

The response to this standard describes how the institution provides student support services reasonably necessary to enable each student to achieve the institution's goals for students.

Midshipman support services at the Naval Academy are, if anything, comprehensive. Structured implicitly around the notion of assisting midshipmen in their moral, mental, and physical development, these services provide a broad range of logistical, housekeeping, personal, and extracurricular support functions. Self study findings and recommendations focus principally on matters of efficiency, sustainment, and sufficiency of programs that are seen on the whole as highly successful.

Element 9.1 A program of student support services appropriate to student strengths and needs, reflective of institutional mission, consistent with student learning expectations, and available regardless of place or method of delivery.

Student support services at the Naval Academy are organized around the midshipmen's status as members of the military, as students in a demanding, highly technical four-year undergraduate curriculum, and as future officers in the Navy and Marine Corps. These services are tailored to complement and enrich their academic education and military training, to afford relief of some of their day-to-day housekeeping, dress, and grooming requirements, and to afford personal support and assistance whenever this becomes necessary. Basic services, life services, academic services, athletic and extracurricular activities are organized around the Naval Academy's ultimate goal of preparing young men and women to become commissioned officers in the nation's armed services.

All midshipmen must live in Bancroft Hall, known (both fondly and sardonically) as "Mother B," with one to three roommates in adequately furnished rooms. Bancroft Hall recently completed an extensive eight-year renovation to upgrade atmospheric control systems, electrical systems, phone and internet, install new furnishings and many other improvements, such as air conditioning the complex in 2004. Each residence room has a shower and sink, while shared lavatories are scattered throughout the eight-wing facility. Male and female rooms are mixed throughout in their respective company areas.

The entire student body is organized militarily as the Brigade of Midshipmen. The Brigade presently numbers about 4,400 young men and women from all fifty states, three U.S. territories, and 20 foreign countries. Women constitute 16% of the Brigade and 22% of the Brigade are classified as minorities. The Brigade consists of six battalions, each of which is further subdivided into five companies of about 140 midshipmen each from all four classes. These companies reside in designated areas of Bancroft Hall, the Academy's single dormitory, where they live together, work together, and function as military units. The atmosphere of cooperation and competition among the midshipmen can be exemplified by their annual pursuit of Color Company honors—that recognition of the one company, among a field of 30, judged superior in academic, athletic, and military performance.

Each company has a lounge with cable TV, sofas, chairs, and various game tables. Bancroft Hall serves also as the collective leadership laboratory for the Brigade of Midshipmen. Here midshipmen receive military training and put into practice the professional lessons they learn in the classroom and during summer training.

Midshipmen are active duty members of the military; they must conform to regulations and directives issued by the administrative-military chain of command, including the hierarchy of student officers residing in Bancroft Hall. The Commandant of Midshipmen and his staff set policy for the operation of the Brigade of

Midshipmen. The Deputy Commandant takes responsibility for the day-to-day routine. The Deputy directs six post-command, field grade officers who serve as battalion officers. These, in turn, each supervise five company officers, and each of these leads a company of about 140 midshipmen. Company officers take direct responsibility for every aspect of midshipman performance, both assisting and assessing their progress. Assisting each battalion and company officer is a Senior Enlisted Advisor who provides midshipmen with their first exposure to the highly competent personnel they will lead as officers.

Specific regulations govern the lives of midshipmen, from uniforms and conduct, use of rooms and other facilities, to behavior within the Academy and outside its walls, notably including academic performance and relationships with other people, both military and civilian. Midshipmen are expected to understand and follow these rules; indeed, violations can result in punishment ranging from demerits to loss of liberty privileges (free time outside USNA) and in the most extreme cases, to expulsion from the Academy. As their sense of discipline grows from year to year, midshipmen earn privileges, including liberty, civilian dress, and use of civilian automobiles.

The following discussion provides details related to basic services, life services, and extra curricular activities provided to midshipmen:

Basic Services: King Hall. The midshipman dining facility provides 3.5 million meals each year and serves family style meals to the entire Brigade of Midshipmen on a daily basis. Almost \$17M is spent annually on food service at no cost to the midshipmen. Menus are published weekly and a weight control menu is included. Midshipmen feedback is solicited via a Food Services Division on-line questionnaire.

Basic Services: Practical support services. In addition to living and residential dining spaces for midshipmen, Bancroft Hall houses a virtual one-stop shopping mall. The Non-Appropriated Fund Program Division provides diverse support, including a comprehensive student store, a textbook issue store, a uniform store, a cobbler shop, and repair/tailor shop, a full service laundry/dry cleaning center, a full-service bank with two automatic teller machines, a coin-operated self-serve laundry, a barber/beauty shop, a travel agency, multiple snack bars and sandwich shops, and countless vending machines. The midshipmen's monthly stipend is provided in accordance with Title 10, Chapter 3, §203c, of U.S.C. (currently \$764) and covers routine expenses by withholding charges for uniforms, books, supplies, and personal services. The Midshipman Financial Advisor helps midshipmen budget their pay and runs a comprehensive, four-year, education program designed to provide a sound foundation for money management. Plebes receive education in credit management and understanding their Leave-and-Earnings-Statements, 3/C receive briefs on Budgeting, Taxes, and Banking, 2/C are educated on the costs of owning a car, saving and investments, and 1/C receive briefs on the Thrift Savings Plan (TSP) and "Steps towards Financial Independence." The Financial Advisor also negotiates with local banks for credit card services and a low-interest \$25,000 "career starter" loan for first class midshipmen.

Life Services: Student Health Services. Health Services are located in the Sixth and Eighth Wings of Bancroft Hall. The departments consist of a Primary Care Clinic, Orthopedics and Sports Medicine, Flight Medicine, Optometry, Physical Therapy and Dietitian. The Health Services staff includes full-time Navy Physicians, Physician's Assistants, Podiatrists, Physical Therapists, Optometrists, Dentists, Independent Duty Corpsmen, Nurses, Corpsmen and a Case Manager. These clinics provide outpatient treatment, full athletic team coverage, and close medical support for all training evolutions involving the Brigade of Midshipmen. The Primary Care clinic has a medical provider available to answer questions and provide medical advice or urgent clinic treatment twenty-four hours a day, seven days a week. On-site visiting providers include Hematology, Neurology, Dermatology, General Surgery and Otolaryngology, offering specialty treatment and follow-up care on a routine basis. Medical care that is beyond the scope of Brigade Medical specialists is available locally at National Naval Medical Center, Walter Reed Army Medical Center, or Malcolm Grow Medical Center (located at Andrews Air Force Base). Emergencies are initially

treated at local hospitals: Anne Arundel Medical Center, North Arundel Hospital, and University of Maryland Shock Trauma Center. Brigade Medical has four transitional berthing rooms located in Second and Sixth Wings. These transitional berthing rooms provide temporary berthing for midshipmen with physical limitations that temporarily restrict their mobility, make shared restroom facilities problematic, or that require an adjustable bed for limb positioning.

Life Services: Psychological counseling. The Midshipman Development Center mission is to promote and enhance the adjustment, well-being and professional development of midshipmen, and to provide psychological consultation and training to the U.S. Naval Academy staff responsible for midshipman development. To fulfill that mission, the Midshipman Development Center (MDC) is currently staffed with two military clinical psychologists, one civilian clinical psychologist with an expertise in eating disorders, a clinical social worker with an expertise in sexual assault prevention and intervention, and a sports nutritionist. Services available on request include psychological evaluation, individual and group counseling, nutritional counseling, and the use of a performance enhancement and relaxation lab.

Most counseling issues presented at the MDC are similar to those seen at other college and university counseling centers and include stress management, overcoming the “blues,” eating disorders, anger management, relationship issues, weight management, perfectionism and procrastination, as well as dealing with loss and trauma, as well as performance enhancement, adjustment, and resignation counseling more common to an academy setting. Training and consultation with USNA staff and midshipmen is geared toward wellness, education, and prevention, and early identification of potential problems.

Confidentiality is a priority, and the policy is carefully explained to midshipmen at the start of any initial session. This policy and the perception of the MDC as a safe place to go for help need to be continually communicated to the Brigade and Chain of Command. Furthermore, the MDC adheres to HIPAA guidelines.

Life Services: Religious services. Midshipmen are encouraged, but not required, to take full advantage of opportunities for worship and spiritual development at weekly divine worship services in the Naval Academy Chapels. The Academy has three chapels in two distinct buildings: the historic Naval Academy Chapel, which includes the intimate St. Andrew’s Chapel; and the recently (September 2005) dedicated Naval Academy Jewish Chapel, which is located in the new Commodore Uriah P. Levy Center. There are also two small chapels for personal devotions and prayer located in Bancroft Hall.

The Academy’s six uniformed chaplains provide for the religious needs of the Brigade of Midshipmen through worship services, pastoral counseling, religious education, and preparation for religious rites of passage (e.g., Bar/Bat Mitzvah, baptism, confirmation). Each chaplain’s office is co-located in Bancroft Hall in one of the six battalions that make up the Brigade. The Academy’s chaplains represent a variety of faith groups and denominations, including Christian (Roman Catholic and Protestant) and Jewish. Ministries for faith groups not represented by the chaplains are provided by lay personnel or at area houses of worship. In addition to the services provided by the Academy’s chaplains, several campus student ministries also deliver religious ministry to midshipmen under the supervision of the Academy’s senior chaplain. These organizations function as religious extracurricular activities. Many local congregations in the Annapolis area are also available to midshipmen to provide worship ministries specific to individual faith groups.

Life Services: Plebe Sponsor Program. During their initial summer at the Academy, every midshipman meets an area family that has volunteered to provide a home away from the constant demands of the Yard. Formal screening and indoctrination make sponsor families aware of Academy standards for midshipmen, and the result is positive for both sponsors and their midshipman guests. Midshipmen complete a sponsor application as part of the Permit to Report process, which includes questions regarding their preferences, e.g., religious, ethnic, etc., with a goal of making the best possible match among sponsor families for all

midshipmen. In rare cases, midshipmen may request a change of sponsor due to personality or cultural differences. In these cases, every effort is made to reassign the midshipmen to meet their requirements or requests. The program continues to contribute to the social and personal development of future naval officers by keeping them in contact with a home environment in the “real” world.

Extra curricular activities. These activities include a variety of clubs and other organizations that focus on midshipmen interests.

Midshipmen develop their interests and enhance their talents in many on campus academic, professional, athletic, and extracurricular activities (ECAs). These ECAs serve a dual role as outlets for midshipmen to practice small group leadership skills necessary for all junior officers after graduation. Many ECA groups travel offsite to various functions, thereby providing their leaders real challenges and experience in operations planning, logistics, execution, and reporting.

A fundamental requirement for any ECA (including varsity and club sports) is the mentorship of an Officer Representative. This individual is far more than a team or club chaperone. This Commissioned Officer or Senior Enlisted Advisor must assess the team or club midshipman leaders (and followers) in order to provide input to their military aptitude grade. They are responsible for ensuring members remain eligible to travel and compete and to develop remedial plans for those who are struggling. Most important, they spend significant time with the midshipmen and are therefore influential role models. Many Officer Representatives go on to act as Navy and Marine Corps career mentors long after the midshipmen graduate from the Academy.

The ECA programs use non-appropriated funds raised primarily from the profits of the practical support services described above and from private donations made available through the Naval Academy Alumni Association Foundation. The programs are administered by the Operations Officer on the staff of the Commandant of Midshipmen. The Academy sponsors extracurricular outlets for a large number of student interests; there are currently (June 2005) over 130 choices from academic, professional, religious, athletic, and recreational categories including academic honor societies, military specialty groups, intercollegiate debate, a radio station, and theatre production. *Appendix 9-1* provides a breakdown of ECAs by category as well as a complete list of ECAs. This list has grown from the 70 reported ten years ago and also changes annually as activities gain and lose interest with the midshipmen.

Element 9.2 Qualified professionals to supervise and provide the student support services and programs.

The military personnel selected to work directly with midshipmen as members of the Bancroft Hall organization are selected based on their outstanding records as military professionals and prospective role models to the midshipmen. Both officers and enlisted, these career military personnel represent from the Navy and Marine Corps all branches of their respective operating forces.

In addition to their extensive experience within the operating forces, many company officers are afforded the opportunity prior to the start of their duties to complete coursework and a thesis leading to a master’s degree in Leadership and Human Resource Development from the Naval Postgraduate School branch campus located at the Naval Academy. Referred to as the LEAD (Leadership Education and Development) program, over 60 company officers have completed the course of study since its inception in 1997.

Personnel in the Life Services are credentialed by their respective professional association (e.g., medical, psychological) within the Medical, Dental, or Medical Service Corps; or religious denomination within the Chaplain Corps. Academic support staff credentials are commensurate with those of the rest of the faculty:

e.g., tutors in math, chemistry, physics, and English have master's degrees or PhDs in the respective discipline; Academic Center professional staff is recruited nationally, on a competitive basis, drawing upon both experience and academic criteria.

Element 9.3 and 9.4 Procedures to address the varied spectrum of student academic and other needs, in a manner that is equitable, supportive, and sensitive, through direct service.

The Naval Academy has an extensive support system to provide midshipmen with appropriate academic advising and remedial academic services. The Associate Dean for Academic Affairs (ADAA) supervises these functions at the Naval Academy. The ADAA personally briefs all incoming midshipmen on the academic program during their first summer before beginning classes. The ADAA also oversees placement and validation examinations administered to each student. Each midshipman, both as a first year student (plebe) and after he or she has selected a major, is assigned an academic adviser, who reviews and approves the midshipman's course schedule and ensures that the midshipmen satisfactorily completes all academic requirements in a timely manner to graduate in four years. Each January, the ADAA organizes majors briefings for midshipmen 4/c (freshmen, or "plebes") when departments provide plebes with information regarding selection of an academic major. The ADAA also meets individually with each midshipman who seeks to change from one major to another. As the chief advising officer, the ADAA also administers the Academic Advisory Boards—meetings held in conjunction with the Academic Boards at the end of each of the three academic periods (fall and spring semesters, and summer school)

The Academic Center exists to support the mission of the Naval Academy by providing high quality academic support programs for the entire Brigade of Midshipmen. The stated goals of the Academic Center are: 1) to provide academic support services to enable all midshipmen to work to their highest level of academic achievement in the Academy's demanding educational environment; 2) to teach basic learning and reading skills necessary for effective academic performance; and 3) to encourage active, independent learning. The Academic Center was established in 1989 as a result of a Minority Midshipman Study Group report (*Appendix 9-2*) highlighting the need for a proactive academic support program to be established for academically at-risk midshipmen. The Center is responsible for identifying academically at-risk midshipmen and developing a strong support system for them. The Academic Center also provides a broad-based, learning skills program available to all midshipmen.

The Academic Center staff consists of a center director, four program directors, one full-time learning and study skills instructor, one full-time tutor, six departmental liaisons, and one educational technician. Additionally, Tutorial Programs employs twelve hourly tutors and Learning Skills has one retired officer who teaches study skills instruction to midshipmen. Plebe Programs is supported by volunteer officers whenever they are available.

The following components constitute a multi-faceted program designed to accommodate the needs of every midshipman. The results of this program speak for themselves. The Naval Academy class of 2006 will graduate approximately 83% of those who matriculated four years earlier, and minorities and women graduate at rates (76% and 77%, respectively) that approximate the Brigade as a whole.

Plebe Advising Program. This program includes general Plebe advising, high validation advising and intervention.

a. General Plebe Advising. The current advising program for first year students was created in 1994. The program relies on Naval Academy faculty and staff to volunteer their services to advise the Plebe Class. Each company of Plebes, approximately 40 students in each of the 30 companies, is assigned two advisers midway through Plebe summer. The trained advisers meet at least twice with their group of advisees prior to the commencement of the academic year. During the summer, the advisers provide information about what

courses their advisees will take during the fall semester. The advisers also provide basic study skills instruction as well as general academic advice to help the students achieve academic success. The role of the Plebe adviser during the academic year is to offer guidance about course registration, major selection and improving academic performance.

b. High Validation Advising. Midshipmen who validate several courses are assigned a special academic adviser who is specifically trained to offer unique information to this group of midshipmen. Approximately 25 Plebes per year receive advising through this program.

c. Intervention Program. This program is designed to provide support to a select group of incoming midshipmen that were predicted to experience academic difficulty. A “Watch List” of 200 students is compiled, based on recommendations from the Admissions Board, a review of admission data including Whole Person Multiple scores, Scholastic Aptitude Test (SAT) scores, mathematics, English, and chemistry placement exam results and previous performance at the Naval Academy Preparatory School. About 65 midshipmen are then selected for the Intervention Program. These midshipmen are assigned an adviser from the Academic Center staff and placed into an Academic Effectiveness Course. This non-credit course meets weekly for eight weeks and provides study skills instruction and other information designed to help the Plebes adjust to the academic demands of the Naval Academy. The assigned Academic Center adviser, who is also the course instructor, meets individually with the assigned students to provide personal counseling and encouragement. Intervention Program participants also attend an extra mathematics group study session that meets two times per week. These sessions provide additional academic assistance for the first semester mathematics course. An additional 30 midshipmen are added to the Intervention Program throughout the first semester or just prior to the start of the second semester.

Faculty Advisers. The Plebe advising programs end when academic majors are selected in early March. At that time, the Plebes are assigned a new adviser within their selected major department by that department’s chair. The faculty advisers offer guidance to majors as they pursue completion of academic requirements and assisting midshipmen in selecting curricular options appropriate to their individual goals and interests. The ADAA maintains a website as a resource to faculty advisers (<http://www.usna.edu/AccSchedules/advisorscorner.html>).

Academic Counseling Program (ACP). This unit provides advising services to upper-class midshipmen who are experiencing academic difficulty. Academic difficulty is defined for this program as having CQPRs below 2.00 and/or one or more courses behind the prescribed matrix of courses required for graduation. Midshipmen are placed in the ACP in one of four ways: as follow-on enrollees from the Plebe Intervention Program; by direction from the Academic Board; as referrals from other sources (department chairs, academic advisers, NAAA, company officers, course instructors, etc.); and as self-referrals. The Academic Dean and Provost (through the ADAA) approves placement of all midshipmen in the ACP. The ACP monitors and advises approximately 400 midshipmen during the academic year.

Learning Skills Program. The purpose of this program is to help all midshipmen become more successful students by developing or refining their learning skills regardless of their grade point average or academic standing. The Learning Skills Program offers learning skills courses and reading effectiveness courses as well as individual and group topic-specific sessions open to all midshipmen. Topics covered by these courses include time management, test-taking strategies, note taking, reading effectiveness, and stress management. More than 200 midshipmen receive nearly 900 hours of reading and learning skills assistance each semester.

Tutorial Programs. This unit, consisting of three different programs, coordinates individual and group tutoring for midshipmen.

a. X-Class Tutoring involves hour-long, small group study sessions meeting twice a week (as a part of the regular class schedule) for midshipmen requiring regular assistance in calculus. Up to twenty midshipmen are enrolled in each of several sections.

b. Midshipmen Group Study Program (MGSP) trains and supervises more than 60 upperclass midshipmen who provide peer academic assistance in calculus, chemistry, physics, statics, electrical engineering, naval architecture, and public speaking. Each academic year, MGSP handles more than 5000 midshipman contacts.

c. Hourly tutoring consists of individual or small group study sessions in the evenings or on weekends for midshipmen requiring extensive extra assistance in calculus, chemistry, physics, dynamics, and statics. Only those midshipmen exhibiting extreme need, who have exhausted all other resources, are assigned an hourly tutor. Each academic year approximately 100 – 120 individual midshipmen receive up to 1,500 hours of individual tutoring.

Department Programs. The Naval Academy has a rich tradition of one-on-one interaction between the individual students and their professors. This interaction transcends the normal “office hours” provided by most schools. Class sizes are relatively small – on average, about 17 midshipmen in each class—and faculty members are encouraged to be available to students when needed. Student Opinion Forms specifically query students on the availability of their professors for “extra instruction,” or “EI,” as it is known colloquially. Many departments staff resource rooms during normal working hours to assist midshipmen on a walk-in or appointment basis; examples include the Mathematics Laboratory, Chemistry Resource Room, and the English Department Writing Center.

Remedial Coursework. Based on diagnostics conducted during Plebe Summer, midshipmen might be assigned to preparatory courses in mathematics and English. The mathematics course counts for academic credit as a free elective but requires the midshipmen to attend summer school to catch up with the mathematics core sequence required for graduation. The remedial English course does not require summer school and counts as a humanities elective in all majors.

Element 9.5 Athletic programs that are regulated by the same academic, fiscal and administrative principles, norms, and procedures that govern other institutional programs.

The physical mission is a principal pillar in the future officer’s moral, mental, and physical development, so every effort is made to provide ample opportunity for individual and team athletic competition. In addition to the core courses in physical education required of all midshipmen as part of the regular curriculum, participation in some form of sports at some level is a must.

Sports and Athletics. Sports and athletics, from varsity to intramural, are crucial to the Academy’s mission to train military leaders partially through development of their athletic skills. Navy fields 30 intercollegiate athletic teams (18 men’s, eight women’s, and three mixed-gender). A complete list is included in **Appendix 9-3**. These teams are supported by the Naval Academy Athletic Association. The civilian Athletic Director reports directly to the Superintendent of the Naval Academy. The Deputy Athletic Director is a senior Navy captain with additional duties as Head of the Physical Education Department. In this latter capacity, he also reports directly to the Commandant of Midshipmen. This integrated leadership structure ensures that athletic programs are regulated by the same academic, fiscal, and administrative principles, norms, and procedures that govern all other Naval Academy programs. The Athletic Association and the Physical Education Department have a key role in directly supporting the mission of the Academy.

At the club sports level, Navy fields 13 athletic teams (four men's, three women's, and six coed) that compete against other collegiate club teams. A complete list is included in *Appendix 9-4*. Club Sports are funded by non-appropriated government funds exactly like other extracurricular activities. As club sports, they enjoy the privilege of additional competitive trips than authorized for other ECAs. Varying from year to year, the Academy also has approximately a dozen “competitive” ECAs providing the opportunity for additional intercollegiate athletic competition.

The Academy also maintains a robust intramural program with compulsory participation from those not competing in varsity or club athletics (or in some service-related ECAs). Approximately half the Brigade participates each season. Intramural teams are organized by midshipman companies and battalions and compete to earn recognition as the “color company” –the company best overall in academics, athletics, and military performance. The intramural program events are listed in *Appendix 9-5*.

Physical Education Curriculum. All midshipmen are enrolled in a compulsory non-credit physical education course each semester. The curriculum includes instruction in water survival, lifetime fitness/physical development, combative skill training, and recreational skill development, covered over the four-year enrollment in 128 hours. Descriptions of each area are contained in *Appendix 9-6*.

Element 9.6 and 9.7 Reasonable procedures, widely disseminated, for equitably addressing student complaints or grievances. Records of student complaints or grievances.

As members of the U.S. Armed Forces, midshipman grievances are handled via their chain of command. Additionally, the midshipman leadership organization provides midshipmen the opportunity to practice leadership skills in these situations. Formal procedures exist to handle grievances at all levels (*Appendix 4-4* and *6-2*).

Records of complaints and grievances pertaining to academics are maintained by the Academic Dean’s Office. The Commandant’s Administration Office maintains records pertaining to other complaints and grievances, including Congressional and other correspondence.

Element 9.8 and 9.9 Policies and procedures, developed and implemented, for safe and secure maintenance of student records. Published and implemented policies for the release of student information.

Midshipman record keeping is administered via the MIDS computer system. Records pertaining to midshipman academic performance, athletic performance, conduct, accountability, and aptitude for commissioning, as well as tools to plan and execute schedules and tasks are contained in this system. Safeguarding and release of such information is governed by local instructions that closely mirror the requirements of the department of the Navy Privacy Act program. (*Appendix 9-7*).

Element 9.10 Ongoing assessment of student support services and the utilization of assessment results for improvement.

Each of the service areas has its own assessment process.

Life Services. The Midshipman Development Center continues to enjoy the confidence and support of USNA leadership. Additionally, within the last five years, the staff has expanded to include a civilian psychologist with an expertise in eating disorders and women’s issues as well as a sports nutritionist, whose services are in high demand. Most recently, funds have been made available to purchase state-of-the-art mental training equipment for performance enhancement purposes.

The effectiveness of college counseling centers is well-documented in the literature. Nevertheless, the MDC has given high priority to the development of an outcome assessment and monitoring tool. This computerized assessment tool is based on the Psychotherapy Outcome Assessment and Monitoring System (POAMS) currently being used at several local universities. The MDC version of this system was recently being field tested and is expected to be in place by the time this report is published.

Feedback from midshipmen regarding medical and dental services is solicited regularly via customer satisfactory questionnaires. Chaplains also survey the student body during Plebe summer and once each academic year regarding their religious needs.

Academic Advising. Each unit within the Academic Center has established a routine outcome assessment program. At the end of the academic year, adviser evaluation questionnaires are distributed to all midshipmen 4/c. The responses to these questionnaires are reviewed and shared with the advisers in order to improve the overall Plebe Advising Program. At the end of each learning skills series, all participants are given course evaluation questionnaires. The results of these questionnaires are used to improve course content as well as individual instructor performance.

Midshipman grades are the primary measure of success for the Tutoring Programs. Grade comparisons for students from point of entry to end of semester grade are tabulated for the programs within the Tutoring Program.

Success in the Academic Counseling Program (ACP) is measured solely by graduation rates. Because midshipmen enter this program with a wide array of academic difficulties, the primary measure of success is whether midshipmen who have used this program actually graduate. Midshipmen assigned to the ACP are already in serious academic trouble. In spite of this, the midshipmen who have been a part of the Academic Counseling Program graduate at a rate equivalent to the average graduate rate for the Brigade as a whole. Thus, the midshipmen in this program are performing at or above initial expectations.

The Academic Center is working closely with the Director of Academic Assessment to develop a more formal standardized system of outcome assessment. The revised system will be tested during the 2005-2006 academic year.

Extra-curricular Activities. Each year, an ECA Review Board meets under the auspices of the Commandant of Midshipmen to evaluate each ECA with respect to compliance with existing procedures and support of the mission of the Naval Academy. Those found lacking have their funding reduced or are eliminated. Procedures are well-defined for groups of midshipmen to petition for status as an ECA.

Athletics. The Naval Academy is subject to the oversight and periodic evaluation of the National Collegiate Athletic Association (*Appendix 9-8*). In addition, the Academy conducts periodic internal reviews of the Physical Mission—that portion referenced in the Academy's basic mission statement. Both the 2005 institution wide strategic planning effort and a separate Physical mission review, occurring in Academic Year 2005-2006, will, together, afford a comprehensive look at issues such as Athletic Organization, Varsity Sports, Physical Education, Personal Conditioning, Officer Development, Importance of the Physical Mission, External Relations and Outreach, Facilities, Resources, and Midshipman Athlete Performance (Strategic Plan slides, *Appendix 2-4*; Charter of the 2005-2006 Physical Mission Review, *Appendix 9-9*). Annually, a Sports Advisory Committee meets to evaluate the status of Competitive ECAs and Club Sports. This committee considers petitions for a change in status and makes recommendations for funding in the follow-on academic year. This process also includes cases of promotion of a club sport to varsity status. Teams are evaluated in terms of the academic performance, physical readiness, conduct and aptitude for commissioning of its team members, and not by win-loss records.

The physical readiness standards of the Brigade are monitored closely through semiannual Physical Readiness Testing (results of recent PRTs for the Brigade are in **Appendix 9-10**).

Recommendation 9-1 Athletic Facilities. *Currently, scheduling the various users of athletic fields and indoor and outdoor courts is a complex problem and has resulted in elimination/degradation of some intramural programs over the past 10 years. More attention to athletic facility usage is needed to keep up with the needs of all midshipmen appropriately and fairly. The Naval Academy should conduct a review of athletic field and court needs to support all athletic programs both before and after the completion of the Wesley Brown Field House and North Severn Tennis/Hockey Facility, and develop solutions to shortfalls, which include greater cross-utilization and scheduling of existing athletic fields/courts and building new fields/courts, as required.*

Recommendation 9-2 Extracurricular Activity Meeting Space. *The number of meeting rooms, particularly those able to accommodate larger activities, is small. Completion of the Brigade activity center and renovations in the academic complex will not fully meet the shortfall. The Naval Academy should therefore conduct a review of the need for ECA meeting space to support all authorized ECAs.*

Recommendation 9-3 Mentorship. *Counselors, medical personnel, academic advisors, tutors, Plebe sponsors, officer representatives, coaches, remediators (senior officers assigned to mentor honor, major conduct and major performance transgressors in a one-on-one forum), company officers, and senior enlisted advisors all share a common responsibility to be involved in the lives of the students at a professional, yet very personal, level. This interaction teaches the midshipmen first hand what it means to be an effective, concerned leader. In the face of often frequent staff turnover, the Academy should continue to nurture and strengthen this ethos of mentorship wherever possible. It is a current strength and should not be allowed to dissipate.*

Recommendation 9-4 Dormitory. *The renovation of Bancroft Hall has resulted in an outstanding student living facility. With all their basic needs taken care of, students are free to concentrate on mission accomplishment. Nonetheless, deterioration quickly sets in if care is not given to the day-to-day care and maintenance of new and newly renovated facilities. The Academy should therefore ensure that adequate resources are channeled to the upkeep of Bancroft Hall, which is both a centerpiece and enabling locale for the most of the Academy's leadership and character development programs.*

STANDARD TEN

FACULTY

The response to this standard should describe how the institution's instructional, research, and service programs are devised, developed, monitored, and supported by qualified professionals.

The Naval Academy's faculty, military and civilian, are at the heart of the institution's educational enterprise. The mixture of career teacher-scholars and career naval professionals is not only long-standing but also emblematic of the Academy's continuing commitment to the theoretical and the practical, the professional and the academic, in a single comprehensive curriculum. The Academy aspires to attracting the very best military officers and career civilian teacher-scholars to this single faculty in sufficient numbers to accomplish the institutional mission. In both cohorts, the Academy has achieved significant successes, but still has significant work to do. The response to Standard Ten outlines the progress to date and the challenges that lie ahead.

Element 10.1 Faculty and other professionals are appropriately prepared and qualified for the positions they hold, with roles and responsibilities clearly defined, and sufficiently numerous to fulfill those roles appropriately.

The preparation of the Naval Academy's military and civilian faculty is appropriate to its role as a commissioning source for the Navy and Marine Corps, structured around a four-year undergraduate curriculum. Since the founding of the Naval Academy in 1845, the faculty has comprised both military officers and civilians: in recent decades the Academy has embraced the proposition that a 50/50 balance of career officers and professional scholars, plus or minus five percent, is ideal. Military professionals constitute a significant portion of the faculty, teaching in both academic and professional portions of the curriculum. Officers assigned to teach at the Academy, ordinarily for two- or three-year tours, bring with them the perspective of the fleet, up-to-date knowledge of the military profession, and the inherent qualities to serve as role models for midshipmen. Officers teaching in academic departments are ordinarily required to have at least a master's degree. Civilian professors generally have the same qualifications – prominent among these an earned doctorate in the discipline in which they are teaching – and the same responsibilities as their counterparts in civilian colleges and universities; the civilians contribute current knowledge of their scholarly fields, academic leadership, and continuity.

The number of faculty over the last ten years has been stable, with an average of 539 members, resulting in a student-faculty ratio of about 7.5:1. The civilian members have averaged 314 and the military members 225; the ratio has been on average 58 % civilian to 42 % military. While the number of Full and Associate Professors has remained roughly constant, the number of Assistant Professors has increased by approximately 40%. Non-tenure track faculty include post-doctoral instructors, Visiting Professors, and Chairs of endowed positions.

The continuing rationale for a robust student faculty ratio has been the cost effectiveness of a high four-year graduation rate, currently slightly over 80%. Careful comparison with peer institutions (Dean's Study on Attrition and student-faculty ratios, *Appendix 3-5*) suggests that midshipman attrition and cost-per-graduate will increase—and the cost effectiveness of the Naval Academy's academic program will drop—if the student-faculty ratio moves outside its historic range of seven or eight to one.

Relations between military and civilian faculty are uniformly excellent. The mutual exchange of information and ideas makes for a strong, cohesive faculty.

MILITARY FACULTY PROFILE

A dedicated officer faculty drawn from the Fleet and Fleet Marine Force (FMF) provides midshipmen with an understanding of the applications of what they learn in the classroom to their future military careers as well as offering professional and personal role models for emulation.

The inauguration of the Permanent Military Professor (PMP) Program in 1998 has added depth and stability to the Academy's officer faculty while fulfilling the crucial mission elements of fleet expertise and experience. The Distinguished Military Professor (DMP) Program has had a similar positive effect.

The officer faculty comprises (1) active-duty Navy officers, (2) active-duty Marine Corps officers, (3) recalled Naval Reservists, (4) exchange officers from other U.S. Forces (Army, Air Force, and Coast Guard), and (5) exchange officers from the navies of other nations. The active-duty Navy instructors represent the unrestricted line (Aviators, Submariners, and Surface Warfare Officers) as well as the restricted line and staff corps (Engineering Duty, Aviation Engineering Duty, Civil Engineering Corps, Judge Advocate General Officers, and Medical Service Corps). Officer faculty teach in the three academic divisions (I, Engineering and Weapons; II, Mathematics and Sciences; III, Humanities and Social Sciences) as well as in Division IV, Professional Development, and Division V, Officer Development.

Academic Qualifications and Length of Tours

Divisions I, II, and III generally require an advanced degree in a related topic for an officer to be acceptable for assignment although a noteworthy exception to this generalization is the cohort of nuclear power-trained officers, who can teach many Division I or II courses. Of 136 military faculty assigned to these groups, 31 or 22.8%, hold a Ph.D.; 96 or 70.6% hold a master's degree; and nine or 6.6%, hold a B.A. or B.S. Those holding only a B.A. or B.S. are generally graduates of the Navy's post-graduate Nuclear Power School or are currently enrolled in graduate programs at local universities leading to a master's degree. The Naval Postgraduate School does not offer degrees in history, English, economics, or foreign languages, and officers wishing to pursue a master's in these fields must do so on their own time or avail themselves of a recently established program, Graduate Education + Teaching (GE+T), initiated during the 2004-2005 academic year; Tuition Assistance, an existing Navy program for active duty personnel, is available in exchange for an extended service commitment. Most unrestricted-line (URL) officer tours are two years, but other warfare communities allow tours as long as three years.

Permanent Military Professors

26 active-duty Naval officers currently serving on the faculty hold the title of PMP. This program, based on similar arrangements at the U.S. Military and Air Force Academies, was established by Superintendent ADM Charles R. Larson. In addition to the 26 PMPs currently on board, an additional 12 officers are finishing their doctoral degrees with reporting dates of 2006 or 2007. The military rank of all PMPs is Commander (O-5) or Captain (O-6).

Distinguished Military Professors

One other source of senior uniformed faculty is the DMP Program. This program hires a retired senior officer for special programs such as the Center for Professional Military Ethics or the Character Development Division.

Changing sources of military officers.

Over the last decade the Naval Academy has drawn fewer active-duty officers for two-or-three year rotational assignments at the Naval Academy, and has, instead, depended increasingly on PMPs, Reservists, and, soon, GE+T officers; these new sources have largely proven effective, with only five unfilled officer billets at the start of the Fall 2005 semester. The percentage of officer faculty has declined to 42% of the whole from the preferred figure of 50%, plus or minus 5% that the Academy and the Navy leadership

embrace. This reaffirms the need for the Naval Academy to continue to collaborate creatively with the Chief of Naval Personnel in support of initiatives—PMP, GE+T, DMP, and Reserve Recall—that will stabilize the officer faculty at full strength, with no vacant billets.

The institution of the PMP Program has not yet solved the problem of declining military staffing, and the program still needs refinement. There is currently no USNA or OPNAV instruction regulating the program (though there is an active draft currently under review); the governing guidance is still being published in ad hoc Navy-wide administrative notices. Proposed revisions include increasing the size of the program to 50 officers; creating a designated PMP community to facilitate the possibility of further promotion; and allowing retention of PMPs beyond the current statutory retirement dates (28 years of commissioned service for a Commander, 30 for a Captain), subject to successful evaluation by a Navy continuation review board.

Over the past decade, USNA has been unable to achieve its long-held goal of a faculty that is 50 percent military and 50 percent civilian. In its 27 January 2004 report, the Board of Visitors recommended that the officer percentage of the faculty not be allowed to slip below 45%. The decline in the number of officer faculty has led to an increased reliance on adjunct faculty. Fewer officers also means that the number of collateral duties assigned to each officer has increased, further distracting from primary teaching duties. Finally, the grade level of officer faculty has tended to increase: while these senior officers have the appropriate academic and professional credentials, they are sometimes less connected with current operations and junior-officer perspectives.

Graduate degrees in humanities and social sciences

In fall 2004 the Naval Academy instituted the GE+T Program to help junior officers prepare for teaching billets. Officer faculty candidates are sent after a first operational tour for a year to obtain a master's degree in their discipline; they then spend two years in the classroom. Currently, two junior officers, are participating in GE+T, with the expectation that 15 officers will be selected for this program each year. The GE+T Program offers the potential to resolve some long-standing problems with officer staffing and make a tour at the Naval Academy more attractive to junior unrestricted line officers.

As a result of the establishment of the PMP and GE+T programs in 1997 and 2004, respectively, the Navy has begun funding graduate degrees (master's and PhD) in English and History. GE+T and PMP, combined with the renewed interest of the Navy's Executive Steering Group in affirming a faculty of roughly 50% civilian and 50% military, plus or minus 5%, are expected to reverse a trend toward increased civilianization of the faculty in at least two of the academic divisions.

CIVILIAN FACULTY PROFILE

A civilian faculty that combines academic excellence and professional dedication contributes greatly to the Academy mission by leading midshipmen to achieve their full mental, moral, and physical potential. As Higher Education Research Institute surveys in 1998 and 2001 (*Appendix 6-16*) have demonstrated, civilian faculty are highly committed to the Academy's emphasis on teaching in full support the mission of the institution. Survey outcomes indicate that USNA teachers surpass instructors of almost all other colleges studied in making themselves available to their students outside of class. The majority of civilian faculty spend their careers at the Academy, providing a core of staff stability and institutional continuity. While teaching excellence is an Academy benchmark for professional development, the civilian faculty also have an increasingly distinguished record as scholars, with many possessing national and international reputations in their fields.

The academic departments follow the same procedures for recruiting and hiring faculty as most civilian schools, with preliminary screening, selected interviews, and on-campus visits conducted by faculty committees. Recommendations for appointment are subject to endorsement by a Division Director and the

Academic Dean and Provost prior to final approval by the Superintendent. The Academy adheres to Equal Opportunity and Affirmative Action regulations. Civilian faculty members have “excepted” civil service status under Title 10 of the U.S.C., which permits the flexibility in working schedules and conditions necessary to handle the many and varied aspects of college teaching.

Academic Qualifications

Of the 278 full time civilian faculty teaching in the four academic divisions, 277 or 99.6%, hold the Ph.D. When Physical Education Department and administrative faculty are included, the total is 293 out of 317 or 92.4%.

Minorities and Women

At the beginning of AY2004-05 the civilian faculty included 83 women and 33 members of ethnic minority groups. These numbers represent a slow but steady increase over the 67 women and 30 members of ethnic minorities reported in the 1995 Middle States Self-Study.

Hiring

In the past ten years 131 civilian faculty members were hired on a tenure-track basis. Faculty hiring showed a positive trend until it peaked at 22 accepted offers in AY2001-02. It decreased in the following two years, then rebounded to normal levels (17 new hires) in 2004-05 (Tenure-Track Appointments, *Appendix 10-1*).

Lack of Data on Faculty and Support Staff

Although the Office of Institutional Research collects extensive data on midshipmen, much of the important data on faculty and support staff remain available only in the Dean’s Office. Since the commencement of this study in the fall of 2003, the Dean’s Office has made major advances in tabulating and computerizing essential information on faculty composition, hires, resignations, leaves of absence, and sabbaticals and making it readily accessible for use by administrators and faculty alike. The Dean’s Office has also taken steps to remedy significant lacunae, such as information on Physical Education faculty and Adjunct faculty members that we noted in our preliminary report.

Section Size

The average section size in core courses has remained stable over the past ten years (about 17 midshipmen in each section, institution-wide) and is lower than in many other institutions; nonetheless, the average section size remains in the low twenties in several entry-level courses (English, history, political science, and chemistry are examples) where smaller section size would afford better faculty-midshipman interaction at the foundation level and better long term academic success over the four year program.

Adequate Clerical, Technical, and Professional Support

One of the main concerns of the study group addressing Standard Ten was the adequacy of clerical, technical, and professional support within the academic program at the Naval Academy. The number of support staff at USNA has fallen from approximately 1,071 workers in 1993 to 950 in 2003, an 11% decline that has not been commensurate with the size of the Brigade or with duties shifting to academic departments. The Library, for example, is staffed at 25% below its 1993 level. The study group found in particular that requirements for filing midshipman movement orders, planning and documenting travel, purchasing equipment, and even mailing a letter have added to the administrative burdens on academic departments, as well as individual faculty and staff. Particularly in the case of travel and purchases of supplies and equipment (in the wake of several “reinventing government” initiatives) individual faculty and staff members have had to learn complex administrative procedures that may be more efficiently handled by trained administrative specialists. This issue was compounded during the Academy’s response to the damage inflicted by Tropical Storm Isabel; faculty in Groups I and II, especially, struggled to replace essential laboratory equipment expeditiously, while trying to sustain full teaching and research agendas at the same time. The study group strongly recommends (see *Recommendations 10.7* and *10.21*, below) that all

administrative and technical duties are appropriately assigned—and staffed, graded and compensated—in a manner commensurate with the work that needs to be done. The 2005 USNA Strategic Plan (Appendix 2-4), reporting out in 2006, includes a review of USNA business processes and academic support staff and processes, in order to examine these emerging challenges and how best to address them.

Element 10.2 Educational criteria designed, maintained, and updated by faculty and other professionals who are academically prepared and qualified.

Day-to-day responsibility for the academic core and majors programs, outlined in the Academy's response to *Standards Eleven* and *Twelve*, clearly resides with the faculty. Academic departments are responsible for the course offerings in their majors curriculum. Periodic reviews by ABET, the American Chemical Society, and triennial departmental visiting committees (ACDEANINST on Visiting Committees, *Appendix 10-2*) ensure that departments are guided in this regard by the best practices of their respective fields. The Faculty Senate Core Curriculum Committee has responsibility for review, deliberation, and recommendations concerning the Academy's core curriculum and its responsiveness to the requirements of the Naval Services.

A recent example of the vitality and centrality of the Core Curriculum Committee's role in curricular matters at the Academy, the Superintendent was briefed in depth on the academic core and majors programs during academic year 2004-2005 and directed the Core Curriculum Committee to evaluate current core and make recommendations concerning its future configuration. That review, by the Senate Curriculum Committee, was underway as of this writing (Curriculum Committee letter, *Appendix 10-3*) with a due date back to the Academic Dean and Superintendent by early 2006.

Element 10.3 Faculty and other professionals, including teaching assistants, who demonstrate excellence in teaching and other activities, and who demonstrate continued professional growth.

Naval Academy faculty are recruited and mentored with a view towards their primary responsibilities as outstanding classroom teachers. A Director of Teaching and Learning (DTL) was appointed in Academy Year 1995-1996 to support all faculty in their teaching endeavors. The DTL provides a variety of workshops, colloquia, and seminars on teaching, both for beginners and veterans. Faculty are evaluated with respect to their teaching. Peer and supervisory visitations occur routinely within departments each semester. Faculty under consideration for promotion and tenure receive separate visitations by members of the Naval Academy-wide Promotion and Tenure Committee. There are several annual Naval Academy-wide awards for outstanding teaching.

Civilian faculty members are expected to maintain discipline currency through continued productive interaction with their discipline peers, in the presentation of papers, publication of articles and books, and the participation in panel discussions. Military faculty members are expected to maintain their academic and professional currency, as appropriate. Officers on rotational tours, generally three years or less in length, are more oriented toward their professional growth in the Navy, since this is a precondition of their future promotion potential. PMPs, on the other hand, are expected to develop and sustain active research programs appropriate to their academic discipline and stature in the field. Both military and civilian faculty members are evaluated annually with respect to these criteria.

Element 10.4 Demonstrated institutional support for the advancement and development of faculty.

Most civilian faculty members are paid for ten months of the year. Those professors who wish research support for the two intersessional months must apply for additional funding, and the Academy provides several opportunities. The primary internal funding source is the Naval Academy Research Council (NARC), which offers grants totaling \$730,000 annually: the Office of Naval Research (ONR) provides approximately \$330,000 of these monies and the Academic Dean's budget provides the other \$400,000. Limited monies are

also available for Curriculum Development Projects (CDPs), administered by the Academic Dean through the Faculty Senate Curriculum Committee, to fund pedagogical research. NARC grants fund the full summer salary of untenured Assistant Professors in their first three years; funding for these “junior” faculty members is virtually guaranteed to support a solid beginning for career growth. For applicants beyond their first three years, the senior NARC grants provide \$5,000 for the summer. A large portion of the civilian faculty members in Groups I and II, Engineering and Math & Science, obtain summer funding from predominantly external sources, and are effectively on salary all twelve months of the year. The situation in Group III, the Humanities and Social Sciences, is different. Outside funding sources for the humanities and social sciences are few and the monetary value of grants tends to be small. Internally, the Dean’s budget funds grants to faculty in the humanities and social sciences; these grants include no ONR money. Relatively fewer senior applicants are awarded NARC grants due to budget limitations.

Other support and awards that enhance faculty development derive from a variety of sources: ONR also provides matching grants for faculty who can raise at least half their summer salary from a laboratory such as the Naval Research Laboratory (NRL), Naval Surface Warfare Center (NSWC), NavAir, or SpaWar.

The dean’s budget includes \$90,000 to fund recognition grants for faculty who raise half their summer salary from a non-Navy source such as the National Science Foundation (NSF), the Army Research Laboratory (ARL), the Applied Physics Laboratory (APL), the National Endowment for the Humanities (NEH), the National Aeronautics and Space Agency (NASA), or the Institute of National Security Studies (INSS).

In addition the Dean’s budget includes \$50,000, recouped from a buy-down of the affected faculty members’ ten-month salaries, to fund bonuses for faculty who raise their summer salary plus two extra weeks. These faculty members earn a \$2,000 bonus. An exception is made for those who win NSF grants. In order to follow NSF regulations, these faculty are not required to earn two extra weeks’ salary in order to earn a \$2,000 bonus.

An annual gift fund of \$28,000 from Mr. James Kinnear pays for two summer salaries for tenured professors each year in chemistry and physics. A special committee within the Mathematics and Science Division reviews proposals from these departments.

CDPs are submitted by departments for summer funding to support innovation and enhancement of course and departmental curricula. This money comes out of the dean’s budget. The proposals are reviewed by the Faculty Senate Curriculum Committee who advise the Academic Dean on which proposals are worthy of support.

The Naval Academy does not charge outside grants an overhead, or *indirect*, cost. It does charge an acceleration cost, a *direct* charge, for fringe benefits associated with the affected faculty members’ personnel costs. These include leave earned during the summer and retirement benefits. The current acceleration rate (Summer 2005) is 33%.

Faculty in all departments attend professional conferences, and the funding for this participation is largely supported by departmental budgets.

Full-year sabbaticals at the Academy are funded at 70% of the faculty member’s salary, and half-year sabbaticals are fully funded. A faculty member who wishes to apply for a sabbatical writes a proposal to the Academic Dean and Provost. Sabbaticals are contingent upon department approval and available replacement faculty.

Research Productivity. Faculty productivity in research is hard to gauge, but one crude measure, the number of publications and presentations given per year, has registered a sharp increase over the past quarter century and a smaller but still significant increase in the past decade. In 1979, 557 faculty produced 122 publications of all types and gave 75 presentations; fourteen years later, in 1993, faculty reported 206 publications and 345 presentations. In 2001, the most recent year for which data is available, faculty reported 452 publications and 425 presentations (Faculty Publication 1979 – 2001, *Appendix 10-4*). Between 1993 and 2001 the number of civilian faculty increased from 318 to 336, or 5.6 percent; the number of publications increased by 119% and presentations by 23%.

Increased Sabbatical Support. In 2000 the USNA increased support for those taking full-year sabbaticals from 50% to 70% of full salary. Largely due to this change, the number of faculty taking full-year sabbaticals has increased dramatically, from an average of 2.1 sabbaticals per year in AY1993–1999 to 13 out of the 17 that were granted in AY2003-04 and 9 out of the 18 that were approved for AY 2005-06.

Faculty Enhancement Center (FEC). In January 1996, Dean Robert H. Shapiro established the Academy's Faculty Enhancement Center, which offers an array of programs to help faculty improve their teaching and develop new approaches to learning and assessment and enhance their research and scholarship. The Teaching and Learning Office offers workshops on different aspects of teaching (nine in the summer of 2005); consultations and classroom observation for individual faculty members; and grants to attend conferences on teaching and learning. The Assessment Office coordinates and facilitates department and division academic assessment activities. In addition, the Research and Scholarship Office coordinates submission and execution of external grant proposals and provides support for faculty and midshipmen research.

Naval Academy Research Council Grant Notification. As a result of recent financial uncertainty, some faculty have unfortunately not notified whether their NARC proposals have been funded only after the end of classes in mid- to late May; this late timing makes planning a summer research schedule very difficult.

Summer Salaries. The salary grant paid to senior NARC recipients has been limited to \$5,000 for the summer for the past fifteen years, and inflation has taken its toll on the value of the award. There has been a 53% increase in the Consumer Price Index between January 1990 and June 2005, meaning that the value of \$5000 in 1990 has fallen to approximately \$3200 in 1990 constant dollars; or, alternatively, that an equivalent award in 2005 dollars should be \$7650. Some upward adjustment seems justified.

Levels of Summer Research Funding Among Divisions. The Academy needs to address the disparity in summer research funding between Groups I and II, in which almost many faculty find external funding, and Group III, where very few have such opportunities, and where internal funding is limited as well. The Academy needs more expertise in identifying outside funding sources for the humanities and social sciences and assisting faculty to apply and obtain grants from these sources; it should consider appointing an assistant to the Director of Research and Scholarship with a proven track-record in this field. Per internal funding, the Academy should explore new options. The Dean's Office recognizes this problem of summer funding and is investigating ways of redressing it, e.g., matching external grants for Group III disciplines at a ratio of 2:1 or 3:1, but it has yet to put any program into action.

Frequency of Sabbaticals. Although the average annual number of sabbaticals taken has increased over the past decade, from 12 in AY1992-93 to 18 in AY2005-06, this rate is still too low to ensure a genuine "sabbatical" system in which faculty are released from teaching to pursue their research once every seven years (*Appendix 10-5*). The number of sabbaticals taken varies dramatically by division: faculty in Group I take sabbaticals infrequently, with an average of two sabbaticals per year between 1993 and 2005 whereas faculty in Group III have averaged seven per year during the same period.

The differences between divisions may be due to differences in department culture, as well as in the availability of resources for research: faculty in Group I who regularly receive summer funding to pursue research may not feel as pressing a need for a sabbatical as faculty in Group III. Another factor in the frequency of sabbaticals is that in some smaller departments the absence of a faculty member may have a serious impact on course offerings. Finally, the main deterrent to sabbatical opportunity is lack of financial support. For many faculty in Group III, a full-year sabbatical at 70% salary is still insufficient to live on due to the high cost of living in the Washington and Annapolis areas. The Dean's Office continues to evaluate the idea of instituting full-year sabbaticals at 80% of salary, but it has not yet implemented the scheme.

For departments, sabbaticals present different funding challenges. Although the Dean's Office will fund replacement adjunct instructors for those on full-year sabbaticals, using the savings from the reduction in pay, it will fund no replacements for those on one-semester, full-salary sabbaticals; in everyday Academy parlance, the departments have to take these sabbaticals "out of their hide" depending largely on expectations of "light" and "heavy" semesters. Without funding for replacement instructors, few departments can afford to allow more than one faculty member go on sabbatical per semester: in a department with 25 civilian faculty members, this restriction could lead to a wait of 12 years for a sabbatical. Departments need increased funding for adjuncts to support sabbaticals.

Travel Funds. Faculty members in Groups I and II often obtain funding for travel to conferences as a part of larger research grants from outside agencies whereas in Group III, almost all travel to conferences is funded from department budgets. The size of department budgets has largely remained static for fifteen years and has dropped recently. Increasingly, even Assistant Professors are paying out of their own pockets for travel to conferences at which they deliver papers.

Element 10.5 Recognition of appropriate linkages among scholarship, teaching, student learning, research, and service.

The Naval Academy Faculty Handbook, chapter III, (*Appendix 1-6*) explicitly embraces teaching, research, and institutional service as the core activities for Naval Academy faculty. The Handbook also acknowledges that the relationship among these criteria will vary depending on whether the faculty member is military or civilian, whether the civilian is a junior or senior faculty member, and whether the officer is at the Academy on a rotational, three-year tour, or for an extended period, as a PMP. The civilian faculty performance evaluation form (see *Elements 10.6, 10.7, and 10.8*, below) also explicitly outlines expectations for teaching, research, and service (*Appendix 6-4*).

Release Time for Service. Service on some Academy committees, e.g., the Admissions Board, the Yard-wide Promotion and Tenure Committee, and the presidency of the Faculty Senate, can require extraordinary amounts of time, and faculty assume these duties in addition to their regular teaching loads. To the extent departments in the past were able to shift larger teaching loads to officers and to civilian faculty whose research programs were no longer active, that is less and less the case today. As noted elsewhere in this chapter, the Academy faculty, both civilians and officers, have prominent and active research agendas. Due to extensive and increasing service responsibilities, the Academy faces the long term risk of faculty burn out without some relief (more resources; fewer responsibilities).

Service Requirement for Promotion to Associate Professor. The service requirement for promotion to the rank of Associate Professor could be more clearly expressed. Both the Faculty Handbook and the Dean's instruction on promotion emphasize that promotion to that rank ought to be primarily based upon teaching ability and scholarship. While acknowledging that in the past too much service has been expected from Assistant Professors, some senior faculty think that the present criteria might allow Assistant Professors to achieve the rank of Associate Professor with inadequate understanding of the Academy, much less a real demonstration of commitment to its mission. A review of the current criteria may be useful.

Compensation. Since 1962 the civilian faculty has shared a merit pay system with the Naval War College and the Naval Postgraduate School based on 66 pay steps for teaching faculty and 19 for supervisory faculty (illustrated in *Appendix 10-6* to this chapter). The system is currently capped at Step 63, or at \$149,200, due to Congressional limitations on salaries of Federal employees. Annually in May and June departments and the Academic Dean review all faculty to determine merit awards based on performance during the previous year, which take effect in August at the beginning of the succeeding academic year. Merit awards usually take the form of increases of one or two pay steps; since 2000, those promoted to a higher academic rank have received four steps, and department chairs receive five steps (in addition to annual awards) on their appointment. The average number of pay steps per faculty member awarded in August 2001, exclusive of promotion and chair appointments, was 1.27; in August 2002, 1.65; in August 2003, 1.00; and in August 2004 and August 2005, 1.00.

Faculty are normally on salary for ten months of the year. As with other Federal employees, civilian faculty receive cost-of-living adjustments and locality-based comparability payments. Additional benefits include life insurance, health insurance, retirement, and Medicare. Faculty and staff hired after 1983 are enrolled in the Federal Employees Retirement System (FERS); those hired prior to that date are enrolled in FERS or its predecessor the Civil Service Retirement System (CSRS).

The Naval Academy participates in the annual Oklahoma State University (OSU) comparisons of faculty salaries as a benchmark for its salaries: the goal is for faculty salaries to rank in the 70th percentile of salaries for comparable institutions in order to recognize the relatively high cost of living in Annapolis, MD. Currently, according to data published in March 2005, the Naval Academy ranks in the 52nd percentile (Full Professors at the 30th percentile; Associate Professors at the 89th; Assistant Professors at the 87th).

Unstable Funding of Merit Pay System. Inconsistent and unreliable funding of faculty merit increases presents a problem within the salary system. As noted above, the total number of pay steps available for merit awards fluctuates from year to year: between 2001 and 2004, the number of steps per faculty member ranged between 1.00 and 1.67. Information collected by the Faculty Senate Compensation Committee suggests that a healthy system requires a minimum of 1.3 steps per faculty member per year and preferably 1.5: if the Academy hopes to move salaries to the 70th percentile of its OSU cohort, then 1.5 steps may be a more realistic figure. The Navy and the Naval Academy need to define and support a robust and sustainable financial foundation for the compensation and professional development of its career civilian faculty, including a fully funded merit pay system. Setting aside a defined sum for salaries in the biennial Program Objectives Memorandum (POM) submission could underwrite a robust and stable merit pay system. The cost of living in Annapolis is increasingly a factor affecting all facets of civilian faculty life from hiring to salaries to total compensation package. As the Superintendent's Committee on Faculty noted in its briefing on 24 June 2005, an August 2004 study by Runzheimer International, an executive consulting firm that the Academy has engaged to monitor the cost of living in Annapolis, suggests that Annapolis is now 12% more expensive than State College, PA (statistically, the national average for cost of living), and comparable to a major urban area such as Chicago.

Weak Total Compensation Package. Since 1997 the Faculty Senate has maintained a file comparing compensation at USNA with that at a cohort of 13 other colleges and universities that share similarities in location, academic emphasis, or undergraduate profile; these schools are Bucknell, Colgate, Delaware, Duke, George Mason, George Washington, Georgia Tech, Lafayette, Lehigh, University of Maryland, Notre Dame, Tulane, and William and Mary. In 1995-96 USNA ranked last among this group in average total compensation; in 2001-02 it ranked eleventh; in 2004-05, according to figures in the March-April 2005 issue of *Academe*, it ranks ninth, with an average compensation of \$104,800 compared to an average of \$107,100 for all fourteen schools.

In light of rising educational costs across the nation, a benefit of particular concern to many faculty is tuition assistance for children, which USNA does not offer. Since it is extremely unlikely that USNA will ever be able to obtain additional funding for this benefit or for some others, the Academy needs not only to raise salaries commensurately but also to explore other compensation options, e.g., bonus programs, available to Federal employees. In FY 2002, 62% of 1.6 million Federal employees earned bonus awards; the average award was worth 1.6% of the recipient's annual salary (*Washington Post*, 17 May 2004, p. A01). These programs could supplement but should not replace the current merit pay system.

Low Comparable Salaries for Full Professors. In contrast to the salaries of their junior colleagues in the ranks of Assistant and Associate Professor, the salaries of Full Professors are only in the 30th percentile of the institutions in the Academy's OSU cohort of disciplines. This is lamentable for several reasons: (1) the relative lack of competitiveness in Full Professor net salaries (measured by OSU) is compounded by a less competitive comprehensive benefits package, including, particularly, the absence of any college tuition benefit for dependents; (2) the lower relative competitiveness is reflective of a lack of robust stability in the Academy's merit performance reward system over the years—faculty that were hired at competitive rates ten or more years ago have not enjoyed a stable compensation and rewards system over the course of their career.

Lack of Funded Release Time for Service. Service on some Academy committees, e.g., the Admissions Board, the Yard-wide Promotion and Tenure Committee, and the Presidency of the Faculty Senate, can require extraordinary amounts of time and faculty assume these duties in addition to their regular teaching loads. To the extent departments in the past were able to shift larger teaching loads to officers and to civilian faculty whose research programs were no longer active, that is less and less the case today. As noted elsewhere in this chapter, the Academy faculty, both civilians and officers, project increasingly prominent and active research agendas; the face of unremitting service responsibilities, the Academy faces the long term risk of faculty burn out without some accommodation (more resources; fewer responsibilities) on this front.

Uncomfortable—and in some cases, Unsatisfactory—Working Conditions in Older Buildings. The Naval Academy has been fortunate to renovate all but two of its academic buildings (Nimitz, Rickover) in the past five years. In those not yet renovated, some conditions persist that have existed for many years: the heating, ventilation and air conditions problems in Nimitz Library, for example, have persisted. Current Public Works planning for interim fixes, short of a full building renovation, may provide some relief in this area. Routine service calls to Public Works are usually handled within ten working days, but sometimes personnel show up without advance notice at sites with no one available.

Parking Issues. Public transportation in the vicinity of the Naval Academy is limited, so nearly every member of faculty and staff depends upon the automobile for the daily commute. USNA does not have a long-term parking plan, though Base Operations would like to develop one for the future. On an average working day between 85 and 90% of spaces are filled. Frequent special events exacerbate the already tight parking situation. Although a parking garage for the Yard has been planned since the 1970s, it has received low priority in successive renovation and construction schemes. VADM Rempt raised the issue of the garage in his State of the Academy address in September 2004, and faculty hope that he will make it a priority construction project during the remainder of his tenure.

Lack of Adequate Childcare. There is no childcare facility located on the Yard. The Child Development Center (CDC) is located at the Naval Station across the Severn River and in-home childcare, Child Development Homes (CDH), is based there as well. Both facilities have waiting lists, with priority given to children of active-duty and retired military personnel; civilian faculty and staff can rarely enroll a child in the center or homes due to their position in the lowest priority category (4 out of 4) on the waiting list. As of May 2004, there were eight filled infant spots at CDC and approximately 22 filled infant spots at CDH; the

waiting list included 39 infants, including 16 with military parents (Priorities 1-3), 13 with civilian parents (Priority 4), and 10 unborn babies (Priority unknown). The Faculty Senate and its predecessors have addressed the issue of child care several times over the past twenty years. At the direction of the Superintendent, an ad hoc committee of the Faculty Senate is currently investigating the costs of establishing a Naval Academy Childcare Center.

Family Leave Policies. The Academy lacks a published comprehensive policy on family leave, which in the case of faculty, is used primarily for pregnancy. The Family Leave Act guarantees up to twelve weeks of family leave after a year of government service, and the USNA Faculty Handbook further stipulates that “an employee who has accrued leave may replace leave without pay with paid sick or annual leave”. Faculty have expressed the concern that the policy is applied inconsistently from department to department and that the lack of a published policy may create unintended or apparent inequalities across individual departments and faculty members.

Element 10.6 Published and implemented standards and procedures for all faculty and other professionals, for actions such as appointment, promotion, tenure, grievance, discipline and dismissal, based on principles of fairness with due regard for the rights of all persons.

The Naval Academy Faculty Handbook and a variety of related instructions (“Procedures for Appointment to the Faculty”, ACDEANINST 12300.1 (*Appendix 5-2*); “Outside Employment”, ACDEANINST 5370.4D; “Reporting of Teaching and Professional Activities”, ACDEANINST 5314.1C; and “Preparation of Recommendations for Academic Promotion, Tenure, Reappointment, and Non-Renewal of Contract”, ACDEANINST 12335.1 (*Appendix 10-7*) are available to all faculty and administrators on line. These instructions are subject to the periodic review of the Faculty Senate, the Academic Dean and, where appropriate, the Superintendent.

Promotion and Tenure. Criteria for promotion with expected performance levels in teaching, scholarship, and service are published in the Faculty Handbook, part III, sections 2b and 2c (*Appendix 1-6*), and in the USNAINST 12430 series (*Appendix 6-4*, and *10-8*). The USNA promotion and tenure process does not require outside referees to assess the scholarship of a candidate, although the Promotion and Tenure Committee will read and weigh outside evaluations submitted by the candidate with his or her package.

Between AY1994-95 and AY2004-05 a total of 91 of 99 eligible faculty members were promoted to Associate Professor with tenure while another 71 of 99 candidates were promoted from Associate to Full Professor. Of those not promoted to full professor, twelve still remain on the faculty and are eligible to apply again. Twelve retired as Associate Professor, three have resigned, and one has died. Of the 91 promoted to Associate Professor, 16 were promoted in their fourth year or earlier; 50 in their fifth year; 17 in their sixth year; and 8 in their seventh and final year of consideration. Seven of those were in the Physical Education Department. Four Assistant Professors were not promoted in their seventh year of eligibility and were denied tenure. Three others were not promoted in their sixth year and left. One was not promoted in the fifth year but left the Academy prior to the sixth year of eligibility.

Since 1997 the Promotion and Tenure Committee has also evaluated the credentials of military instructors seeking advanced academic titles and PMPs who seek the same academic titles as their civilian counterparts.

Element 10.7 Carefully articulated, equitable, and implemented procedures and criteria for review of all individuals who have responsibility for the educational program of the institution.

USNAINST 12430.4B, “Performance Appraisals of Civilian Faculty,” (*Appendix 6-4*) requires the annual written review of all civilian teaching and administrative faculty. USNAINST 12430.5, “Performance Management Program” (*Appendix 10-8*), provides for the annual evaluation of all non-faculty personnel, such as librarians, technical and clerical support staff.

Element 10.8 Criteria for the appointment, supervision, and review of teaching effectiveness for part time, adjunct, and other faculty consistent with those for full-time faculty.

ACDEANINST 12300.1, “Procedures for Appointment to the Faculty,” (*Appendix 5-3*) provides for the appointment of adjunct faculty. By instruction and in practice, adjunct faculty are not hired via the same extensive, national search procedures as career tenure-track civilian faculty. Nonetheless, the requesting department and the administrative chain of command recommending the hire must ensure that the proposed adjunct faculty member meets the academic and educational requirements of the institution. The Associate Dean for Faculty is responsible to the Academic Dean for overseeing the integrity and thoroughness of the adjunct hiring process.

Reliance on Adjuncts. The inability to make new hires to fill existing faculty positions has led to over-reliance on temporary adjunct faculty (*Appendix 10-9*). Although the total numbers of adjunct faculty may be small (roughly 4% of the overall faculty) compared to those at other institutions, they are high for the Naval Academy, which generally prides itself on excellence through senior staff teaching of core courses. Since adjuncts do not normally serve on faculty committees or assume collateral duties, an undue reliance on adjuncts actually increases the overall workload for tenure-track faculty.

Element 10.9 Adherence to principles of academic freedom, within the context of institutional research.

These are outlined in the Academy’s response to *Standard Six*, Integrity.

Recommendation 10-1 Collect and tabulate data on faculty and support staff more methodically. *The Dean’s Office and the Office of Institutional Research need to cooperate more closely in sharing data and making it more accessible. Institutional Research should make data on hiring, promotion, sabbaticals, leaves of absence, resignations, retirements, etc. available in the Academy Data Book. The Academy should reexamine what is absolutely necessary in the Faculty Activity Form, which has not been substantially updated in over 25 years; if data items like “Hours Spent” on various activities are not collected and tabulated, they should be eliminated from the form. The Academy needs to centralize and maintain comprehensive records on support staff.*

Recommendation 10-2 Finish the PMP Instruction. *The Navy should finish and promulgate a comprehensive, service-wide instruction on the PMP Program, including program goals, career progression, promotion opportunity, selection criteria, and program management.*

Recommendation 10-3 Fully implement the PMP program at 50 officers, with appropriate career management, continuation, and promotion procedures. *The Academy should continue its expansion of PMP Program, perhaps to as many as 50 billets, and it should select PMPs at the earliest possible career point to allow the longest possible tenure. It should pursue the finalization and publication of USNA and OPNAV instructions governing the program; these could help define a model PMP career path to help guide assignments and activities of PMPs assigned to the Academy. USNA should lead the way in developing a PMP community within the Navy to provide some opportunity for promotion to Captain and tenure*

extension, including appropriate guidance in promotion board precepts to address the non-traditional PMP career paths. Seek relief from statutory retirement to extend the tenures of PMPs who would volunteer for continued service and investigate using “retired and retained” to extend the service of the top-performing PMPs and keep them in uniform. Finally, the Academy should investigate the possibility of including Marine Corps officers in the PMP program.

Recommendation 10-4 *Work closely with the Commander, Navy Personnel Command to fill all Navy officer-instructor billets.* Investigate, in particular, ways of making Academy service more career-enhancing for Unrestricted Line Officers.

Recommendation 10-5 *Obtain funding for Naval Reservists to supplement the Academy officer faculty.* This was largely accomplished through the passage of the 2005 National Defense Authorization Act.

Recommendation 10-6 *Increase the participation of foreign exchange officers on the faculty.* Any increase in foreign exchange officers should be accompanied by a review and standardization of qualifications and expectations of candidates.

Recommendation 10-7 *Audit support positions.* USNA should undertake an audit of all clerical, technical, and professional staff positions to ensure that they are classified at grades comparable to those in Federal agencies in the Washington, DC, area. Evaluate for cost effectiveness administrative and technical duties being assumed increasingly by faculty (see **Element 10.5**, above). Staff, as well as faculty, need to have clearly defined career paths within the Academy at pay scales competitive with those in other government agencies.

Recommendation 10-8 *Fully implement the GE+T Program.*

Recommendation 10-9 *Secure monies for more privately funded fellowship opportunities.* An example is the Kinnear Fellowship, through the Alumni Association and the Naval Academy Foundation.

Recommendation 10-10 *Step up the time frame of NARC grant notification.* Change from late spring to early spring to enable faculty to make summer plans.

Recommendation 10-11 *Increase summer salary funding.* This has not changed in fifteen years. A senior NARC grant of \$7650 would be the current equivalent of the standard award of \$5000 established in 1990.

Recommendation 10-12 *Consider alternative schemes for increasing research support particularly for Group III faculty.* For example, increase full-year sabbatical support to 80% of salary or providing matching funds for external grants at an increased ratio of 2:1 or 3:1.

Recommendation 10-13 *Consider appointing an assistant to the Director of Research and Scholarship.* This person would specifically deal with research funding for projects in the humanities and social sciences.

Recommendation 10-14 *Explore measures to expand sabbatical opportunities.* The Academy should endeavor to identify the means to enable all its career civilian faculty seek professional renewal through sabbatical leave periods.

Recommendation 10-15 *Increase department budgets to support faculty travel to conferences.*

Recommendation 10-16 *Revisit and possibly revise expectations for promotion to Associate and Full Professor. In consultation with the Faculty Senate and Chairs, the Promotion and Tenure Committee should reexamine the promotion criteria, particularly in regard to service and forward its recommendations to the Academic Dean and Provost.*

Recommendation 10-17 *Seek to reduce the reliance on adjunct faculty. Currently, USNA usually hires adjunct faculty on a one-semester basis; sometimes the job offer comes within weeks of the beginning of classes. The Naval Academy should strive to hire adjuncts for full-year terms and to tender offers of employment as early as budgetary constraints allow.*

Recommendation 10-18 *Continue efforts to make faculty salary and compensation packages more competitive, particularly at the level of full professor. Explore the possibility of instituting bonus awards.*

Recommendation 10-19 *Stabilize the annual number of pay-steps awarded per tenure-track faculty member at 1.5. Make faculty salaries a separate line item in the next biennial Program Objective Memorandum submission.*

Recommendation 10-20 *Provide release time for more demanding committee assignments and/or seek to reduce unnecessary or redundant administrative duties.*

Recommendation 10-21 *Audit clerical, administrative and technical duties assumed by faculty for cost effectiveness. Audit clerical, technical, and professional staff positions to ensure that they are classified at grades comparable to those in Federal agencies in the Washington, DC, area. These staff need to have clearly defined career paths within the Academy at pay scales competitive with those in other government agencies.*

Recommendation 10-22 *Improve building conditions. Occupants should have greater control over the temperatures in their buildings either through adjustable thermostats or windows that open. Public Works needs to give priority to accumulating maintenance problems affecting academic areas. Snow removal near academic buildings needs to be completed promptly, thoroughly, and consistently.*

Recommendation 10-23 *Continue to improve communication between faculty and Public Works. Public Works should continue to enhance its web page to provide faculty and staff with information on the status of individual work requests.*

Recommendation 10-24 *Develop long-term parking plan. USNA needs to develop a long-term parking plan; patrol parking areas consistently to discourage violations; investigate the feasibility of adding motorcycle parking spaces; and explore alternatives for visitor parking that do not seriously interfere with the daily functioning of the institution.*

Recommendation 10-24 *Consider issuing temporary handicapped stickers to faculty and staff requiring these on a temporary basis.*

Recommendation 10-25 *Pursue construction of parking facility. The Superintendent should pursue plans to include the design and construction of a parking facility on the Yard in the earliest feasible construction budget.*

Recommendation 10-26 *Investigate Faculty Senate recommendations on childcare. These recommendations include recognizing that childcare is a significant issue that affects productivity and quality of life; conducting more detailed studies of childcare needs; incorporating childcare into the Strategic Plan; expanding existing facilities; finding a place for the facility on or near the Central Yard, perhaps Halligan Hall; ensuring that new facilities be managed at a permanent, senior level; and promulgating childcare to all faculty, especially newcomers.*

Recommendation 10-27 *Clarify and validate the consistent application of family-leave policy. USNA needs to investigate and remedy the concerns about inconsistent application of the federal government's family leave policy that includes replacement of instructors on leave. The Academy should investigate in particular the appropriate constraints and flexibilities for faculty applicants for family leave who have attracted reimbursable research funds.*

STANDARD ELEVEN

EDUCATIONAL OFFERINGS

The response to this standard describes how the institution's education offerings display academic content, rigor, and coherence that are appropriate to its higher education mission and how the institution identifies student learning goals and objectives, including knowledge and skills, for its educational offerings.

The Naval Academy regularly reviews its curricular offerings for relevance, currency, and cohesiveness. The Academy's current academic curriculum is rigorous, internally integrated, and highly demanding. Looking to the future, both the Middle States Characteristics of Excellence and the faculty committee evaluating the Academy's compliance with Standard Eleven encourage a data-oriented, periodic assessment of curriculum offerings, in light of the institutional mission.

The U.S. Naval Academy educates, trains, and commissions midshipmen as officers for career service in the United States Navy and Marine Corps. To this end, the Academy's curriculum blends profession subjects with required and elective courses similar to those offered at leading civilian colleges. The curriculum has three basic elements: (1) core requirements in engineering, natural sciences, the humanities and social sciences to assure that graduates are able to think critically, solve problems, and express conclusions clearly; (2) core academic courses and practical training to teach the professional and leadership skills required of Navy and Marine Corps officers; and (3) academic majors, minors and tracks that permits a midshipman to explore a discipline in some depth and prepare for graduate level work.

The curriculum of the Naval Academy thus addresses two broad constituencies: (1) the relevant academic program accreditation agencies, including the Middle States Association, and (2) the needs of the employer of all USNA graduates – the United States Navy and Marine Corps. Most of the time, these two standard bearers are in harmony and share common objectives. Occasionally, the academic program and the professional development mission of the Academy must negotiate for shares of midshipmen time. Ultimately, the needs of the Navy and Marine Corps direct the distribution of students in the various major, thus students may not have totally free choice of academic majors.

Element 11.1 Educational offerings are congruent with the Academy's mission, which include appropriate areas of academic study of sufficient content, breadth and length, and conducted at levels of rigor appropriate to the programs or degrees offered.

Both in the organization of the (predominantly technical) core curriculum and in the offerings of academic majors, minors and tracks, the Naval Academy's academic program is designed to support the mission of naval services to which it provides commissioned graduates with an accredited Bachelor of Science degree.

Since their creation in the early 1970's, the educational offerings at the Naval Academy have been organized and presented as majors, minors, and some tracks or options within majors. These offerings are congruent with the mission of the Naval Academy, include both technical majors and humanities/social science majors (predominantly the former), and are compatible and supportive of the needs of the sea services, while fostering a coherent student learning experience and promoting synthesis of learning.

All of the majors supported by the Division of Engineering and Weapons, with the exception of the General Engineering major, are accredited through the Accreditation Board for Engineering and Technology (ABET). The only other major program at USNA that is externally accredited is the chemistry major, which is accredited by the American Chemical Society (ACS). The approach taken by the ACS is different from that

taken by ABET in many respects, with more focus on curriculum and less on assessment processes. In addition, all programs undergo, as noted in **Element 11.4** below, a five-year program review conducted by recognized external experts to determine if they are of sufficient content, breadth and length, and conducted at appropriate levels of rigor.

Element 11.2 Formal undergraduate, graduate, and/or professional programs—leading to a degree or other recognized higher education credential—designed to foster a coherent student learning experience and to promote synthesis of learning.

The integrated core and majors program add up to approximately 140 credit hours. Between forty and fifty credit hours are devoted to an academic major, major co-requisites (such as foreign language for humanities/social science majors), and minors in foreign languages, (**Appendix 11-1** Curriculum Overview). The remainder comprises a core program of about 90 credit hours in science, mathematics, engineering, humanities, and social science courses as well as approximately 20 credit hours in the professional and officer development curriculum. The core curriculum will be discussed in detail under **Standard Twelve: General Education**.

The overall curriculum is designed to afford the future officer essential foundations in both technical and non-technical areas, while also according each midshipman the opportunity to examine one area—defined by the academic major—in considerable depth. The Naval Academy offers a selection of 19 majors in engineering, mathematics, the physical sciences, the humanities, and the social sciences. The educational program is strongly oriented toward science and engineering, with the majority of graduates (approximately 60%) being engineering or technical majors. For students with strong backgrounds or interests in other fields of study, a broad majors program in the social sciences and humanities is offered. See the **Appendix 11-2** for detailed descriptions of majors, minors and tracks.

Element 11.3 Program goals that are stated in terms of student learning outcomes.

Over the last five years departments have made great progress in developing program goals that are stated in terms of student learning outcomes. In 2000, a faculty colloquium on assessment was held where departments shared their learning goals (see <http://intranet.usna.edu/CTL/DeptPosters/DeptPoster.htm>). The departments have continued to refine their learning goals and use them to guide the implementation and continuous improvement of their educational offerings (**Appendix 11-3**).

The 2005 USNA Strategic Plan, Academic Goal, Objective One focuses on learning outcomes and assessment, to wit: *Focus the midshipman academic program on achieving specific learning outcomes and implement a system of assessing how well USNA graduates are achieving those outcomes in order to guide a process of continuous improvement.* The first task under that objective, to be completed by June 2006, is to confirm the specific learning outcomes related to the various majors, minors, and program tracks.

Element 11.4 Periodic evaluation of the effectiveness of any curricular, co-curricular, and extracurricular experiences the Academy provides its students and utilization of evaluation results as a basis for improving its student development program and for enabling students to understand their own educational progress.

The Naval Academy has always reviewed and evaluated its curriculum on a regular basis, in a variety of ways. The Naval Academy has twice conducted global curriculum reviews in the past decade (Curriculum 21, **Appendix 1-7** and Superintendent's Academic Year 2004-2005 curriculum review, **Appendix 11-4**). In addition, every five years each academic department hosts a visiting committee of three distinguished discipline peers to review departmental curricula, facilities, staff, and other resources (**Appendix 10-2**, ACDEANINST 5420.29D). Outside accrediting groups—ABET, ACS—provide periodic evaluation of

engineering, chemistry, and computer science programs. Finally, groups loosely linked to the Academy through the Board of Visitors or the Department of the Navy have been invited to provide oversight and feedback on the effectiveness of Academy curricular, co-curricular, and extra-curricular programs for the gaining services, the Navy and Marine Corps (Academic Affairs sub-committee of the Board of Visitors, *Appendix 4-10*; Academic External Review Group, *Appendix 11-5*). Several of these groups (ABET, AERG) have expressed interest in a more institutionalized program of curriculum evaluation that would draw upon more quantitative and detailed feedback from students and Navy and Marine Corps customers.

In the last four years, the Academy has made significant strides toward the development and implementation of a systematic academic assessment process within its academic program. This process involves ongoing development of program goals as they relate to student learning outcomes and feedback cycles, imbedded in established assessment plans that have begun to provide the basis for improvement of educational offerings. (See the discussions under *Element 11.13* and under *Standard Fourteen: Assessment of Student Learning* for more details about the USNA academic assessment efforts.)

Element 11.5 Learning resources, facilities, instructional equipment, library services, and professional library staff adequate to support the institution’s educational programs.

In *Appendix 11-6*, the Librarian has provided a wealth of information about the Library, including a “brief fact sheet” as well as a more extended discussion of the acquisitions budget, building renovation matters, and the Library's instruction program.

Element 11.6 Collaboration between professional library staff and faculty in teaching and fostering information literacy relevant to the curriculum.

The Library’s program in information literacy as an “intellectual framework” supports the education of midshipmen on an ongoing basis. Considerable effort has been made in the area of information literacy, both as part of the services and role of Nimitz Library, and within the educational programs at the department level. A review of the annual assessment reports submitted by individual academic departments suggests that most recognize the importance of information literacy skills, although they use a variety of terms to describe the process. Some departments have identified goals and the means to pursue them; others are developing rubrics to measure progress or incorporating information literacy competencies into course syllabi.

The Library’s staff members perform a variety of educational support roles, including liaison and instruction programs, assistance and instruction at two reference service points in the Library, and creation and maintenance of a strong web presence and detailed bibliographic records. Additionally, a state-of-the-art graphics laboratory offers assistance in the use of presentation software.

Since the last Middle States team visit in 1995, considerable progress has been made in developing the Library’s instruction program, an important framework for teaching information literacy skills to midshipmen. Ten years ago the visiting team recommended that the Library extend its already-active instruction activities into a “systematic program to teach information literacy in and electronic age.” In 1996 the Library created two electronic classrooms that support hands-on instruction in research skills and use of electronic sources.

The Library works with academic departments and several other USNA units to teach students how to navigate a complex information environment successfully, with an emphasis on finding, evaluating, and using recorded knowledge and other information in electronic form. In addition to in-class sessions, of course, librarians do considerable teaching in one-on-one consultations with midshipmen. The liaison

program connects librarians with specific academic departments as well as to student support services and to faculty development and instructional support centers. Goals and learning outcomes have been developed for the instruction program, and a program assessment portfolio is being developed. (See *Appendix 11-6* for a detailed description of Library programs.)

Element 11.7 Programs that promote student use of information and learning resources.

In addition to its efforts with information literacy, the Nimitz Library promotes student use of information resources in a variety of ways, including the following (included as enclosures in the Librarian's *Appendix 11-6*): 1) a “midshipman gateway” as part of the Library's website (<http://www.usna.edu/Library/>); 2) a regular midshipman newsletter, also up on the website; 3) a “reading list for life” – book recommendations to midshipmen from the faculty, gathered by the Associate Librarian and posted on the website; 4) annual focus group meetings between the reference librarians and midshipmen; and 5) a variety of other means, including those items identified on pages 10-11 of the Library's 2004-05 Annual Report, particularly taking photos of each platoon during plebe tours and emailing them to the plebes' families.

Element 11.8 Provision of comparable quality of teaching/instruction, academic rigor, and educational effectiveness of its courses and programs regardless of the location or delivery mode.

The Naval Academy relies predominantly on small recitation sections (average size: about 17 midshipmen per class or laboratory session) for its academic program. Some of the laboratory work occurs aboard ship or in the field.

Element 11.9 Published and implemented policies regarding transfer credit. The acceptance or denial of transfer credit will not be determined exclusively on the basis of the accreditation of the sending institution or the mode of delivery but, rather, will consider course equivalencies, including expected learning outcomes, with those of the receiving institution's curricula and standards. Such criteria will be fair, consistently applied, and publicly communicated.

All midshipmen must complete four years in residence at the Naval Academy. Advanced placement and credit are awarded within this boundary condition, based on departmental testing, examination of syllabi, and AP/IB achievement grades. These guidelines are available to midshipmen in print and on-line versions of the Academy catalogue.

Element 11.10 Policies and procedures to assure that the educational expectations, rigor, and student learning within any accelerated programs are comparable to those that characterize more traditional program formats.

All midshipmen must complete four years in residence at the Naval Academy; therefore, there is no ability to accelerate the program. Those with significant advanced placement and credit often complete a second academic major, apply to be a Trident Scholar (*Appendix 11-7*), or enroll in the voluntary graduate education program through a local graduate school (*Appendix 11-8*) in their last semester at the Academy.

Element 11.11 Consistent with the Academy's educational programs and student cohorts, practices and policies that reflect the needs of adult learners.

This element does not apply to the Naval Academy. Midshipmen must matriculate in the mandatory four year residential program before their 23rd birthday, and may not be married or a parent at any time during their enrollment period.

Element 11.12 Course syllabi that incorporate expected learning outcomes.

This element parallels the process described in *Element 11.3*, above. Most faculty members prepare syllabi that include expected learning outcomes. These are typically submitted at least yearly. Copies of course syllabi may be reviewed in departmental offices.

Element 11.13 Assessment of student learning and program outcomes relative to the goals and objectives of the undergraduate programs and the use of the results to improve student learning and program effectiveness.

This effort has been formalized in ACDEANINST 5400.1 (*Appendix 2-8*), which contains the following directions for Academic Majors, Minors, Tracks within a Major, and Interdisciplinary Programs: the annual assessment of academic majors, minors, tracks within a major, and interdisciplinary programs should be part of an ongoing program of continuous improvement. The assessment process should be integrated with internal and external program review and accreditation, where appropriate, to avoid duplication of effort. As noted in the Dean's Instruction, reports should describe the Program Rationale, Curriculum and Program Outcomes, Program Assessment Results, and Evidence of Continuous Program Improvement.

While many majors and programs, especially those accredited by ABET or other national organizations, have embraced assessment practices and built them into their programs, other departments do not seem to be committed to assessment. In some programs, assessment is built into the curriculum and most faculty members are directly involved. In others, assessment is the exclusive domain of one or two faculty members, or the department assumes the Director of Assessment will do the work. As a result, there are both structural and philosophical problems with the academic assessment process at the Naval Academy.

The departments' annual reports are a mixed bag, ranging from 50 page documents with several appendices to five paragraph summaries without data. While there is some indication that many departments are engaged in more assessment than they have explicitly reported, others seem to be doing little or nothing. Few departments have reported what, if any, changes in their programs have resulted from their assessment programs. (Annual reporting of assessment results in the core programs is just beginning.)

Assessment at USNA is discussed in more detail under *Standard Fourteen: Assessment of Student Learning*.

Recommendation 11-1 Consider whether the similar but separate offerings in computer science and electrical engineering are redundant. Several educational offerings relating to electrical engineering and computer technology/science administered through different departments and divisions can be confusing to students as they select majors and could result in unnecessary redundancies in facilities and faculty.

Recommendation 11-2 Consider whether there is the right mix of majors. The majors programs offered as of 2005 may not represent the optimum array relevant to the 21st Century. This issue also applies to course structuring within majors, and even to content within courses. Examples of possible future relevant majors include Nuclear Engineering, Engineering Management, Environmental Engineering, Biology, Materials Science, Environmental Science, International Relations, Naval Science, and Aviation Science Technology.

Recommendation 11-3 Consider whether there should be more minors. At present, minors are available only in the area of Language Studies. In a sense, all graduating midshipmen now "minor" in Naval Science. Other minors that might be considered such philosophy, psychology, sociology, or leadership.

Recommendation 11-4 *Evaluate program development within a constrained number of credit hours for graduation. Over a period of years, all majors programs grow and expand, both as a result of natural faculty interest and as a result of ever-growing discipline areas. Consider, in particular, how this relates to a requirement for a fixed maximum number of credit hours for majors courses within a major.*

Recommendation 11-5 *Track and evaluate the capstone experience. Consider whether success is measurable within a wide variety of policies and implementations of undergraduate capstone or research among the academic departments. Can we improve how we assess this element of the majors program? Are the resources to support this type of undergraduate activity in place? Is faculty involvement in this activity appropriately counted in terms of workload?*

Recommendation 11-6 *Seek more consistent integration and self-assessment of information literacy throughout the Academic Curriculum. Despite the significant accomplishments noted above, more consistent integration of information literacy throughout the academic curriculum could enhance the education of midshipmen. A common template or rubric for assessing information literacy among midshipmen across disciplines could better ascertain whether graduating midshipmen leave with adequate information literacy skills.*

Recommendation 11-7 *Assess the scope and effectiveness of the library's contribution to information literacy. In concert with the academic departments, the Library should regularly assess the scope and effectiveness of its contributions to the Academy's information literacy program.*

Recommendation 11-8 *Create and disseminate Prototype Department Assessment Reports. FSAC should create a prototype for department and division assessment reports, to make it clear what information is required and to suggest what sorts of actions might be appropriate. Reports should reiterate each program's goals, where midshipmen can be expected to make progress toward these goals, and where and how this progress is assessed. Reports should include assessment data, indicate conclusions drawn from these data, and discuss program changes resulting from this analysis.*

Recommendation 11-9 *Encourage Curriculum Discussions Informed by Data. Discussions of major curriculum changes need to include assessment data. Major curriculum changes may need to wait until assessment data can be incorporated. Any proposals need to include provisions for assessing the value of the changes. Therefore, Faculty Senate Curriculum Committee and Faculty Senate Assessment Committee must work closely together as the process of curriculum change takes place.*

Recommendation 11-10 *Pursue a Yard-wide Commitment to Assessment. The Naval Academy community needs a clearer commitment to a continual assessment process across the Yard, with regular assessments and regular opportunities for those assessments to affect academic programs. The Strategic Plan makes this commitment, but cannot force the faculty to embrace this commitment. The FSAC needs to engage in more public diplomacy toward this end.*

STANDARD TWELVE

GENERAL EDUCATION

The response to this standard describes how the institution's curricula are designed so that students acquire and demonstrate college-level proficiency in general education and essential skills, including oral and written communication, scientific and quantitative reasoning, critical analysis and reasoning, technological competency, and information literacy.

The Naval Academy regularly reviews its curricular offerings for relevance, currency, and cohesiveness and is in the midst of a comprehensive reexamination of the core curriculum. While the Academy's current core is rigorous, internally integrated, and highly demanding, there are other ways of structuring it. Looking to the future, both the Middle States Characteristics of Excellence and the faculty committee evaluating the Academy's compliance with Standard Twelve encourage a data-oriented, periodic assessment of curriculum offerings, with view to accomplishing the institutional mission.

The foundation of the Naval Academy academic program is the core curriculum, recognizable as our general education program. The core curriculum serves three main purposes: (1) to provide a broad technical and liberal arts educational experience; (2) to lay the general foundation for all USNA majors programs; and (3) to meet the specific mission goals for the naval service. The third purpose includes the study of values and ethics, with specific application to a wide array of military-related issues. The core curriculum thus affords midshipmen broad experience in oral and written communication, scientific and quantitative reasoning, and information literacy. In keeping with the institutional mission and strategic plan, assessment plans are being developed using as criteria the desirable characteristics of USNA graduates (See *Appendix 1-5*, Characteristics of Graduates and Capabilities and Attributes). These plans will include an assessment plan for the general core curriculum with feedback loops for curriculum review, revision, and improvement.

Element 12.1 A program of general education of sufficient scope to enhance students' intellectual growth, and equivalent to at least 15 semester hours for associate degree programs and 30 semester hours for baccalaureate programs.

The core curriculum at the Naval Academy includes roughly 90 semester hours, including 44-50 semester hours (depending on major) in the technical divisions of mathematics and sciences and engineering, 24 in the humanities and social sciences division, and 20 semester credit hours in the naval professional development division. (*Appendix 11-1 depicts three basic varieties of the USNA curriculum matrix, subdivided by core, divisional core, and academic major.*)

Element 12.2 and Element 12.4 A program of general education where the skills and abilities developed in general education are applied in the major or study in depth. General education requirements assuring that, upon degree completion, students are proficient in oral and written communication, scientific and quantitative reasoning, technological capabilities appropriate to the discipline, and information literacy, which includes critical analysis and reasoning.

The foundational skills developed in the core, including oral and written communication, scientific and quantitative reasoning, technological capabilities appropriate to the discipline, and information literacy, which includes critical analysis and reasoning as well as information literacy are to be found in an interdependent chain of courses within the core application that provide the foundation for work in the academic majors, minors, and tracks.

The general education core program at the United States Naval Academy consists of three areas. The extensive common technical core is the basis for awarding of the B.S degree in all discipline (Engineering and Weapons Division and Mathematics and Sciences Division Core Curriculum Review of February 2005, *Appendix 12-1*). The Technical Core courses are offered by the departments in the Engineering (Division I) and Mathematics and Sciences (Division II). The Humanities and Social Sciences (Hum/SS) Core (offered by HUM/SS departments) aims to help students “respond in creative, rational, and sophisticated ways to changing environments for the benefit of society and the naval service” (Division of Humanities and Social Sciences Core Curriculum Review of February 2005, *Appendix 12-2*). The Professional Development (ProDev) component of the Core Curriculum contains course work that is specifically designed to prepare midshipmen to fulfill their potential as officers and leaders in the Navy and Marine Corps. In summer 2005, the Division of Professional Development (ProDev) and a new Division of Officer Development divided the former ProDev components, plus a few others, along the lines of naval technical training (navigation, seamanship, summer at sea training using NS and NN-course prefixes) and officership (ethics, law, and character using NL, NE course prefixes). See *Appendix 11-4* for a brief narrative description of the three areas of the Core Curriculum.

Element 12.3 Consistent with the institutional mission, a program of general education that incorporates study of values, ethics, and diverse perspectives.

The Core Curriculum incorporates the study of values, ethics, and diverse perspectives in various courses, for example, HH205, Western Civilization: Culture to 1776; HH206, Civilization and the Atlantic Community since 1776. In addition, NE203, Ethics and Moral Reasoning, was added in 1995-96. NE203 is “structured around classical and contemporary writing in moral philosophy. Current and historical case studies are used to show how these fundamental ideas can be applied to the service of the professional military leader.” Midshipmen also have two Hum/SS electives, and Group III (Hum/SS) majors will have four courses in a foreign language, which can be Arabic, Chinese, French, German, Japanese, Russian, or Spanish.

A variety of non-credit experiences is also offered through the Professional Development and Officer Development Divisions, which address the study of values, ethics, and diverse perspectives (see response to *Standard Thirteen*, below).

Element 12.5 General education requirements clearly and accurately described in official publications of the institution.

These are described both in the print and electronic, on-line editions of the catalogue and in the on-line majors matrices (*Appendix 6-27*). These are used both for midshipman advising and for degree audit purposes.

Element 12.6 Assessment of general education outcomes within the institution’s overall plan for assessing student learning, and evidence that such assessment results are utilized for curricular improvement.

General education courses are characterized by continual review at the departmental and broad institutional levels. Since the last Middle States review, in 1995, all curricular areas, both majors and core, have undergone significant institutional review, some of which is ongoing as of this writing.

In 2001, a comprehensive review entitled Character Development Quicklook examined a number of those sources, including the Chiles Report, the Dignity and Respect Task Force Report, Curriculum 21, and the (annual) Brigade Climate Survey. This review confirmed that the Leadership, Character Development, Professional Development, and Ethics programs were fundamentally sound but lacked integration and

consistency across disciplines. The Midshipmen Development Board (MDB) arose in response, and was chartered with the oversight and unification of Academy efforts aimed at the development of midshipmen's character, ethical maturity, and leadership abilities.

In May 2002, the MDB began the Character and Ethics Development Assessment Project. This ongoing project involves analyzing existing internal data, reviewing and recommending the use of assessment instruments, and implementing pilot projects. The assessment plan is being developed by a Steering Committee consisting of the Director of Academic Assessment, the Director and Assistant Director of the Ethics Center, and a senior member of the Ethics faculty.

Despite the MDB's charter, the Leadership Task Force (LTF) was created in the fall of 2003 as an independent entity reporting directly to the Superintendent with the mandate to identify components of leadership education and development throughout the Naval Academy, and evaluate their effectiveness. The mandate of this task force parallels the MDB project – namely, to identify components of leadership education and development throughout the Yard, and evaluate their effectiveness – save that this task force reports directly to the Superintendent, rather than to the MDB. Thus, unlike the academic assessment efforts, professional programs assessment is not coordinated. Moreover, the various studies of professional programs, as well as the efforts of the MDB and LTF, are not well publicized. The MDB and LTF do not have a web presence, and consequently the objectives and findings of these groups remain inaccessible to Naval Academy faculty and staff.

In academic year 1997-1998, the Curriculum 21 study generally found that the Academy's curriculum was poised to meet the needs of the Fleet for the Twenty-First Century. It observed, for instance, that there was no need to reinstate an old quota mandating that a preponderance (as high as 80%) of midshipmen be required to major in science and technology (as opposed to the humanities and social sciences). But in a later response to the requirements of the Secretary of the Navy, Academy officials announced in the spring semester of 2004 that a mandated split in majors would be sought, this time with 70% of a class being required to major in science or technology. Beyond the unavoidable truism that the Fleet almost daily becomes a more technical place, no explanation or evidence has been offered for this change. It is not the purpose of this brief study to examine the roots of this new policy, but the circumstances suggest a lack of concern both for the kind of empirical evidence generated in Curriculum 21 and for assessment-driven decision-making.

Since the last Middle States review, assessment of student learning has emerged as an important institutional issue; however, there has only been partial progress with respect to the student learning outcomes of the core curriculum. The Professional Core Competencies, prepared by the Department of the Navy (*Appendix 1-8*), provide a set of core curricular goals for the Academy that are stated in terms of student learning outcomes. At the implementation level, the Naval Academy is still refining those goals in terms of specific learning outcomes that might be the basis for a future assessment-based curriculum review cycle, as envisioned by the Middle States Standard. Regarding the Core Curriculum, this process is occurring within the context of the current Curriculum Review Process described below.

The Naval Academy's plan for assessing student learning is contained in ACDEANINST 5400.1, "Annual Reporting of Assessment Progress" (*Appendix 2-8*), which contains the following directions for Core Curriculum. The annual assessment of the core program should involve both within-division and across-division interaction. Within divisions, both the overall effectiveness of the core program and the effectiveness of its constituent courses should be reported. In addition, any significant dependencies on the core programs offered by other Divisions should be reported. The Curriculum Review briefs presented by each Division during the 2004-2005 academic year (*Appendix 12-1* and *12-2*) represent the most recent core-related assessment information.)

The Faculty Senate Assessment Committee (FSAC), besides overseeing academic assessment efforts throughout the Academy as directed in ACDEANINST 5400.1, evaluates midshipmen's progress toward several broad USNA institutional learning goals (see the elements of the characteristics of graduates found in *Appendix 1-5*).

At present, the Committee has established a four-year cycle for assessment of "Effective Communication," "Critical and Analytic Thinking," and "Geopolitical Awareness." A scheme for assessing midshipmen's oral and written communications skills was developed and tested in 2000-01, then revised and implemented during the following academic year, when a pilot study tested 58 fourth class midshipmen in HE112 and 67 first class midshipmen in various major capstone courses, with the primary intention of evaluating the assessment process. The Assessment Task Force (ATF) that preceded the Faculty Senate Assessment Committee (FSAC) concluded that the process was workable. Assessment of Geopolitical Understanding began in the 2004-05 academic year. Entering members of the class of 2008 took a short exam developed by a subcommittee of the ATF (and later of the FASC). Subsequent testing with upperclassmen shows that the test is sensitive to development in this area. It will be re-administered to members of the class of 2008 during their senior year in order to determine if their geopolitical understanding has increased.

The primary vehicle for assessing analytical thinking abilities at USNA has been the Watson-Glaser Critical Thinking Appraisal (WGCTA). It was first administered during the summer of 2003 to all members of the Class of 2007 and later to some midshipmen in the Class of 2004 in NL40X (the Junior Officer Practicum) shortly before their graduation. A brief analysis of these preliminary results is included in *Appendix 12-3* to this chapter. The FASC plans to retest (give the same test to) members of the Class of 2007 in their first-class year. In addition, virtually every academic program attempts to assess some version of this skill in its majors, so large amounts of additional data should become available as these assessment schemes progress. The WGCTA was administered to the Class of 2009 in their Plebe introductory leadership course (NL112). The results will be reviewed by instructors in order to determine if critical thinking topics should be explicitly incorporated into the NL112 curriculum. The Class of 2009 will also be retested during their senior year, which will provide an assessment of their development resulting from their overall education.

During the spring of 2005 students and faculty completed the National Survey of Student Engagement and the Faculty Survey of Student Engagement, respectively. These surveys provide information relevant to Middle States Standards *Twelve*, *Thirteen*, and *Fourteen*. The Faculty Senate Assessment committee will be reviewing the results and reporting back to the full Senate during this academic year.

Starting in the fall of 2004, the Superintendent of the Naval Academy began conducting a broad curriculum review of the core academic program as well as majors, minors, and tracks. While the timetable for this study and its resulting recommendations does not precisely coincide with the Middle States report timeline, there is significant overlap.

The Academic Program Review process has assessment as a major task this academic year as proposed changes in the Core Curriculum are considered. Together with the Faculty Senate Assessment Committee, the Director of Academic Assessment will coordinate the establishment of a program to assess progress toward achieving the changes related to the goals of the Academic Program Review Decision Directive. To date the institutional curriculum review process has not been assessment-based, so it is likely that future changes in the academic programs will be made without adequate support from data. In order to address this issue, it is important that any proposed changes in the Core Curriculum will have an assessment element that will be monitored by the Faculty Senate Assessment Committee. Recommendations derived from these reviews through summer 2005 have been included in this self-study report submitted to Middle States in

recommendations 12-1 through 12-13, below. Emerging recommendations and decision memoranda will be available online at <http://www.usna.edu/AcDean/sapr/sapr.html>. The detailed presentations associated with the Superintendent's Curriculum Review can be found in **Appendices 12-1** and **12-2**, cited above, and through the links of this document.

Academic Assessment is also an integral part of the USNA Strategic plan, as noted in Chapter One. During the current (2005-2006) academic year, the Faculty Senate Assessment Committee will be meeting with divisions and department to verify their student learning outcomes. Next year, assessment methods will be verified and evidence will be gathered about the use of assessment results to guide continuous improvement. Of course, annual reporting of the status of Core Curriculum assessment will continue as required by ACDEANINST 5400.1.

These Academy-wide assessment efforts have the potential to lead to significant changes in the overall academic program as have the departmental assessment activities. However, as noted previously there are both structural and philosophical problems with the academic assessment process at the Naval Academy. Because the assessment program is not yet uniform or institutionalized (although the necessary structures have been created), it is possible that changes of leadership will require significant revisions to the program and additional efforts to justify academic assessment and its appropriate relationship to curricular discussions. (While new department chairs are not normally new to USNA, new Division Directors and higher administrators often come from outside the institution. See the discussion relative to **Standard Fourteen** for further information about the assessment process at the Naval Academy.)

Recommendation 12-1 *Consider variations in the Core Curriculum.* Since the last Middle States review, some changes to the core academic program have resulted in different "versions" of the core, depending on selected academic major. By law (Title 10), all graduates from USNA must qualify for and receive a Bachelor of Science degree. This reflects the "technical" needs of the naval service. Are the different "versions" of the core appropriate, given the purpose of the core in preparing midshipmen for any warfare specialty or for qualification for the B.S. degree?

Recommendation 12-2 *Consider whether the core should continue to serve as preparation for all service selection options.* Should all service selection options be available to midshipmen, no matter what their academic major? Is the general education (core program) sufficient, as a rule, for preparing all midshipmen for any of the warfare specialties?

Recommendation 12-3 *Consider adoption of specialized core courses in support of specific majors.* How far should specific majors programs go in requesting tailored core courses in support of their majors? For example, the fourth semester math courses currently vary as they support different academic department requests. Are different "tracks" within the core supportive of the mission of the overall academic program?

Recommendation 12-4. *Consider whether or not to introduce more vertical integration of the curriculum (e.g., more prerequisites) into the core curriculum.* Related to the previous item, should the engineering core courses or majors programs provide guidance to the prerequisite technical core courses (e.g., chemistry, physics, and mathematics), to enhance and optimize the verticality of the technical curriculum? Or is there inherent value in the core courses, independent of this verticality, which better supports the notion of general education?

Recommendation 12-5 *Consider the appropriateness of the requirement to complete USNA in four years. Is the statutorily required four-year completion of the USNA academic program inhibiting to the accomplishment of USNA objectives, e.g., achievement of diversity goals? Are more and more midshipmen entering the Academy with need for more foundational general education experience and preparation? Is there enough “soak time” for all students as they pass through the steps of the general education program at USNA?*

Recommendation 12-6 *Consider whether to adjust the preparation requirements for entering students. Related to the previous item, how can we better monitor the evolving academic preparation of 21st century students? How do we know what today’s students are like, what their strengths and weaknesses are, and how can we use this information to inform adjustment in our courses and curricula, if at all?*

Recommendation 12-7 *Consider whether to prescribe a minimum academic performance level in the core curriculum. Currently, no requirement exists for a predetermined minimum level of performance in the general education (core courses) program at USNA. Is this consistent with the awarding of the B.S. degree to all USNA graduates?*

Recommendation 12-8 *Consider whether to introduce a Plebe Year Engineering Course. Plebe Year provides exposure of all midshipmen to introductory or survey courses relating to science, mathematics, humanities and social science. No first year academic experience provides similar introductory exposure to engineering disciplines. Would such exposure help students make better decisions at the time of majors selection, and would it provide a stronger foundation for beginning students in engineering majors programs?*

Recommendation 12-9 *Consider whether there is enough study of regional, cultural and religion in the core curriculum. The regional, cultural, and religion issues that dominate the current geopolitical landscape are not strongly reflected in the current non-technical general education offerings at USNA, e.g., world history and political science courses.*

Recommendation 12-10 *With respect to the Professional Core Competencies (Appendix I-8), consider whether USNA is in complete compliance. How does general education at USNA address the Navy’s Professional Core Competencies? USNA departments provide significant input to the Navy with respect to these PCC’s, but does the Academy in fact follow the guidance document provided in that document?*

Recommendation 12-11 *Consider whether to generate closer links in the social science and character development core, to include seeking more coordination among those entities that offer general education materials relating to social interaction, society in general, and studies of ethics and their applications to society; and developing more communication among the Divisions of Professional Development, Humanities/Social Sciences, and Character Development, among others.*

Recommendation 12-12 *Consider the adoption of closer links among departments in the validation (credit and placement) of core courses. Encourage better coordination among academic departments with regard to validation, especially validation of general education courses.*

Recommendation 12-13 *Consider closer coordination of the Role of General Education at NAPS and USNA. The role of the Naval Academy Preparatory School in general education both here and at USNA should be more clearly defined and administered for the mutual benefit of both schools.*

Recommendation 12-14 *Evaluate the Physical Education Curriculum. The requirement of eight semesters of physical education carried out under the supervision and authority of the Commandant of Midshipmen directly affects military performance evaluation, and yet has no place in academic performance*

evaluation, although the requirement has a significant impact on the academic program in terms of midshipmen time and course scheduling (the PE classes occur during the academic day). Note: it is expected that these issues will be evaluated thoroughly during the Physical Mission Review being conducted during AY2005-2006 (**Appendix 9-9, Physical Review Tasking Statement**).

Recommendation 12-15 *Consideration of the Role of Technology in the Education Process.* Ever evolving technology creates yet unresolved questions relating to the academic program, which should be considered, such as the role of powerful hand-held calculators and laptop computers in the labs and classrooms.

Recommendation 12-16 *Consider Lab Course Comparability with Civilian Institutions.* A significant difference appears between USNA technical general education courses with laboratories and similar courses at other colleges and universities. Seemingly, a higher or at least equal level of rigor is demanded in USNA as compared to institutions, yet with significantly less instruction time.

Recommendation 12-17 *Consider Formal Instruction in Software Development.* Should the Naval Academy provide more formal instruction in computer software development as part of the general education program? Does this coincide with the needs of junior officers in the fleet?

Recommendation 12-18 *Assessment of Library's support of information literacy.* In concert with the academic departments, the Library should regularly assess the scope and effectiveness of its contributions to the Academy's information literacy program.

Recommendation 12-19 *Prototype Division Assessment Reports.* FSAC should create a prototype for division assessment reports, to make it clear what information is required and to suggest what sorts of actions might be appropriate. Reports should reiterate each division's core program goals, where midshipmen can be expected to make progress toward these goals, and where and how this progress is assessed. Reports should include assessment data, indicate conclusions drawn from these data, and discuss program changes resulting from this analysis.

Recommendation 12-20 *Promote the Assessment of the Professional and Officer Development curriculum.* The Professional Development and Officer Development activities of the Naval Academy should involve the same extent of assessment as the academic activities. A supportive relationship between the Commandant's office and the Faculty Senate Assessment Committee should be established to facilitate these assessment activities.

Recommendation 12-21 *Pursue a Yard-wide Core Program Assessment Process.* The development of a comprehensive assessment plan for the Core Program should occur as revisions in the Core are finalized.

STANDARD THIRTEEN

RELATED EDUCATIONAL ACTIVITIES

The response to this standard describes how institutional programs or activities that are characterized by particular content, focus, location, mode of delivery, or sponsorship meet appropriate standards.

Included in the institutional response to this standard are the professional and military portions of the midshipmen's experience in Annapolis. Like the core and major, these components need to be carefully managed, adequately resourced, and periodically assessed. The study group examining the Academy's engagement in this portion of its program highlighted a variety of successful initiatives that should be nurtured and continued; they also pointed out several areas where renewed, and more consistent, resourcing is indicated.

This standard applies to important components of the Naval Academy education required for graduation beyond the core and majors curriculum and the non-credit physical education requirements outlined in *Standards Nine, Eleven, and Twelve*. In order to qualify for graduation and commissioning into one of the naval services, each midshipman is expected to complete successfully four summer training sessions, each up to eight weeks long, and exhibit acceptable standards for military performance, personal conduct and honor throughout their four years in Annapolis.

No course credit is associated with these military professional components of the Academy's four-year program; yet this portion of the midshipmen's preparation arguably reaches to the essence of the Academy's immersion experience. Failure in these latter elements is equally as disqualifying for graduation as academic failure in the core or majors courses offered for academic credit. It is thus important that these related educational activities, carried out under the explicit auspices of the Naval Academy, meet the same expectations of quality control, oversight, assessment, and general consistency with good educational practice, that characterize the Academy's for-credit academic program.

Professional Development Programs

Leadership. The Naval Academy mission requires its graduates to be leaders first and foremost. All activities at the Naval Academy are focused toward this end. Senior midshipman leaders assist in the development of, and are held responsible for, the execution of policy established by the Commandant of Midshipmen. The system of ranked leadership enables students to practice leadership skills as they are learned and observed. The scope and weight of leadership responsibility increases yearly as midshipmen mature. In addition to their regular academic and athletic pursuits, midshipmen 1/c (seniors) oversee the day-to-day operation of the Brigade, helping to guide the development of their subordinates, particularly the midshipmen 4/c (plebes). Rank and degree of responsibility depend upon past performance and academic achievement. All senior midshipman officers have volunteered for duty as a striper; selection comes only after careful scrutiny of each candidate's overall record as well as their performance at an oral board.

a. **WAYPOINTS.** In August 2002, the Naval Academy published *Waypoints* as guidance to provide a common basis for leadership development over the full four-year program at the Naval Academy. *Waypoints* clearly defines the role of each midshipman year group (i.e., 4/c, 3/c, 2/c, 1/c) in the squad, the company, and in the Brigade. For each year group, major goals are identified and then quantified as specific, measurable objectives. *Appendix 13-1* is a summary of *Waypoints* for the 2004-2005 academic year.

b. Fourth Class Development System. Best understood as a military evolution, this system provides a transitional bridge from individual to group-based goal-seeking. Plebe Summer is implemented by midshipmen 1/c under the guidance of their company and battalion officers. New midshipmen 4/c undergo training in proper military discipline, ethics, courtesy, teamwork, physical readiness, and personal responsibility while being trained in seamanship, marksmanship, military drill, and watch-standing, as well as the customs and traditions of the Naval Service. The Fourth Class Development System guidance is contained in *Appendix 13-2*.

With the start of the academic year, the Fourth Class Development System thereafter accommodates academics, military knowledge, athletics, and ECAs as well. The system also incorporates leadership experience for the upper class midshipmen who direct the development of their subordinates, while the Brigade officers observe, judge, and rate the progress of both the student leaders and their followers.

Military Training. The Director of Professional Development fulfills two important functions. Serving as the principal advisor to the Commandant on matters pertaining to professional training, the Director also serves as head of one of five academic divisions that report to the Academic Dean and Provost. In the former capacity, the Director administers all non-credit experiential, professional learning provided the Brigade. The Department of Professional Programs administers the summer training programs, assigns graduating midshipmen to their respective Navy and Marine Corps communities, and manages Technical Programs in Luce Hall.

a. Summer Training. During the summer, all midshipmen participate in mandatory training. Because the Navy and Marine Corps “hire” all our graduates, this program serves as an intensive internship. The Summer Training Program has recently gone through a zero-based review that resulted in a number of changes that will provide the Brigade an outstanding program. Each summer focuses on two facets of training, exposure to the fleet and small unit leadership:

The Third Class summer has midshipmen participating in a fleet cruise on either a surface ship or a submarine and a cruise on a USNA Navy 44-foot sailboat. The fleet cruise gives them their initial exposure to the naval fleet. On the sailing cruise, the midshipmen 3/C are members of a small crew and earn a basic sailing qualification.

During Second Class summer, midshipmen participate in PROTRAMID (Professional Training for Midshipmen) and a Yard Patrol (YP) cruise. PROTRAMID introduces midshipmen to the aviation, submarine, and Marine Corps service communities. The YP is a small (108ft) naval surface training craft; as crew members aboard a YP craft, midshipmen function in a small unit and earn basic professional qualifications.

During First Class summer, midshipmen have more choices. Their fleet cruise can be a surface, submarine, aviation, Marine Corps, Mini-BUD/S (for SEALs), EOD (Explosive Ordnance Disposal), or foreign exchange cruise. About half of the class will be a part of one of the training details (Plebe, NAPS (Naval Academy Prep School), Weapons, Summer Seminar, Sailing). The other half will hold the leadership positions on the sailing and YP cruises or take part in a summer internship.

b. Professional Qualifications. The new Summer Training Program is focused on the midshipmen achieving qualifications. During Plebe Summer, each midshipman will earn a “B-qual” on a Navy 26-ft Colgate sailboat. During their third-class summer, the midshipmen will earn the Watch Captain qualification on a Navy 44-ft sailboat. During their Second-Class summer, the midshipmen will earn a Level One certification on a YP. During their First-Class summer, the midshipmen who go on YPs will earn their OOD (Officer of the Deck) qualification or their “D-qual” on a Navy 44-ft sailboat.

c. YP Squadron. During the academic year, the Yard Patrol (YP) Power Squadron, a voluntary program for all classes, is used to provide midshipmen with hands-on training in seamanship, navigation, naval tactics, communications, naval phraseology and standard procedures. The training provided onboard the YPs is an initial step towards achievement of the Officer of the Deck Qualification and ultimately, Command at Sea.

d. Aviation Programs. The Introductory Flight Screening (IFS) program is a year-round program mandated by the Chief of Naval Air Training (CNATRA): those midshipmen who select Naval or Marine Corps aviation as their career option must complete IFS prior to commencing Aviation Preflight Indoctrination (API) in Pensacola, Florida. IFS involves 25 hours of civilian flight instruction in the local Baltimore-Annapolis area, including three solo flights. USNA begins flight training for midshipmen who are screened as potential pilots in the fall of their First Class year and continues flight training for new midshipmen about every two months. Those midshipmen who select the aviation career path and have not completed IFS training prior to graduation will fly during the summer prior to moving from the Annapolis area. The Aviation Selection Test Battery (ASTB) is a written exam administered at USNA for all midshipmen interested in service selecting aviation. Individuals must pass this test in order to be qualified to select aviation. The Professional Programs Department offers the exam once a month.

e. Career Information Program (CIP). Under CIP, midshipmen 1/c are assigned to Navy and Marine Corps communities according to the midshipman's preferences, aptitude, and order of merit. While on assignment, they gain career information through presentations, seminars, summer cruise experience, a capstone practicum course, and daily interface with officers of various military backgrounds. CIP aims to ensure that upon graduation and commissioning, new ensigns and 2nd lieutenants will enter the warfare area for which they are best suited.

f. Midshipman Military Training. Officers from the Commandant's staff and the Division of Professional Development, along with selected midshipman leaders, constitute the Planning Board for Training (PBT) that implements all military training. They schedule topics that are mandatory for all active duty military members of the Naval Service or locally directed by Naval Academy instructions. Training sessions are conducted weekly, taking care to avoid infringing on academic time. Additional training sessions are scheduled during Re-Form (reconstitution of the Brigade after the summer leave and training period, in August), winter and spring intercessional periods (January/May), and on designated Saturdays. Company officers or designated upper class midshipmen typically conduct the training, which is monitored and assessed by a senior member in the chain of command.

Officer Development

The Officer Development Division, established in Academic Year 2004-2005, serves as a focal point within the Naval Academy for coordinating, integrating and enhancing programs specifically designed to develop midshipmen into leaders of character. As part of this function, the Officer Development Division develops and oversees specific programs to promote and support the Naval Academy's Leadership, Ethics and Character Development programs; these include the honor concept and honor staff, the character programs and character staff, summer character internships, and all academic programs specifically focused on Leadership, Character and ethical development of midshipmen.

Administratively, the Officer Development Division is led by a senior Navy captain and includes a Deputy for Honor who oversees the midshipman Honor staff and a Deputy for Character who oversees the newly formed midshipman Character staff. The Character Program includes the Alcohol and Drug Education (ADEO) program, the Command Managed Equal Opportunity (CMEO) program, and the Sexual Assault Victim Intervention (SAVI) program.

a. Leadership, Ethics, and Law. The Leadership, Ethics, and Law Department provides oversight over core and elective academic courses in Leadership, Ethics, and Law available to midshipmen across their four year curriculum. One semester of Leadership is required during Fourth Class, Second Class, and First Class year, as well as one semester of Ethics during Third Class year; one semester of military law is required during First-Class year. A number of electives are offered in all of these areas. Significant portions of each of these courses are devoted to studying the role character plays in leadership, ethical decision-making and in carrying out the intent of military law.

In addition to the academic program, Character Development Seminars built upon the Navy's core values of Honor, Courage, and Commitment are required of all midshipmen. A different seminar format is designed for each year group as professional training with no academic credit, in keeping with the institutional mission.

b. Deputy for Honor. The Deputy for Honor assists the Brigade of Midshipmen Honor Staff in administering the Honor Concept within the Brigade by providing advice and administrative support to Brigade Honor Boards and to the Honor Staff. The Deputy for Honor and his staff prepare case portfolios for the Commandant of Midshipmen for those cases he adjudicates. The Brigade Honor staff has its own education officer who coordinates Honor Education within the Brigade.

c. Deputy for Character. The Deputy for Character programs provide assistance and oversight to the Brigade of Midshipmen Human Education Resources Officers (HERO) Program and Command Managed Equal Opportunity (CMEO) Program. These two programs have been combined and the midshipmen who are the HERO/CMEO representatives provide training to their companies on matters of Dignity, Respect and Equal Opportunity. Additionally, the Deputy for Character Programs provides assistance and oversight over the Alcohol Drug Education Officer programs and the midshipman staff that runs these programs in the Brigade; the purpose of the programs is to maintain an awareness of the responsible use of alcohol and the dangers of abuse. The Deputy for Character Programs also oversees the Sexual Assault Victims Intervention program, with its primary goals of preventing and minimizing sexual assault and victimization through deterrence by increasing awareness of behavior that can lead to sexual assault and victimization, and reacting quickly and effectively to sexual assault reports.

The leader of the Character Internship Program provides opportunities for midshipmen who seek additional challenges in unique, practical settings during summer training or summer leave. Currently these programs are limited to the National Outdoor Leadership School and Bridges to Community (building homes in Nicaragua); nearly 70 midshipmen will participate in this program during summer 2005.

d. Military Training. The Summer Training Program is designed to support the professional courses that the midshipmen take during the academic year. A planned logical progression allows the midshipmen to apply professional knowledge learned in the classroom to their training during the summer. For example, the IFS program complements well the NS403 Junior Officer Practicum for Aviation course. The classroom instruction that the midshipmen receive in NS403 directly applies to the practical instruction they learn in the Introductory Flight Screening course. The YP Power Squadron also has a direct correlation with the required navigation courses (NS100 and NN204). These courses use the YPs as labs, so this activity provides additional time in the laboratory much like directed research.

As the programs are based on the academic program of professional courses, they further reinforce the training mission of the Academy. The effectiveness of this congruence can be measured in the final outcome, Naval and Marine Corps officers with high quality leadership skills and technical competence. Nonetheless, no definitive survey instrument has yet been developed to assess the quality of a Naval

Academy graduate in absolute terms or in comparison to an officer commissioned from another source. Indeed, this latter issue has served as the thesis topic of several company officers in the Leadership Education and Development (LEAD) master's program.

In the area of career information, each midshipman 1/c is interviewed by a three member board to assess the readiness of that midshipman to proceed into her or her chosen specialty. These boards provide written feedback to the Director of Professional Development via Service Assignment Boards on the quality of preparedness for commissioning of each prospective graduate.

e. Character Assessment. The difficult issue of measuring and assessing the Naval Academy's Character Development program has until recently been the responsibility of the Character and Ethics Assessment Steering Group, which is a subcommittee of the Midshipman Development Board. Prior to the establishment of the Officer Development Division, the Midshipman Development Board, a group of the most senior members of the USNA staff, had met monthly to discuss and integrate programs designed to develop midshipmen. The Midshipman Development Board established the Character and Ethics Assessment Steering Group, which is made up of the Director of the Center for Professional and Military Ethics, the Director of Character Development, and a member of the Academic Dean's Academic Enhancement Staff, who is a specialist in psychometrics. With the migration of these responsibilities to the Director, Officer Development, a number of possible tests and surveys are being considered that the USNA may be able to use better to assess the character and moral development of midshipmen in order to guide future decisions in the realm of Character Development.

Recommendation 13-1 WAYPOINTS. *This well-written written, summary definition of the roles of midshipmen in the various phases of their leadership development (Appendix 13-1) provides clear, concrete measures for the midshipmen to use in setting goals and assessing their own performance. The Academy should make provision for keeping this valuable script of the leadership curriculum current and vital.*

Recommendation 13-2 Maritime Training Continuum. *This program focuses on qualifications for midshipmen and optimizes use of locally available watercraft integrated with cruises on fleet ships, submarines and squadrons. The Academy should make provision for keeping this valuable syllabus of the Academy's on-the-water naval professional curriculum current and vital.*

Recommendation 13-3 Improved Career Information Program. *All midshipmen 2/c now participate in PROTRAMID, thus allowing a more informed career commitment after graduation. The recent adjustments to the Career Information Program have been well crafted. The Academy should make provision for keeping this valuable program for career orientation in the sea services current and vital.*

Recommendation 13-4 LEAD program. *This program, providing a one year master's program for newly arriving company officers designated for duty with one of the midshipman companies in Bancroft Hall, invests in the education of the company officers 'just in time' to enhance their effectiveness as midshipmen mentors. This program has proven its value since its inception a decade ago, and should be continued.*

Recommendation 13.5 *Lack of coordination among related activities.* In many areas, common organizational goals exist among several related educational activities and midshipman support organizations that are not well-coordinated or mutually supporting. For example, varsity and club sports function in two different domains due to their differing funding sources. Military training in the Division of Professional Development and similar training controlled directly by the Commandant of Midshipmen are less coordinated and integrated than was the case a decade ago. Elsewhere, two different character development departments/centers pursue common worthy goals in some ways independent of each other. The recent reorganization of several disparate functions into a single Division of Officer Development is a move in the right direction. The Academy should continue to monitor the related military-professional educational activities to ensure that they are coordinated, meaningful and appropriately resourced.

Recommendation 13.6 *Watercraft.* Increased use of USNA organic (USNA owned) watercraft in summer training may depreciate the equipment faster than currently expected. USNA should update the lifecycle management plan for all watercraft assets under the auspices of the Naval Station Annapolis, and, if needed, obtain additional resources.

Recommendation 13.7 *Military manning.* Current manning at 85-90% of authorized billets is insufficient. Billets for officers at USNA are often unfilled or gapped between fills. There is also a trend of assigning fewer junior officers than ten years ago, instead assigning officers closer to retirement. This complicates the supervision of summer training normally accomplished by a shrinking number of junior officers. This trend also drove the Brigade of Midshipmen to 30 companies, down from 36 ten years ago. Although the job can be done with fewer officers, the risk is degradation in mentoring. One midshipman 3/c anecdotally noted his company officer had no idea who he was because there were so many midshipmen in his company. USNA therefore should work with the Bureau of Naval Personnel to stabilize officer manning, and should also consider returning to a 36 company Brigade (which existed prior to 1993).

STANDARD FOURTEEN

ASSESSMENT OF STUDENT LEARNING

The systematic assessment of student learning at the Naval Academy has passed its earliest stages. A reasonable foundation has already been laid with the recruitment of a distinguished academic assessment expert, the publication of academic assessment guidelines, and the establishment of a faculty assessment committee.

The 2005 USNA Strategic Plan envisions a rigorous, data-based assessment of outcomes, including academics. Yet much remains to be done: all aspects of the core and majors curriculum are not being evaluated at a consistently high level. Recommendations in the institutional response to this standard help to chart the way ahead.

The Naval Academy began an institutional approach to academic assessment in October of 1999, when the Academic Dean commissioned the Assessment Task Force (ATF). Organized by the Director of Teaching and Learning, the group of faculty volunteers researched and adapted approaches successful at other institutions to the Naval Academy. Subsequently Dr. Peter Gray became the Academy's first Director of Academic Assessment in the fall of 2002.

In 2004 the Naval Academy's plan for assessing student learning was institutionalized in ACDEANINST 5400.1, "Annual Reporting of Assessment Progress" (*Appendix 2-8*) that contains directions for assessment at the department, division and institutional level, and calls for annual assessment reports.

The Faculty Senate Assessment Committee (FSAC) supports the efforts of the divisions and departments and assesses overall progress toward achieving emerging institutional academic goals (see the response to *Standard Twelve* for a description of the institutional data being gathered by the FSAC). The Director of Academic Assessment, who reports directly to the Academic Dean and Provost, is responsible, with the FSAC, for facilitating and coordinating the USNA academic assessment process.

Element 14.1 Articulated expectations of student learning at various levels (institution, degree/program, course) that are consonant with the institution's mission and with the standards of higher education and of the relevant disciplines.

Beginning in 1999, the Assessment Task Force developed early models, and then tools and procedures, for assessing midshipmen's communications skills, geopolitical awareness, and analytic thinking. In 2000, at a faculty colloquium on assessment departments graphically displayed learning goals as developed to that time (see the departmental poster at <http://intranet.usna.edu/CTL/DeptPosters/DeptPoster.htm>).

The development of goals continues. In the 2005 USNA Strategic Plan, Academic Goal, Objective One centers on learning outcomes and assessment: *Focus the midshipman academic program on achieving specific learning outcomes and implement a system of assessing how well USNA graduates are achieving those outcomes in order to guide a process of continuous improvement.* The first task under that objective, to be completed by June 2006, is to confirm the specific learning outcomes articulated at the institutional, major/program, and course levels. At the institution level, the characteristics, capabilities and attributes of graduates listed in *Appendix 1-5* provide the articulated expectations of student learning consistent with the institutions mission to *prepare midshipmen mentally, morally, and physically* and with standards of higher education.

The departments have continued to refine their learning goals and use them to guide the implementation and continuous improvement of their educational offerings as is evident in their annual departmental assessment plans (*Appendix 14-1*).

In particular, the majors within the Division of Engineering and Weapons—with the exception of the General Engineering major—are guided in this regard through the ABET accreditation process. The Computer Science major, offered through the Computer Science Department, is also accredited through ABET. The accreditation process for these majors focuses on programs of study, not institutions. Part of the ABET accreditation process involves assessment of the learning outcomes “A-K” (*Appendix 14-2*, ABET accreditation requirements), which articulate expectations of student learning at the program and course levels consonant with the institution’s mission and with the standards of higher education and of the relevant disciplines. The only other externally accredited major program at USNA is chemistry, which is accredited by the American Chemical Society (information about the ACS review may be found in *Appendix 14-3*). In addition, all academic programs undergo a five-year program review conducted by recognized external experts to determine if they are of sufficient content, breadth and length, and conducted at appropriate levels of rigor (*Appendix 10-2*, ACDEANINST 5420.29D, “Visiting Committee Program”).

Element 14.2 A plan that describes student learning assessment activities being undertaken by the institution, including the specific methods to be used to validate articulated student learning goals/objectives.

The academic assessment program has achieved a much higher level of control and coordination than the overall institutional assessment program. One of the most significant developments since the last Middle States review is the ongoing formulation and implementation of an institutional academic assessment plan, currently represented in ACDEANINST 5400.1, “Annual Reporting of Assessment Progress” (*Appendix 2-8*).

Previous strategic planning processes provided much of the original impetus for the specific issues addressed by this plan, so that the mission of the Naval Academy clearly guided the establishment of appropriate standards and goals. From this, the various majors, minors and tracks within majors have developed specific assessment plans, and full cycles of some assessment plans are now nearing completion, with feedback providing useful information used to improve teaching and learning in some cases.

ACDEANINST 5400.1 (*Appendix 2-8*) contains the following directions for Core Curriculum and the Academic Majors, Minors, Tracks within a Major, and Interdisciplinary Programs.

Core Program assessment by the Divisions. The annual assessment of the core program should involve both within-division and across-division interaction. Within divisions, both the overall effectiveness of the Core Program and the effectiveness of its constituent courses should be reported. In addition, any significant dependencies on the core programs offered by other divisions should be reported. The Curriculum Review briefs presented by each Division during the 2004-2005 academic year (*Appendix 12-1* and *12-2*) represent the most recent core-related assessment information.

Assessment of academic majors, minors, tracks within a major. The annual assessment of academic majors, minors, tracks within a major, and interdisciplinary programs should be part of an ongoing program of continuous improvement. The assessment process should be integrated with internal and external program review and accreditation, where appropriate, to avoid duplication of effort. Departments have been asked to include in their annual assessment reports the following: Program Rationale, Curriculum and Program Outcomes, Program Assessment Results, and Evidence of Continuous Program Improvement. (See *Appendix 14-4* for both a summary and the full text of the departmental 2004-2005 Annual Assessment Reports.)

Element 14.3 Evidence that student learning assessment information is used to improve teaching and learning.

The departments' annual reports vary in scope, depth, and completeness, ranging from 50 page documents with several appendices to five paragraph summaries without data. While there is some indication that many departments are engaged in more assessment than they have explicitly reported, others seem to be doing little or nothing. Few departments have reported what, if any, changes in their programs have resulted from their assessment programs. (Assessment of the Core is just beginning.)

Element 14.4 Documented use of student learning assessment information as part of institutional assessment.

While some majors, especially those accredited by ABET or other national organizations, have embraced assessment practices and built them into their programs, other departments have not demonstrated such committed to assessment. In some programs, assessment is built into the curriculum and most faculty are directly involved. In others, assessment is the exclusive domain of one or two faculty members, or the department assumes the Director of Assessment will do the work. As a result, there are both structural and philosophical problems with the academic assessment process at the Naval Academy. The recommendations at the end of this discussion are intended to address these problems.

Because the assessment program is not yet uniform or institutionalized across the Academy, it is possible that changes of leadership (e.g., new Division Directors and higher administrators arriving from outside the institution) will result in significant revisions to the program and additional efforts to justify academic assessment and its appropriate relationship to curricular and institutional decisions.

Recommendation 14-1 Assessment in the academic program should serve as a model for assessment activities in other programs, as well as for an Academy-wide assessment effort. Academic assessment has drawn upon existing national examples, has a degree of centralized coordination, and is an on-going process with feedback loops.

Recommendation 14-2 The Academy has begun to employ a meaningful national instrument, the National Survey of Student Engagement, and this use should continue. This instrument will provide useful data toward answering questions about how well the Academy is accomplishing its goals. Additionally, the survey will subsume a great many of the objectives served by current disparate efforts, and provide useful internal management tools and significant national benchmarks.

Recommendation 14-3 An active role for the FSAC. The Naval Academy community needs a clearer commitment to a continual assessment process across the Yard, with regular assessments and regular opportunities for those assessments to affect the Core Program as well as majors, minors, and tracks. The Faculty Senate Assessment Committee should be more active in leading the assessment discussion in the academic community. In particular, it should hold regular meetings with the divisions and the departments to discuss the official instructions on assessment and the current status of assessment in the divisions and departments.

Recommendation 14-4 Prototype Department and Division Assessment Reports. FSAC should create a prototype for department and division assessment reports, to make it clear what information is required and to suggest what sorts of actions might be appropriate. Reports should reiterate each program's goals, where midshipmen can be expected to make progress toward these goals, and where and how this progress is assessed. Reports should include assessment data, indicate conclusions drawn from these data, and discuss program changes resulting from this analysis.

Recommendation 14-5 Assessment of the Professional and Officer Development curriculum. The Professional Development and Officer Development activities of the Naval Academy should involve the same extent of assessment as the academic activities. A supportive relationship between the Commandant's office and the Faculty Senate Assessment Committee should be established to facilitate these activities

GLOSSARY OF ACADEMY ACRONYMS AND SPECIAL TERMS

AAUP = American Association of University Professors
 ACDEANINST = Academic Dean and Provost Instruction
 ABET = Accreditation Board for Engineering Technology
 ACDEAN = Academic Dean
 ACP = Academic Counseling Program
 ACS = American Chemical Society
 ADAA = Associate Dean for Academic Affairs
 ADM = Admiral (rank carries four stars)
 AEDO = Alcohol and Drug Education (Officers) Program
 ASDP = Abbreviated Systems Decision Paper
 ATF = Assessment Task Force
 BAC = Brigade Activity Center (dedicated September 2005)
 BFR = Basic Facility Requirement (defines requirement for new construction)
 BGO = Blue and Gold Officer (candidate guidance volunteer, in the field)
 BOS = Base Operating Support
 BOV = Board of Visitors
 BUDS = Basic Underwater Demolition School (Basic SEAL Training)
 BUPERS = Bureau of (Naval) Personnel
 CQPR = Cumulative Quality Point Average
 CMEO = Command Managed Equal Opportunity Program
 CNI = Commander, Naval Installations
 CNO = Chief of Naval Operations
 CSRS = Civil Service Retirement System
 DFAS = Defense Finance and Accounting Service
 DMP = Distinguished Military Professor (Program)
 DOD = Department of Defense
 DTS = Defense Travel System
 ECAs = Extracurricular Activities
 EPS = Enrollment Planning System (see Standard Eight)
 ESG = Executive Steering Group
 FACA = Federal Advisory Committee Act
 FERS = Federal Employees Retirement System
 FITREP = Report on the Fitness of Officers
 Flagship Institutions (USNA, Naval War College, Naval Postgraduate School)
 FOIA = Freedom of Information Act
 FOUNDATION = Naval Academy Foundation (fund raising arm of Alumni Assn)
 FOUNDATION schools = those preparatory schools sponsored through the Naval Academy
 Foundation Athletic and Scholarships Program, an arm of the Alumni Assn.
 FSAC = Faculty Senate Assessment Committee
 GAO = Government Accounting Office
 GET = Graduate Education and Training (Program)
 GS = General Schedule Personnel (most academic staff are in the GS system)
 Group I = Division of Engineering and Weapons
 Group II = Division of Mathematics and Science
 Group III = Division of Humanities and Social Science
 HERO = Human Education Resources Officers (Program)
 IFS – Introductory Flight Screening course—conducted under the auspices of USNA and required of
 all flight school candidates graduating from the Naval Academy
 I-Day – Induction Day (arrival of the new class of Plebes)

JER = Joint Ethics Regulations
 JFTR = Joint Federal Travel Regulations
 JTR = Joint Travel Regulations
 LEAD = Leadership Education and Development Program
 LOA = Letter of Assurance
 LTF = Leadership Task Force
 MAP = Maintenance Activity Plan (planning document for annual maintenance projects)
 MDB = Midshipmen Development Board
 MDC = Midshipmen Development Center
 MGSP = Midshipmen Group Study Program
 MIDS = Midshipman Information System
 MIDSHIPMAN 1/c = Midshipman First Class (a senior)
 MIDSHIPMAN 2/c = Midshipman Second Class (a junior)
 MIDSHIPMAN 3/c = Midshipman Third Class (a sophomore)
 MIDSHIPMAN 4/c = Midshipman Fourth Class (a freshman)
 MP,N = Military Personnel, Navy
 MSC = Multimedia Support Center
 MILCON = Military Construction (a separate Congressional appropriation)
 NAAA = Naval Academy Athletic Association
 NAF = Non-Appropriated Funds
 NAFI = Non-Appropriated Fund Instrumentalities
 NAPS = Naval Academy Preparatory School
 NARC = Naval Academy Research Council
 NCO = Non-Commissioned Officer
 NDW = Naval District Washington
 NOLS = National Outdoor Leadership School
 NSPS = National Security Personnel System
 O&M,N = Operations and Maintenance, Navy (a separate Congressional appropriation)
 OIR = Office of Institutional Research
 ONR = Office of Naval Research
 OP, N = Other Procurement, Navy (a separate Congressional appropriation)
 OOM = Order of Merit (for graduation)
 OPNAINST = Office of the Chief of Naval Operations Instruction
 PAE = Physical Aptitude Examination
 PAO = Public Affairs Office (Officer)
 PARS = Performance Appraisal Reporting System
 PCC = Professional Core Competencies
 PLEBE = First year student (freshman)
 PLEBE SUMMER = First eight weeks of Plebe Year, starts ~ 1 July
 PLEBE YEAR = First year at USNA, basic acculturation and indoctrination
 PMP = Permanent Military Professor
 POM = Program Objective Memorandum
 PR = Program Review
 PRB = Program Review Board
 PROTRAMID = Professional Training for Midshipmen
 PSD = Personnel Support Detachment
 QA = Qualified Alternates (for admission)
 QPR = Quality Point Average
 Reform = Pronounced "Re-Form" (the reestablishment of the Brigade each August)
 SAVI = Sexual Assault Victim Intervention (Program)
 SEA TRIALS = All day skill and endurance event culminating in end of Plebe Year

SLT = Senior Leadership Team

SRM = Facilities Sustainment, Restoration and Modernization

STRIPER = pronounced STRIPE-R (a midshipman 1/c in the Bancroft Hall administrative chain of command)

URL = Unrestricted Line (Officers)

USAFA = United States Air Force Academy

USC = U.S. Code (federal law)

USMA = United States Military Academy

USNA = United States Naval Academy

USNA/AACINST = United States Naval Academy/Annapolis Area Complex Instruction

VADM = Vice Admiral (three stars)

WPM = Whole Person Multiple

WG = Wage Grade Personnel System (governs crafts and trades personnel)

WINATOS = Windows Automated Travel Order System (legacy system to process travel)

WPM = Whole Person Multiple