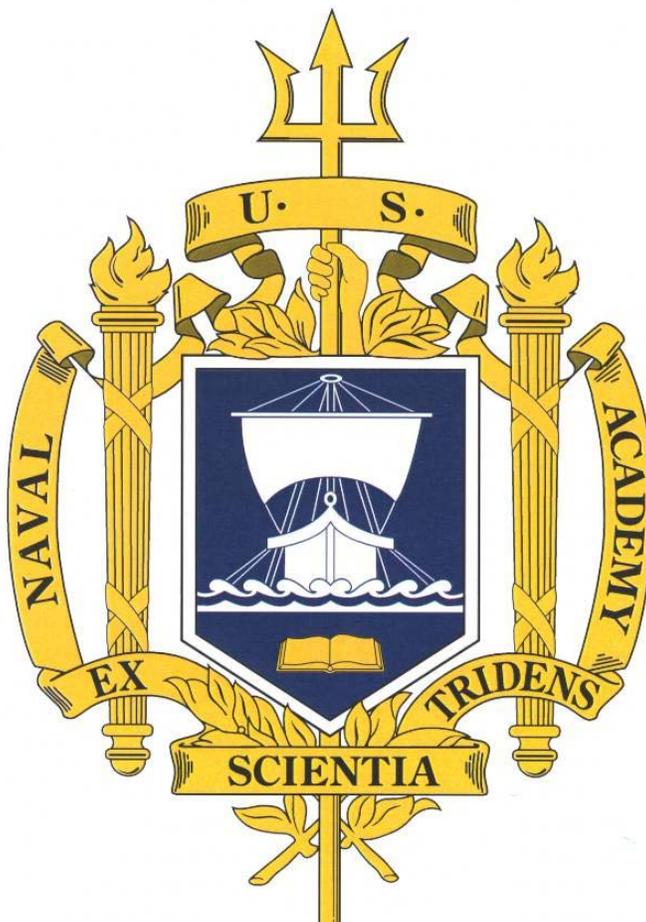


Middle States: Self-Study

Institutional Self-Study



United States Naval Academy

Submitted to the

Commission on Higher Education

Middle States Association of Colleges and Schools

January 24, 2016

Institutional Self-Study

Submitted to:
Middle States Association of Colleges and Schools
Commission on Higher Education

Prepared by:
Self-Study Steering Committee

Dr. Boyd Waite co-chair
Dr. Katherine Cermak co-chair
Mr. Larry Clemens
Dr. Christine Copper
CDR Adan Cruz
Dr. Rae Jean Goodman
CAPT Wes Huey
CDR Matthew Kaslik
CAPT Ann Kubera
Dr. Mark McWilliams
Mr. Joe Rubino
Dr. Ralph Volino
CAPT Owens Walker
CAPT Pat Williams
Dr. Priscilla Zotti

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[For use by institutions addressing the Accreditation Standards in *Characteristics of Excellence: Requirements of Affiliation and Standards for Accreditation (12th ed., 2006)*
Effective August 1, 2013

United States Naval Academy
(Name of Institution)

is seeking (Check one):
 Initial Accreditation
 Reaffirmation of Accreditation through Self Study
 Reaffirmation of Accreditation through Periodic Review

An institution seeking **initial accreditation** or **reaffirmation of accreditation** must affirm that it meets or continues to meet established MSCHE Requirements of Affiliation.

This signed certification statement must be attached to the executive summary of the institution's self-study or periodic review report.

The undersigned hereby certify that the institution meets Requirements of Affiliation of the Middle States Commission on Higher Education as published in *Characteristics of Excellence: Requirements of Affiliation and Standards for Accreditation (12th ed., 2006)*.

If it is not possible to certify compliance with all requirements specified herein, the institution must attach specific details in a separate memorandum.

Exceptions are noted in the attached memorandum (Check if applicable)

W. E. Cantel
(Chief Executive Officer)

18 Dec 2015
(Date)

Michelle H. Journal
(Chair, Board of Trustees or Directors)

21 December 2015
(Date)

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INTRODUCTION

Through the efforts of Secretary of the Navy George Bancroft, the Naval School was established at a 10-acre Army post named Fort Severn in Annapolis, Maryland, on October 10, 1845, with a class of 50 midshipmen and seven professors. The curriculum included mathematics and navigation, gunnery and steam, chemistry, English, natural philosophy, and French.

In 1850 the Naval School became the United States Naval Academy. A new curriculum went into effect requiring midshipmen to study at the Academy for four years and to train aboard ships each summer. That format is the basis of a far more advanced and sophisticated curriculum at the Naval Academy today. As the U.S. Navy grew over the years, the Academy expanded. The campus of 10 acres increased to 338. The original student body of 50 midshipmen grew to a brigade size of approximately 4,500. Modern granite buildings replaced the old wooden structures of Fort Severn.

Congress authorized the Naval Academy to award bachelor of science degrees in 1933. The Academy later replaced a fixed curriculum taken by all midshipmen with the present core curriculum plus 25 disciplines to study, a wide variety of elective courses and advanced study and research opportunities.

Since then, the development of the United States Naval Academy has reflected the history of the country. As America has changed culturally and technologically so has the Naval Academy. In just a few decades, the Navy moved from a fleet of sail and steam-powered ships to a high-tech fleet with nuclear-powered submarines and surface ships and supersonic aircraft. The Academy has changed, too, giving midshipmen state-of-the-art academic and professional training they need to be effective naval officers in their future careers.

Mission

The Naval Academy has a unique clarity of purpose, expressed in our mission:

“To develop Midshipmen morally, mentally and physically and to imbue them with the highest ideals of duty, honor and loyalty in order to graduate leaders 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.”

The plan for fulfilling the mission is encompassed in the Academy’s strategic plan, titled “Strategic Plan 2020,” which includes the 2020 Vision statement:

“To be the premier educational institution for developing future officers across the nation to serve and lead in an increasingly interdependent and volatile world”

Institutional Context

The Naval Academy is a unique institution in several ways. The students represent a broad cross section of the United States, coming from every state and territory. All are United States citizens, with the exception of about a dozen international students in each graduating class. All must be between the ages of 17 and 23 and meet a set of stringent medical requirements when entering the Academy. All live on campus in a single dormitory, Bancroft Hall. They pay no tuition and fees, and their room and board is provided at no cost. All students are employees of the U. S. Navy. They are paid a salary which is sufficient to cover the cost of their textbooks, uniforms, and other necessary expenses with a small amount remaining to use at their own discretion. They may not have outside employment. Issues such as the support of commuter students, married students, part time students, etc. are not relevant at USNA, as these situations are not allowed.

Students are expected to graduate in four years. Exceptions can be made under unusual circumstances, such as serious illness, but these are rare. Virtually all graduates finish in four years. The workload is demanding. In addition to the typical academic course load, the students must complete additional professional courses in areas such as navigation, ethics, leadership and naval law. They also have military and athletic responsibilities. All must maintain acceptable academic and physical standards to remain at USNA. To help the students succeed and graduate on time, they are provided an exceptional amount of personal support by the faculty and staff. Organizations such as the Class of 1963 Center for Academic Excellence provide help to all who request it and are particularly targeted towards those who are struggling. Classes are small with a typical size of about 20 students. The Naval Academy has no graduate students, so faculty teach all classes and grade all student work. They therefore know all of their students and know which of them are struggling. They provide extra instruction (office hours and additional tutoring of midshipmen) as needed. The Midshipman Development Center, chaplains, and others provide additional support and counseling outside of academics. Midshipmen are organized into companies in their living quarters and are monitored there by Navy and Marine Corp officers. These officers are instrumental in their military training and are also in position to intervene and direct a midshipman to extra help if they are struggling academically, physically, personally or otherwise. In summary, the midshipmen are required to complete a very rigorous program within four years and are provided tremendous support to help them achieve this goal.

With the exception of the handful of foreign nationals and a similar number of other exceptions, all graduates of the Naval Academy are commissioned as officers in the naval service. For each graduating class of about 1000, approximately $\frac{3}{4}$ are commissioned as ensigns in the Navy, and $\frac{1}{4}$ are commissioned as 2nd lieutenants in the Marine Corps. All graduates are eligible to serve in a variety of assignments (e.g. as Navy or Marine pilots, submarine officers, surface warfare officers, Marine Corps officers, etc.), regardless of their academic major. Academic majors include the humanities and social sciences, foreign languages, physical sciences, and engineering. All graduates regardless of major are required to complete courses in English, history, political science, chemistry, physics, mathematics (including three semesters of calculus), electrical engineering, thermodynamics, fluid mechanics, and cyber security. Because of the strong technical content, all receive a Bachelor of Science degree, even those with non-technical majors. In addition to Middle States accreditation, several majors are accredited in

their field. Chemistry is accredited by the American Chemical Society, and all eligible engineering, computer science, and information technology programs are ABET accredited.

To achieve the mission of developing midshipmen morally, mentally, and physically, the Naval Academy is organized under the Superintendent, also the chief executive officer of the institution as described in Standard 5, who is a Vice Admiral appointed by Congress. The Superintendent serves in what might be considered the combined role of a commanding officer of a military installation and a university president. Many of the policies and practices at USNA are set externally by law or other "regulatory" instructions and guidelines (e.g. the size of the student body, 47 month residency for all midshipmen, etc.), but for all decisions made locally, the Superintendent has ultimate responsibility. Serving directly under the Superintendent are the Academic Dean and Provost, the Commandant of Midshipmen, and the Director of Athletics. They are most directly responsible for the mental, moral, and physical components of the mission, respectively; although there is overlap between each of their roles and the three aspects of the mission. The Superintendent, Academic Dean, Commandant, Director of Athletics, and other members of the administration form the Senior Leadership Team (SLT). The Academy Effectiveness Board (AEB), which is chaired by the Vice Academic Dean, Deputy Commandant, and Senior Associate Athletic Director, provides data and recommendations to the SLT.

There are six divisions within the Naval Academy: (1) Engineering and Weapons, (2) Mathematics and Science, (3) Humanities and Social Sciences, (4) Professional Development, (5) Leadership Education and Development, and (6) Character Development and Training. The Division Directors for divisions 1 – 3 (equivalent to a Dean of a college or school at peer institutions) report to the Academic Dean and Provost. The Division Directors for divisions 4-6 report to the Commandant of Midshipmen (similar to a Dean of Students). The academic department chairs report to the Division Director. Another position, entitled Senior Professor, is an experienced faculty member of one of the departments in the division who advises the Division Director on all matters relating to the execution of the programs within the division including but not limited to staffing, budgeting and space utilization issues. The Division Director is a senior rotational military officer assigned to the Academy for typically three years. While the Division Director has had significant leadership and command experience in the military, their academic experience may be a little more limited. The Senior Professor provides the long term understanding of the academic programs that bridges the tenures of the Division Directors.

The Academic Assembly consists of the academic deans, division directors, senior professors, chairs of the academic departments, and other Academic Dean staff members and serves as an advisory board as well as a conduit for communicating information to the faculty. The Faculty Senate is composed of elected representatives from the military and civilian faculty of all departments. It provides advice and recommendations to the Academic Dean. Its committees work on issues generated both by the faculty and requested by the administration.

The faculty has historically been about 50% civilian and 50% military since the founding of the Academy. This mix of military and civilian faculty makes USNA somewhat different than the nation's other military academies, which have a higher percentage of military faculty. The civilian faculty are professional educators who provide expertise in their field and continuity. They have doctorates in their field and most remain at the Naval Academy for their careers. The

permanent civilian faculty have a tenure process similar to other institutions. Rotating military faculty are typically assigned to the Academy for two to three years. These military faculty teaching in degree granting programs have master's degrees in their field. Rotating military faculty provide recent operational experience which they bring to the classroom and provide examples for the midshipmen of Navy and Marine Corps officers using their education. Permanent Military Professors (PMP) are officers with doctorates in their field who are assigned to the Academy for the remainder of their military careers (typically six to ten years).

SELF-STUDY ORGANIZATION AND OVERVIEW OF FINDINGS

This Self Study is the product of a collaborative effort across the entire Naval Academy. It is a comprehensive report that has been ordered as follows to reflect our institutional context and the findings of our working groups:

- Working Group A. Mission, Goals, and Integrity
 - Standard 1: Mission and Goals
 - Standard 6: Integrity

- Working Group B. Planning, Resources and Institutional Renewal
 - Standard 2: Planning, Resource Allocation, and Institutional Renewal
 - Standard 3: Institutional Resources

- Working Group C. Leadership, Governance, Administration, and Faculty
 - Standard 4: Leadership and Governance
 - Standard 5: Administration
 - Standard 10: Faculty

- Working Group D. Institutional Assessment and Student Learning Assessment
 - Standard 7: Institutional Assessment
 - Standard 14: Assessment of Student Learning

- Working Group E. Student Admissions and Support Services
 - Standard 8: Student Admissions and Retention
 - Standard 9: Student Support Services

- Working Group F. Educational Offerings, General Education, and Related Educational Activities
 - Standard 11: Educational Offerings
 - Standard 12: General Education
 - Standard 13: Related Educational Activities

This self-study was drawn from the analysis and supporting evidence provided by the working groups for their respective standards. The raw, pre-decisional inputs from the working groups are available to the MSCHE visiting team and can be reviewed, if desired.

The following set of appendices accompany this report:

[Appendix A](#). Abbreviations and Officer Ranks

[Appendix B](#). Working Group Assignments and Membership

[Appendix C](#). List of Numbered Fundamental Elements

The Naval Academy has learned a great deal while developing this self-study. The process has confirmed and provided evidence for what was already known or expected, helped to raise and clarify issues that were less apparent, and identified some challenges that should be addressed going forward. Our mission is clearly defined and we have a robust program designed to prepare our graduates across all three mission areas (morally, mentally, and physically) to become future Naval leaders. The commitment to the mission and the success in meeting it extends across all facets of the institution. This self-study report provides evidence of this success and demonstrates compliance with all the standards of the Middle States Commission.

When the fundamental elements are considered collectively, and in the context of the Naval Academy's unique mission, the institution meets all the standards; however, some challenges have been identified. The self-study helped clarify these, identified opportunities for improvement, and facilitated the creation of a plan for improvement. These challenges include a few areas where changes are needed to bring practices into full compliance with particular elements within a Middle States standard, areas where we are already in compliance but believe we can do better, and areas which may become problems in the future. Identification of these latter items is particularly helpful, as it allows us to make plans and take steps toward improvement that may mitigate or prevent future problems.

These various challenges are discussed in detail throughout the individual standards of this report. Those formally identified as recommendations or suggestions are summarized in the following list.

Recommendations:

1. *Continue to work with the Academy's Resource Sponsor to increase staffing levels for technical support, the library, and IT support.* (Recommendation in Standard 3 with a related discussion in Standard 11.)
2. *Faculty access to travel for professional development should be improved by establishing a baseline faculty travel budget for normal years (years without continuing resolutions or sequestration), stabilizing funding levels, and streamlining approval processes.* (Recommendation in Standard 10. Related discussion in Standard 6.)
3. *Continue to work internally at USNA and externally with Naval Supply Systems Command and Fleet Logistics Center Norfolk to streamline the purchase card acquisition*

processes while maintaining compliance with established law and regulation. This should include consideration for establishing local contracting authority at USNA and should include continued review of the processes for Terms & Conditions oversight on purchase card transactions. (Recommendation in Standard 3.)

4. *The Naval Academy should continue to refine, implement, and effectively communicate its institutional assessment plan. Along with this ongoing effort, the Naval Academy should work to foster better collaboration in both strategic planning and execution of supporting budget processes. (Recommendation in Standard 7. Related discussions in Standards 1, 3, and 14.)*
5. *The Information Technology Services Division should proactively collaborate and continue to communicate with institution-wide users (customers) in order to create solutions balancing DoD Information Technology (IT) requirements with institutional needs. (Recommendation in Standard 3.)*
6. *The Naval Academy should continue to advocate to DoD leadership for changes to the faculty pay system with regard to the cap on civilian faculty salary. (Recommendation in Standard 10.)*
7. *The Nimitz Library, Rickover Hall, Macdonough Hall, and Leahy Hall are in need of modernization and renovation and should be addressed as soon as practicable. (Recommendation in Standards 3 and 11.)*
8. *The Naval Academy should archive its electronic course catalog each year. (Recommendation in Standard 6.)*

Suggestions:

1. *The Naval Academy should examine the approval process for research involving human subjects to determine ways to make it more transparent and provide a formal appeals process to better ensure intellectual freedom. (Suggestion in Standard 6.)*
2. *The Naval Academy should ensure its established inventory of instructions and notices are properly reviewed and revised to maintain currency. (Suggestion in Standard 6.)*
3. *The Naval Academy should assess the consequences of its newly adopted faculty model in Physical Education. (Suggestion in Standard 11.)*

STANDARD COMPLIANCE AND WORKING GROUP FINDINGS

Working Group A

Working Group A was chartered to examine the following standards:

- Standard 1: Mission and Goals
- Standard 6: Integrity

The Naval Academy asserts compliance with both of these standards but has identified one specific Recommendation and two Suggestions in Standard 6 for further action.

Standard 1: Mission and Goals

The mission of the Naval Academy is:

To develop Midshipmen morally, mentally, and physically and to imbue them with the highest ideals of duty, honor, and loyalty in order to graduate leaders 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 clearly and directly articulates the unique purpose of the institution, which is to produce graduates who are ready to serve as junior officers in the United States Navy and Marine Corps and develop the skills to move on to higher responsibilities. It is displayed prominently on plaques and posters throughout the institution (including a stone engraving at the entrance of the campus) and is available on the Naval Academy public web page. Every student is required to learn the mission statement.

The mission is achieved and explained in more detail through goals and objectives which are specified in the Naval Academy's strategic plan, *Leaders to Serve the Nation, U. S. Naval Academy Strategic Plan 2020*,¹ published in 2009. This plan has been widely publicized and is available from the USNA web page (**Fundamental Element 1.1e**). A recent survey of Naval Academy faculty and staff² indicated that among respondents, although there was a wide range of familiarity with all of its details, about 85% were aware of the strategic plan. The strategic plan includes a vision statement, a list of attributes of Naval Academy graduates, and the Naval Academy values of Honor, Courage and Commitment, which are the same "core values" shared with the Navy and Marine Corps. The strategic plan vision is built around six Centers of Excellence which include Academic Excellence; Admissions Excellence; Naval Heritage; Professional, Leadership and Moral Excellence; Athletics and Physical Excellence; and Quality of Life.

To fulfill the mission and achieve the vision, 10 Strategic Imperatives are grouped into four areas as set forth in the strategic plan.

¹ [Leaders to Serve a Nation: USNA Strategic Plan 2020.](#)

² [USNA faculty and staff survey, Fall 2014.](#)

- Exemplary People
 1. Recruit, admit and graduate a diverse and talented Brigade of Midshipmen.
 2. Graduate officers whose attributes and educational and experiential preparation meet the Navy and Marine Corps' current and future requirements.
 3. Attract, develop, and retain faculty, staff and coaches who model the highest professional standards and who educate, enrich and inspire a diverse and talented Brigade.
- Integrated Programs
 4. Align all Midshipmen's moral, mental, and physical core experiences to prepare them for future service in any naval warfare community.
 5. Integrate ethical leadership and character development efforts across all academic, professional, athletic and extracurricular programs.
 6. Leverage internal and external collaborations to engage Midshipmen in relevant learning opportunities that develop the broad range of competencies required by the 21st century Naval Service.
- Vibrant Enterprise
 7. Establish and maintain state-of-the-art facilities that inspire and support the pursuit of academic, professional, and athletic excellence.
 8. Apply exemplary business and assessment practices that ensure the sound stewardship of all resources and result in continual process and program improvement.
- Value-Added Outreach
 9. Develop strategic relationships with alumni, friends and national institutions of influence that contribute to the Naval Academy's success and America's security and prosperity.
 10. Maintain institutional flexibility and achieve a margin of excellence by working collaboratively with the Naval Academy Foundation to emphasize the strategic importance of unrestricted and restricted gifts and prudently steward these essential resources.

Specific objectives are then listed for each imperative. The plan concludes with 25 Strategic Initiatives. Some of these initiatives are general in nature (e.g. Admissions Excellence), while others are more specific (e.g. support for the Center for Cyber Security Studies). The strategic initiatives are not listed in the present report, as they are clearly and succinctly presented in the strategic plan itself.¹ Some are, however, discussed below as they prove helpful in showing compliance with Standard 1. Much of what is included in the Naval Academy mission and strategic plan is also embodied in federal law, including Title 10 U.S.C. §603,³ and the Department of Defense (DoD) and Department of the Navy (DON) regulations^{4,5,6} that guide and specify the activity of the institution.

³ [Title 10 U.S.C., Chapter 603](#), U.S. Naval Academy (6951-6981) (7 January 2011).

⁴ Mission Function and Tasks of the United States Naval Academy, Annapolis, Maryland. [OPNAVINST 5450.330](#)

⁵ United States Naval Academy Curriculum and Admissions Policy. [SECNAVINST 1531.2A](#)

⁶ Service Academies. [DOD Directive 1322.22](#)

The components of the mission statement, and the goals and objectives described in the strategic plan and the regulations governing the Naval Academy are very clearly defined (**Fundamental Element 1.1**). The goals and objectives are all focused on student (Midshipman) development into officers, making them fully consistent with the mission (**Fundamental Element 1.3**). It is clear from the objectives listed for each strategic imperative in the strategic plan that they guide the faculty, administration, staff, and governing body in making decisions related to planning, resource allocation, program and curriculum development, and definition of program outcomes (**Fundamental Element 1.1a**). Many of these objectives deal directly with scholarly and creative activity at all levels (**Fundamental Element 1.1b**). As examples, (1) an objective of Imperative One is to enhance academic support and skills development and to provide every Midshipman with the assistance needed to succeed; (2) an objective of Imperative Two is to expand and assess opportunities for language and cultural skills development; (3) an objective of Imperative Three is to expand opportunities for faculty to learn and apply best practices in pedagogy and remain leaders in their discipline; Imperative Four includes objectives (4) to assess the core curriculum and its resource requirements to best meet the needs of the Naval service and (5) to develop skills needed to operate in cyber warfare environments; and (6) Imperative Seven includes an objective to provide academic facilities consistent with the growing needs of faculty and students.

Recent and planned activity at the Naval Academy shows that the objectives in the strategic plan are guiding decisions leading to outcomes directly tied to the objectives. In response to the objectives mentioned above (and mapped accordingly), (1) the Academic Center, described in Standard 9, is expanding and refining its services to assist students and help them succeed; (2) two language majors and greatly expanded opportunities for overseas study have been instituted in the last few years; (3) increased opportunities for faculty development are described in Standard 10; (4) new efforts to assess the core curriculum are described in Standard 12; (5) two new cyber courses have been added to the core, as described in Standard 12, and a Cyber Operations Major has been added; and (6) construction of a new building to support the cyber initiative is scheduled to begin in 2016. These are just a few examples of implementation of the goals and objectives in the strategic plan which are underway at the Naval Academy and described throughout this Self Study report.

The first formal strategic plan at the Naval Academy was published in 1992. It has been periodically updated in the years since, with new plans or major revisions in 1999, 2004, 2006, and 2009. Each new Naval Academy Superintendent (the chief executive officer of the institution as described in Standard 5) has reviewed the existing strategic plan and decided whether to continue with it or develop a new plan (**Fundamental Element 1.1d**). The present Superintendent, Vice Admiral Carter, is currently reviewing the existing plan. These plans have been presented to the Naval Academy Board of Visitors (BOV), an advisory body described in Standard 4, and the most recent plan was presented and submitted to the Advanced Educational Review Board (AERB), which is the governing body for the Naval Academy (and is also described in Standard 4). The plans were developed with extensive input from the members of these governing and advisory bodies. Their acceptance of the strategic plan can be considered formal approval.

The strategic plans have been developed with varying levels of collaborative participation from those responsible for institutional improvement (**Fundamental Element 1.1c**). All plans were developed by the institution's senior administrators under the direction of the Superintendent. All plans were developed in response to direct input from senior Navy and Marine Corps leadership through the governing body. Participation by faculty and staff has been more variable and was limited in the development of the most recent plan in 2009. *Tied to our specific Recommendation involving the Institutional Assessment Plan cited in Standard 7, more collaborative participation by faculty and staff should be considered when future plans are developed.*

As noted above, the purpose of the Naval Academy, stated clearly in its mission and goals, is to develop officers. The mission and goals relate directly to both internal and external contexts and constituents (**Fundamental Element 1.2**). Internally, these constituents include the students and the faculty and staff who are responsible for their development. Externally they include the larger Navy and Marine Corps where the students will serve after graduation, and in the broadest sense the entire United States of America which the Navy and Marine Corps serve.

The goals and objectives, as explained in the strategic plan, focus on student learning, as mentioned above, and also on other outcomes and institutional improvement efforts (**Fundamental Element 1.4**). Strategic Imperative One has as its objective to recruit and admit a diverse and talented student body. The diversity of the student body is tracked, and Imperative Two includes an objective to assess the performance of recent graduates in the Fleet and Fleet Marine Force. Imperative Three includes similar objectives for the recruiting and retention of faculty and coaches. Imperative Five includes specific objectives to strengthen and improve ethical character and leadership development. Imperative Seven has objectives to provide and improve athletic facilities and provide expanded spaces for extra-curricular activities. Imperative Eight deals with budget development, the use of resources, assessment capabilities and the maintenance of facilities. Imperative Nine involves developing relationships and collaboration with outside groups such as alumni and public and private sector organizations. Imperative Ten has objectives to strengthen fundraising efforts, particularly with respect to gifts, to support various initiatives. More examples can be found in the strategic plan document.¹ More details of recent and current activity to meet these objectives are described in the appropriate standards of this Self Study report.

Standard 6: Integrity

The scope of Standard 6 is enormous as it includes the alignment of policies, programs, and practices across the entire Naval Academy enterprise. The task of determining compliance was particularly complex given the nature of Naval Academy operations - a federally funded university and military command, populated by a diverse workforce and student body from every state in the Union and across the globe, civilian employees, and members of the Navy and Marine Corps. A thorough treatment of the fundamental elements required that workplace practices be examined in several distinct personnel domains - (1) academic staff, civilian and military, (2) non-academic staff, civilian and military, and (3) military student body. We begin with our students.

USNA has a unique student body. Nearly every graduate is commissioned as an officer in the U.S. Armed Forces. The moral, mental, and physical development of our students is at the heart of the institutional mission. Student development and student assessment in all three of these domains are considered central to the institutional charter. The institutional approach to student development assumes every student has the capacity and the motivation to succeed across all three domains, given the appropriate instruction, leadership, training, and experiences. Student assessment is therefore critical across the institution, triggering processes of developmental interventions and remediation when well defined institutional standards are not met. If those interventions fail and the student is unable to meet prescribed standards, the student is processed for “separation” or dismissal from the student body. (**Fundamental Element 6.4**).

Student grievances are encouraged to be handled informally and at the lowest level if appropriate; however, any formal complaint follows a standard process that is well publicized and reflects both DoD-and Navy-wide direction as well as local USNA guidance (**Fundamental Element 6.1**). Complaints against superior military officers are governed by Article 138 of the Uniform Code of Military Justice and Navy Regulation 1150.⁷ These instructions provide a number of reporting options available to the Midshipmen and the associated complaints are routed through their chain of command, if appropriate. Information on these types of complaints is widely posted around Bancroft Hall (the student dormitory) and Midshipmen are directed to contact readily available legal representatives for more information. Grievances against faculty, as well as other academic concerns, are directed to the Academic Dean staff. The current instruction governing this process is undergoing a revision; however, an interim process is in place that serves as the model for the new revised instruction. The current interim process involves routing the grievance to the department chair in order to pursue a possible simple resolution. If the issue cannot be resolved at that level, the matter is referred to the Academic Dean’s office who works with legal and human resource teams to investigate and propose resolution options. This process has been disseminated through briefings with Commandant Staff and passed down to the Brigade as part of the training during briefings at the beginning of each semester. Midshipmen are also able to report grievances regarding fraud, waste, and inefficiencies in the operation of the Navy and the Naval Academy to the Navy’s Inspector General. A local agent is located at the Academy and information for reporting is linked to the intranet home site.⁸

There are a number of avenues for informal student complaints as well. The Commandant of Midshipmen holds several “DANT calls” to address and hear issues in the Brigade. The Commandant meets with the Brigade once each semester and also individually with each class (freshmen (4/C), sophomores (3/C), juniors (2/C), and seniors (1/C)) once a semester. At these calls, the Commandant takes time to listen to any questions or grievances from the Midshipmen. In order to respect anonymity and encourage more candor, the command also employs multiple confidential online surveys to get a barometer on the state of different programs and utilizes a drop box outside the Commandant’s Office for any questions and concerns. Additionally, a Midshipman (student) leadership structure is charged with providing feedback from the

⁷ [UCMJ, Article 138: Complaint of Wrongs Against the Commanding Officer.](#)

⁸ [USNA Inspector General Hotline.](#)

Midshipmen Brigade (student body) to the Commandant's staff at weekly meetings. The student leadership also meets frequently on their own, fielding concerns from their peers and submitting a weekly feedback memo to the student body on the status of their queries, concerns, and proposals.

Turning our attention to faculty and staff, examining the workplace climate for evidence of fair and equitable practices is complex since the workforce is both military as well as civilian and is comprised of military, academic, athletic, and government service components. Civilians include academic administrators and career faculty, athletic coaches and trainers, government service employees, and unionized wage-grade staff. Military personnel, primarily from the Navy and Marine Corps, serve as faculty, coaches, and staff. Each of these personnel cohorts features independent cultural norms, processes, and practices. A thorough treatment requires that workplace practices be examined in all personnel domains (**Fundamental Elements 6.2 and 6.4**).

Hiring processes for civilians vary according to the type of hire. For civilian wage-grade and administrative staff, selection and hiring processes are regulated by Merit System Principles in federal law⁹ that guarantee protection from discrimination on the basis of political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition. In addition to protections specific to hiring, the federal Merit Systems Principles also specify the provisions for fair and equitable treatment of personnel including (1) recruitment to achieve a work force from all segments of society with selection and advancement determined by open competition based on merit, (2) equal pay for work of equal value with incentives and recognition for excellence in performance, (3) retention based on adequacy of performance and provisions for identifying and correcting deficiencies in performance, and (4) dismissal of personnel who cannot or will not meet the required standards of performance.

Civilian non-faculty staff evaluation, promotion, compensation, and dismissal are regulated by the Merit Systems Principles noted above and they have recourse through their administrative hierarchy and, for those that are unionized, the American Federation of Government Employees (AFGE) Union Local 1923, who mediates grievances for bargaining unit employees per the collective bargaining agreement and memorandum of understanding. Evaluation and promotion of civilian administrative staff is governed by the Federal Personnel Manual, where policies for fair and equitable treatment are legislated at the federal level. Provision for grievance concerning evaluation, promotion, and dismissal decisions are specified in USNAINST 12771.1B.¹⁰ Faculty promotion and tenure processes are delineated in ACDEANINST 12335.1A¹¹ and are discussed in Standard 10.

The Naval Academy draws its military faculty and staff from operating forces in the Navy and Marine Corps. Because the Naval Academy is commanded by a three-star admiral, assignment to the USNA as a military officer or enlisted requires a nomination and approval process, during

⁹ [5 USC § 2301 – Merit Pay System Principles](#).

¹⁰ Administrative Grievance System. [USNAINST 12771.1B](#)

¹¹ Procedures Concerning the Preparation of Recommendations for Academic Promotion, Tenure, Reappointment, and Non-Renewal of Contract. [ACDEANINST 12335.1A](#)

which the officer and enlisted candidates are evaluated for their fitness to serve as professional role models for Midshipmen. Military officer and enlisted personnel are evaluated in accordance with established Navy and Marine Corps periodic performance review processes in place throughout the Navy and Marine Corps. Misconduct and unsatisfactory performance among military officer and enlisted faculty and staff is rare, and in those few cases where discipline is required and exercised, the procedures are tightly governed by the Uniform Code of Military Justice, an independent judicial system with jurisdiction solely within the U.S. Armed Forces.

Regarding ethical practices and respect for individuals (**Fundamental Element 6.3**), the Naval Academy complies with a series of Executive Branch and DoD-specific orders and regulations that address the ethical conduct of all federal and DoD employees. As a federal institution, the Naval Academy operates under the strict standards imposed on it by federal law, the Secretary of Defense, the Secretary of the Navy, and the Chief of Naval Operations, as embodied by DoD Directive.¹² That Directive states clearly that “DoD personnel shall perform their official duties lawfully and comply with the highest ethical standards” and that all “DoD Agencies shall administer and maintain a comprehensive Agency ethics program...and ensure that all organizations within their jurisdiction administer and maintain” such a program. (paragraphs 4.1 and 4.3) The Naval Academy fulfills that mandate by assigning an ethics counselor to oversee compliance, by posting pertinent ethics information to its website,¹³ and by ensuring completion of required annual ethics training by its personnel. In doing this, the Academy demonstrates sound ethical practices and avoids conflicts of interest which would otherwise undermine its mission and jeopardize its integrity. A September 2014 Navy Inspector General inspection of the Academy’s ethics program found that the Academy is successful in complying with all pertinent ethics policies and regulations.

In order to respect and protect individuals through its teaching, scholarship, research, service, and related administrative practices, the Academy also maintains a Human Research Protection Program (HRPP). Per Section 1.2 of the HRPP Policies and Procedures Manual,¹⁴ the Academy subscribes to the highest levels of ethical practice and mandates that all activities related to human subject research be guided by three basic ethical principles for the protection of human subjects involved directly or indirectly in research studies. Those principles include (1) respect for persons, (2) beneficence, and (3) justice.¹⁴ Internal and external reviews of USNA’s HRPP indicate that it is in compliance with all governing policies and regulations. Those reviews include the USNA Command Evaluation Office review of HRPP performed 2 December 2013¹⁵ and multiple DON Letters of Assurance indicating compliance.¹⁶

The Naval Academy also cultivates a climate of respect for all community members through established offices on campus dedicated to fostering diversity, ensuring compliance with laws governing equal opportunity, and ensuring all persons are treated with dignity and respect (**Fundamental Element 6.7**). These offices include the Equal Employment Office, the Office of

¹² Standards of Conduct. [DoD Directive 5500.07](#)

¹³ [Staff Judge Advocate Ethics Information](#)

¹⁴ [HRPP Policies and Procedures Manual, Section I](#)

¹⁵ [Human Research Protection Program Review 2013](#)

¹⁶ [Department of Defense - Navy Assurance for the Protection of Human Research Subjects](#)

the Chief Diversity Officer and Diversity Directorate, the Sexual Assault Prevention and Response Office, and the Command Managed Equal Opportunity Offices.

Additionally, the Academy incorporates the Navy-wide process for promoting equal opportunity as directed by Navy Policy and OPNAVINST 5354.1F CH-1.¹⁷ Information on these processes is located on the intranet site¹⁸ and widely available to faculty, staff, and Midshipmen. All military members and civilian employees participate in mandatory Equal Opportunity training annually and USNA has an assigned Command Climate Specialist and a separate Command Managed Equal Opportunity Officer directly attached to the Brigade. Moreover, the Midshipmen receive training on this subject three times per year to further foster a climate of dignity and respect.

The Academy's effort to create a climate of respect among peoples of diverse backgrounds has largely been successful as demonstrated by the 2014 Command Climate Survey and a 2014 student survey. These surveys indicated that the vast majority of Academy personnel agree that the institution demonstrates a climate of respect. Specifically, Fundamental Element 6.7 was included in the Command Climate Survey and in a convenience sample of Midshipmen in the Division of Leadership Education and Development (LEAD). A total of 631 staff and faculty responded to the Command Climate Survey and 186 students from all 4 classes participated in the LEAD survey. A total of 86.1% of Command Climate respondents either agreed or strongly agreed that the Academy demonstrates a climate that fosters respect among students, faculty, staff, and administration for the range of diverse backgrounds, ideas, and perspectives. The LEAD survey used a Likert scale (1 = Strongly Disagree - 5 = Strongly Agree) to measure agreement with this fundamental element and attained a score of 4.29. Combined, these surveys give solid evidence that the Academy is in compliance with this fundamental element.^{19,20}

The Naval Academy also fosters an environment in which both faculty and students feel free to express intellectual opinions in the classroom and in pursuit of research agendas, and are supported in doing so by institutional authorities (**Fundamental Element 6.5**). There are three Academic Dean instructions^{21,22,23} that, in combination, capture the Academy's formal policies relating to the preservation of a climate of academic/intellectual freedom in teaching and scholarship among USNA faculty. These instructions cover the institutional assurance of the protection of academic freedom in course content and pedagogical techniques in the classroom, and the preservation of academic freedom through the enforcement of research and scholarship ethical principles among USNA faculty. Recent canvassing of academic department chairs indicates that these instructions are widely published and well understood – each of the 10 chairs canvassed indicated their faculty were familiar with and understood USNA policies on academic freedom. Furthermore, there are also well published and well understood procedures for addressing abridgements of these rights and freedoms. While the Academy's apoliticism and

¹⁷ Navy Equal Opportunity (EO) Policy. [OPNAVINST 5354.1F CH-1](#)

¹⁸ [Human Resources](#)

¹⁹ DEOMI Organizational Climate Survey, p. 81. Available on request.

²⁰ [LEAD Survey](#)

²¹ Content Issues in Teaching. [ACDEANINST 1531.22](#)

²² Integrity in research and scholarly activity. [ACDEANINST 3920.3A](#)

²³ Complaints against faculty members. [ACDEANINST 1531.63B](#)

structured 4-year baccalaureate program promotes academic freedom through a clear, well-defined, and unifying mission to produce graduates who think critically and creatively, there have been some concern raised by faculty members. Specifically, this has included the Secretary of the Navy requirement that the Superintendent serve as the final approving authority for research involving human subjects at USNA. While delegating the approval authority for the latter has proven to be non-negotiable with DON leadership to date, we offer a Suggestion that the Naval Academy examine the approval process for research involving human subjects to determine ways to make it more transparent and provide a formal appeals process to better ensure intellectual freedom.

Academic freedom in teaching has an important corollary relevant to the overall climate for academic inquiry: that students feel their instructors do not compromise the learning environment in the classroom *in the name of* academic freedom by, for example, censoring or otherwise marginalizing the student's rights to express offense or concern about the course material. In a recent survey,²⁰ students largely agree that the faculty are respectful of student opinions in the classroom (91%), appear to feel free to express their opinions and offer their scholarly views on the subject matter they teach (84%), provide a learning environment that expands student knowledge (95%), and encourage the exploration of ideas that may be foreign, unpopular, controversial, or unusual (70%).

Guidance on the protection of intellectual property rights by USNA faculty, staff, and Midshipmen is found primarily in ACDEANINST 5870.1A,²⁴ which includes a detailed explanation of "Fair Use." Broadly speaking, this document provides detailed guidance as to what materials are protected, how to determine what is and is not fair use, and how to request permission for use outside of the limits of fair use. Additionally, guidance on plagiarism intended primarily for Midshipmen (but applicable to all) is published electronically on the USNA Library website.²⁵ Recent departmental surveys indicate that the faculty is aware of and familiar with the content of these policies (**Fundamental Element 6.6**).

In particular, the following departments were sampled for their faculty's familiarity with governing documents: Political Science, Electrical and Computer Engineering, Computer Science, Physics, and Seamanship and Navigation. Results suggest a variance in familiarity among faculty. Two department chairs indicated their faculty were aware of the guidelines of copyright and fair use as a result of their own academic background, but not with the USNA instructions. A third said his faculty was "aware that the guidelines...exist at the Academy and can be referenced when required," and that guidelines specific to photocopying material were periodically posted at the department copy machine. The remaining two departments attest that their faculty are aware of the instructions and have read them or been briefed as to their contents by Course Directors/Coordinators.

In sum, each of the 5 departments sampled maintain that plagiarism and intellectual integrity are understood by all faculty, are actively discussed at faculty meetings, and are an integral part of their classroom instruction criteria for submitted work. Four departments require a plagiarism

²⁴ Use of Copyrighted Material. [ACDEANINST 5870.1A](#)

²⁵ [Ethical Use of Information](#).

statement to be included in all syllabi/course policy statements, while the fifth says students are encouraged to review the statement and that many faculty members include plagiarism guidelines in their syllabi.

The Naval Academy is required by law to graduate students within the prescribed program length of 47 months. Accordingly, required and elective courses are proactively scheduled to guarantee availability within the outlined courses of study for the various majors (**Fundamental Element 6.9**). Academic deficiencies that place a Midshipman's ability to graduate within the prescribed program length in jeopardy are referred to an academic board for disposition. Specifically, students who fall two or more courses behind schedule are carefully managed to ensure graduation within the prescribed 47 month program length. While paper copies of the United States Naval Academy Course Catalog are no longer published (last printed in 2012), the catalog is available online on the USNA web site (indexed by division and department). Paper copies of all catalogs have been archived up to and including 2012. *However, archives have not been maintained since the transition to electronic catalogs in Academic Year 2013 and we offer the specific Recommendation that the Naval Academy should archive its electronic course catalog each year.* (**Fundamental Elements 6.10, 6.11, and 6.12**).

Given the unique nature of the Naval Academy, the institution is vigilant in ensuring the honesty and truthfulness in all recruiting and admissions materials and practices that are made publicly available to all prospective students (**Fundamental Element 6.8**). Numerous sources of information regarding the demands and opportunities at the Academy are available to potential students online, including view books, websites, videos, class portraits, Facebook inputs, and the electronic application forms. In addition, the Naval Academy has extensive information and outreach programs to ensure that its admissions policies and criteria are available to prospective students. These include: (1) the Naval Academy Information Program (Blue and Gold Officers), a program of officially designated, nationwide representatives who help guide prospective candidates through the admissions process and interview all candidates for admission; (2) Operational Information sessions, a program in which Midshipmen go to their hometowns to speak at high schools and other forums to recruit good candidates; (3) Summer Seminar program, a program that brings in 2,550 rising high school seniors annually to visit the Academy for 6 days to teach them about life at the Academy; (4) Candidate Visit Weekends, weekends during the year when high school seniors visit for 2 days; (5) Summer STEM Camps, multi-day camps for several ages to teach them engineering and technology topics; (6) Centers of Influence visits, a program that brings guidance counselors, teachers, administrators, and education influencers from around the United States to the Naval Academy to present them with all of the academic and career opportunities that USNA offers; and (7) Admissions Information Forums in selected cities throughout the U.S., where admissions staff present admissions information in large auditorium settings.

The Naval Academy also takes advantage of multiple forms of media to ensure that relevant information is disseminated to all members of the larger Naval Academy community to include its constituents, faculty, staff, students, and prospective students. Changes and issues affecting institutional mission, goals, sites, programs, operations, and other material changes are disclosed

accurately and in a timely manner by the Academy's public affairs office which is governed by both Navy-wide and local USNA instructions.²⁶ These instructions mandate the dissemination of timely, accurate and truthful information to our various audiences. The public affairs communication efforts include the electronic campus newspaper (eTrident), social media postings, press releases, official e-mails, and informational publications (**Fundamental Element 6.13**). The Academy also provides relevant information on both the USNA only website and its public website. The Academic Dean's accreditation web page²⁷ contains the last Decennial Review from 2006, the Periodic Review Process from 2011, the most recent Annual Institutional Profile (AIP), and preliminary drafts of the current Decennial Review Self-Study Report. Prospective students are able to access information on the institution's accreditation and licensure by accessing the public portion of this accreditation web page. Previous self-studies, periodic review reports, and other related information are also available in the Naval Academy Nimitz Library. The Academic Dean also maintains a General Information (aka "Consumer Information") web page²⁸ that includes links to this accreditation information as well as other program and policy information that might be of interest to prospective students. The Naval Academy, in general, also makes broad use of social media such as Facebook and Twitter and the public affairs office and the Admissions office maintain a web page that allows public access to the Viewbook²⁹ as well as relevant YouTube videos. (**Fundamental Elements 6.14, 6.15, and 6.16**).

The Naval Academy meets all internal and external reporting requirements related to the efforts described above (including those delineated by the Middle States Commission) and periodically assesses the policies, processes and practices pertaining to integrity (as described above) through vehicles such as Command Climate Surveys, student and faculty surveys, as well as individual program-related accreditation efforts and command-wide Inspector General inspections (**Fundamental Elements 6.17 and 6.18**). Institutional policies and procedures are all readily available online as "Instructions" and "Notices" posted on the Naval Academy Intranet. While actual procedures are updated as needed to reflect changing needs and circumstances, many of the instructions are dated and some have been subsumed by procedures in "use," rather than procedures "as designed" or "as intended." Rewrites are ongoing, as directed in 2012, but the continued presence of these disconnects has the potential to create confusion and undermine the consistent execution of "current" policy and we offer a specific Suggestion that the Naval Academy should strive to establish and maintain the currency of its inventory of instructions and notices.

Working Group B

Working Group B was chartered to examine the following standards:

²⁶ Instructions of: [Secretary of the Navy and Chief of Naval Operations Instructions](#) pertaining to academic matters, [USNA, Academic Dean and Provost](#), [Commandant of Midshipmen](#), and [Director of Athletics](#).

²⁷ [USNA Accreditation Web page](#).

²⁸ [General \(Consumer\) Information](#).

²⁹ USNA Viewbook as [webpage](#) and [pdf](#).

- Standard 2: Planning, Resource Allocation, and Institutional Renewal
- Standard 3: Institutional Resources

The Naval Academy asserts compliance with both of these standards but has identified four specific Recommendations in Standard 3 for further action.

Standard 2: Planning, Resource Allocation, and Institutional Renewal

Institutional goals and objectives are formalized in the United States Naval Academy Strategic Plan 2020,³⁰ as described in detail in Standard 1. The strategic plan reflects input from stakeholders internal and external to the Academy. The plan includes broad statements that support the institution’s mission to develop and educate officers for naval service and also specific priorities and goals that serve the mission. The plan describes detailed initiatives which provide for the implementation of institutional priorities in light of strategic goals. The Naval Academy’s governing bodies, described in Standard 4, include senior Navy and Marine Corps leaders who review the institution’s goals and progress, set spending priorities, and advocate to Congress for required resources (**Fundamental Element 2.1**). The Academy’s focus on Cybersecurity serves as an example of this planning and resourcing. Identified by the Navy and the Naval Academy as a strategic priority, a Cybersecurity curriculum was recently established and resourced (including facilities and staff). Development of this new curriculum was accomplished by USNA faculty from relevant departments (e.g. Computer Science and Electrical and Computer Engineering), utilizing their own expertise and input from the end users in the fleet where our graduates serve. There was broad participation, communication, and collaboration among constituents ranging from the faculty to the governing body to our fleet customers that indicated stronger cyber security skills were needed by our graduates (**Fundamental Element 2.2**).

The expanded focus on Language, Regional Expertise, and Cultural education is a second example of USNA’s planning and adjustments. As a result of guidance from DoD after an evaluation of lessons learned after attacks on the United States (9/11 and USS COLE), the Navy dedicated resources towards the Naval Academy to improve foreign language abilities, increase understanding of regions around the world and develop better understanding of other cultures. This resulted in creation of academic majors in Arabic and Chinese languages, a dedicated office to expand opportunities abroad, and dedicated resources for focusing on strategic regions as defined by the Navy and Marine Corps. In the last 4 years, we have increased the number of Midshipmen participating in semester study abroad programs from 46 students per year to 82 during academic year 2014-2015. In addition to those spending a full semester abroad, approximately 370 additional students participated in shorter duration (typically one to four weeks during the summer or spring break) immersive experiences abroad in 2014-2015. In response to the need for graduates with both technical skills and cultural awareness, as articulated in the Strategic Plan, a successful effort has been undertaken to open foreign study to those in STEM majors. This has involved extensive collaboration between the International Programs Office, academic departments, and individual academic advisors from across the

³⁰ [USNA Strategic Plan 2020](#).

institution to identify or develop programs with foreign institutions that provide our students the opportunity to participate while insuring that they satisfy all the requirements of their STEM major and graduate in four years. The effort has included creative initiative and flexibility by the faculty and administration to provide, for example, special section of courses to allow students to fulfill parts of course requirements (e.g. laboratories) at USNA for courses they otherwise completed while abroad. USNA has also recently created and filled a Deputy Director of Advising position whose responsibilities include orchestrating academic advising efforts for study abroad students.

Within individual units (called “Cost Centers” as described in Standard 5), there is a similar linking between initiatives, goals and objectives. An example is the U.S. Naval Academy Master Academic Plan³¹ which aims to “Align academic planning with the Strategic Plan 2020 and the Mission” and to “Integrate planning, budgeting, assessment.” Within the Academic Dean cost center, individual departments articulate their goals and objectives as part of annual assessment reports.³² The goals and objectives are linked to institutional priorities such as the desired attributes of our graduates (listed in the Strategic Plan) and the Professional Core Competencies, which are set by the Navy and based, in part, on USNA input. The Chemistry Department, for example, has articulated outcomes for their core courses and their major courses and mapped them to specific graduate attributes. Each individual course now has desired outcomes that map to the chemistry major outcomes and they are published in the course policy statements. Each chemistry course coordinator this year picked an outcome and used various tools to assess the success in meeting that goal. To facilitate the assessment, necessary resources were allocated such that the American Chemical Society exams can be purchased and used as tools for assessment against national standards. Further, equipment purchases are made (based on Life Cycle Management) to support the courses and their outcomes.

The recent establishment of the Nuclear Engineering major is another example of planning and improvement within the Academic Dean’s cost center that included constituent participation and a link to the mission and goals based on assessment. The Nuclear Engineering major was established through the initiative of faculty in the Mechanical Engineering Department³³ based on student and Navy feedback that indicated a significant number of students desired such a major and that the Navy, particularly the Navy nuclear propulsion community (to include the submarines and nuclear aircraft carriers), would benefit from officers with more specialized knowledge in nuclear engineering. A departmental committee developed a proposal for the new major, complete with a detailed curricular plan including new courses. The new major was reviewed and approved by the full Mechanical Engineering Department and then evaluated by a curriculum committee of the Division of Engineering and Weapons³⁴ (equivalent to a College of Engineering). From there it went to the Faculty Senate Curriculum Committee and finally to the Academic Dean and Superintendent for final approval. During this process, there was continuous communication with, support from, and guidance provided by Navy Nuclear

³¹ [U.S. Naval Academy Master Academic Plan](#), p. 4.

³² United States Naval Academy Academic Assessment Process. [ACDEANINST 5400.1A., p. 1](#)

³³ [Proposal for establishment of Nuclear Engineering major.](#)

³⁴ [Recommendation from Division of Engineering and Weapons Curriculum Committee for Nuclear Engineering major.](#)

Propulsion (the Navy office responsible for nuclear activities). Resources to establish the new major (including significant equipment purchases and hiring of a faculty member) were allocated internally and supported by Naval Reactors. To facilitate the process, the Mechanical Engineering Department was allocated a visiting chair position and hired a recently retired vice admiral and former USNA instructor, Commandant of Midshipmen and submarine officer with extensive command experience and ties to relevant Navy offices and leadership. The new major is up and running with 6, 29, and 30 students in the Classes of 2016, 2017, and 2018 respectively.

A third example is the recent, extensive overhaul of the Economics major. The update to the curriculum was assessment-based and began with a recommendation made by a visiting committee.³⁵ A historically large major at the Naval Academy, economics, as a social science, had not been considered a STEM major at USNA, but it has an inherently quantitative aspect that can enhance its utility when more directly tied to mathematics. The suggestions of the visiting committee were considered by an Economics Department committee which developed a proposal for new major course requirements. The proposal was circulated to departments with an interest in the development of the new curriculum (e.g. Mathematics). A number of town hall meetings, with broad participation from across the campus, were held to discuss the new curriculum. Recommendations from these forums, as well as outcomes from a review by the Faculty Senate Curriculum Committee, were incorporated into the updated major.

Outside of the Academic Dean's cost center, strategies, planning and improvement are similarly based on assessment and tied to the mission and goals with appropriate resource allocation. From the Commandant's cost center, which is responsible for the military training of all students, the summer training program provides an example (see the briefs on the summer of 2014³⁶). Each Midshipman must be sent on a "Fleet Cruise" to a ship or other active fleet command for approximately four weeks, and additional institutional goals and other training events are accomplished in another four weeks of the summer (the remaining four weeks are available for leave). The Midshipman Training Department takes input desires for this training from all Midshipmen in January and balances desires, availability, and requirements to build a plan within the constraint of a budget (\$4.1M in 2014) that is used primarily for travel by about 3400 students to locations all over the world. Training for the incoming freshmen class ("Plebe Summer") and almost 500 internships at national labs and universities are also included in the planning. For all of this activity, extensive post training assessments (primarily student surveys) are completed and forwarded to Institutional Research for archiving.³⁷ This process forms the basis for the historical data used in the next summer's training planning. For example, the summer planning team analyzed the feedback from experiential training such as the Offshore Sail Training Squadron and incorporated "best practice" aspects of that program into the coming summer's Yard Patrol boat training. These include leadership expectations, post event reflection/guided seminars, Midshipmen documentation of leadership milestones, and post-event feedback.

³⁵ [Economics Visiting Committee Report](#) (pp. 81-89 of document).

³⁶ Commandant's Summer Training Briefs of [14FEB2014](#) (slides 7-8) and [24MAR2014](#) (slides 3-5).

³⁷ [Professional Training Survey, Summer 2014](#). Section 1 shows depth of survey

Another example of a new initiative from the Commandant's cost center is a leadership training program known as the "Gettysburg Initiative."³⁸ This program was started as a Naval Academy Athletic Association (NAAA) initiative in 2011 and funded by the Patriot League for varsity sports captains. The Director of NAAA paid a commercial leadership venture to run the first seminar on campus. The next year, USNA's Leadership Education and Development (LEAD) Division Director proposed to NAAA that LEAD could run the program with assistance from OMNA International (a company that specializes in experiential leadership development), using the Gettysburg Battlefield as a backdrop. In the summer of 2013, LEAD and other USNA faculty and staff conducted the program without external assistance and added student leadership from the Brigade of Midshipmen (Company, Battalion, Regimental, and Brigade Commanders) to the varsity sports captain participants. In January 2014, a shortened version of the event was added for the second-semester Commanders (the Midshipmen leadership is changed each semester). Demonstrated success has attracted private philanthropy, and the program now has funding (roughly \$35K per year) for at least the next 10 years. Each step in the planning and improvement of this initiative was guided by a tie to the institutional mission and goals of developing officers as leaders, with continuous assessment of the process each year. In keeping with this cycle of assessment, the second-semester Commanders 1-day trip in December 2014 was conducted with vast improvement over the first attempt the year before. Specifically, feedback from the students indicated that there was too much material being covered in the short time available. Content was trimmed the following year and the subsequent comments from the students were all more positive. Given the success achieved with past participants, the program is being expanded to include the Drum and Bugle Corps Commander and the presidents of the Men's and Women's Glee Clubs, and Gospel Choir in the summer of 2015. Feedback from the students continues to be positive.³⁹ This is one example of the larger LEAD Division initiative to align with Strategic Imperative Two through their four year continuum of both traditional class work and immersive training.⁴⁰

The Naval Academy's Sexual Assault Prevention and Response (SAPR) Office exemplifies USNA's commitment to assessment and institutional renewal. Every year, USNA participates in a very robust, DoD SAPR assessment based on 5 Lines of Effort (Prevention, Investigation, Accountability, Advocacy, and Assessment). The resulting product, called the Annual Report to Congress on Sexual Harassment and Violence at Military Service Academies,⁴¹ highlights best practices and areas for improvement. Many of our civilian counterparts are learning from this innovative SAPR assessment process (e.g. Dartmouth⁴²) and replicating it at their institutions. One example of a change resulting from this assessment involved our peer prevention education program, called SHAPE (Sexual Harassment and Assault Prevention Education). In 2013-2014, based on input received in the prior year's assessment, Fleet Mentors (active duty Naval/USMC officers and senior enlisted) were added to each training session. Their role was to add fleet

³⁸ [Gettysburg Leadership Encounter Overview](#), slides 3-4.

³⁹ Conversation with CDR Arthur Gibb, USN, Ph.D., Department of Leadership and Law, Gettysburg Leadership Encounter, 2015.

⁴⁰ ["Leadership Education & Development Mission Brief 2015" Slides 4-6, 9-10](#)

⁴¹ [Sexual Assault, Prevention, and Response Office Reports \(Department of Defense\)](#).

⁴² ["College sexual assault prevention has unlikely model: U.S. service academies"](#) Nick Anderson, Washington Post, February 11, 2015.

perspective during the session, capitalizing on the wisdom gained through practical experience. During the first academic year of implementation, the feedback received from Midshipmen (in writing, anonymous and otherwise) was overwhelmingly positive. This addition has brought greater credibility to the program without inhibiting the peer-led dynamic. The addition of Fleet Mentors has greatly enhanced the training experience.

The renovation and modernization of existing facilities as well as the designing and building of new infrastructure are other areas of planning and institutional renewal that are driven by the Naval Academy mission and Strategic Plan. Examples include recent renovations to athletic facilities (e.g. Halsey Field House, Lejeune Hall, and MacDonough Hall) and plans to build a Cyber Building that include additional space for Problem-Based Learning and Research.⁴³ Projects are outlined in the Naval Support Activity Annapolis (NSAA) Installation Master Plan., Table 5.2,^{44,45} a planning document for the facilities on the Naval Academy campus and the support facilities at the Naval Station directly across the Severn River. Facility upkeep is the responsibility of the Naval Facilities Engineering Command (NAVFAC), Naval District Washington, which controls funding for renovation and maintenance. Starting in 2011 there was a major study of the condition of the Naval Academy facilities along with the strategic goals to create the “NSAA Installation Master Plan” (July 2012). Participants in the study included a broad array of stakeholders including faculty and staff, NAAA, NAVFAC, NSAA and the Public Works Department. The study identified and prioritized all facility upgrades, taking into consideration Strategic Plan 2020. It promotes the creation of an energy-efficient, modern, infrastructure. The current ongoing renovation of Rickover Hall, which includes improved thermal insulation with new windows, is an example of the implementation of this aspect of the plan.

It is clear from the above examples and others throughout this Self Study Report that there is a record of institutional and unit improvement efforts and their positive results (**Fundamental Element 2.5**).

To facilitate all planning and renewal, including those initiatives mentioned above, the Naval Academy has well-defined decision making processes and authority (**Fundamental Element 2.3**). There is an established chain of command from departments, divisions and administrative units up through the Superintendent to the Department of Navy and Department of Defense. The mission is directed by the Chief of Naval Operations (CNO) and outlined in the official instruction (OPNAVINST 5450.330A N15⁴⁶). At the institutional level, the Superintendent, Commandant, Academic Dean and Provost, and other members of the Senior Leadership Team (i.e., cost center heads), work together to develop three to five year plans to guide initiatives and renewal projects based on Strategic Plan 2020.³⁰ Shorter-term goals within cost centers, such as replacing laboratory instruments in academic departments, are developed and ranked by vertical communication among members of the chain of command (e.g., Academic Dean, Division

⁴³ [Major Building Projects Brief 2015](#), slide 3.

⁴⁴ [Naval Support Activity Annapolis Installation Master Plan](#) (full document).

⁴⁵ [NSA Annapolis Master Plan Section 5](#), p. 350.

⁴⁶ Missions, Functions and Tasks of the United States Naval Academy, Annapolis, Maryland. [OPNAVINST 5430.330A N15, p. 1, para. 3.](#)

Directors, and Department Chairs). As explained in Standards 4 and 5, there is extensive communication and participation by all constituents in planning. These constituents include the senior leadership team members, bodies such as the Faculty Senate, and the Superintendent (the Chief Executive Officer) who regularly meets with faculty and staff to receive their input and hear their concerns.

To obtain and allocate resources, the Naval Academy follows the DoD “Planning, Programming, Budgeting, and Execution” system (PPBE)^{47,48} by which “the Navy aligns a fiscal budget to national strategic guidance and DoD policy, strategy, and goals.” The annual USNA Program Requirements Review (PRR)⁴⁹ brief outlines an assessment of our resources and presents requests for inclusion in the Future Years Defense Program (FYDP), a rolling plan that extends five years into the future and is updated each year. The PRR is assessed each year to determine what was accomplished in the previous year and whether unfunded items should be requested again or if other requirements have a higher priority. The programming in a given year of the FYDP is forwarded to DoD to become part of the larger budget request the President sends to Congress. Additional funds come from private sources; usually from the Naval Academy Foundation which provides gift support that is critical to achieving a margin of excellence across the spectrum of Naval Academy infrastructure and programs. The planning process in which case statements for private support are developed in alignment with the Strategic Plan and compliance with the law is outlined in “Gift Fund Processes.”⁵⁰

The assignment of responsibilities for improvement (**Fundamental Element 2.4**) is provided from the Secretary of Defense through the military chain of command to the Superintendent. The USNA organization manual⁵¹ outlines the mission statements and functions for various principal officials and reporting departments at the Academy. Responsibilities across the Academy are further detailed in a comprehensive set of instructions⁵² and the chain of command assures that these officials and department heads are accountable for their responsibilities. Assurance of accountability is also accomplished from inside DoD via the Navy Inspector General (IG) and the Advanced Educational Review Board (AERB, see Standard 4), and from outside DoD by the Naval Academy Board of Visitors (BOV, also described in Standard 4).⁵³ The IG typically conducts inspections of the institution every 5 to 6 years, most recently in the fall of 2014. Results were satisfactory as indicated in the subsequent IG report.⁵⁴

The effectiveness of the planning, resource allocation, and institutional renewal processes described above are periodically assessed both internally and externally (**Fundamental Element 2.6**). In addition to the assessment processes discussed above, a formal, annual evaluation of the effectiveness of our programs in achieving the Naval Academy mission and elements of the

⁴⁷ Tellis, C. [Understanding the PPBE Process, p. 1.](#)

⁴⁸ [PPBE flow big picture.](#)

⁴⁹ [USNA Program Objective Memorandum \(POM-16\), example: p. 2, Executive Summary.](#)

⁵⁰ [Gift Fund Processes, slides 8, 13-15.](#)

⁵¹ USNA Organization Manual. [USNAINST 5450.3F, enclosure \(1\)](#)

⁵² For access to these instructions, see: [SecNav-CNO Instructions](#), [USNA Instructions](#), [Academic Dean Instructions](#), [Commandant Instructions](#), [Athletic Director Instructions](#).

⁵³ [Board of Visitors.](#)

⁵⁴ [IG Report USNA – Spring 2015](#), Executive Summary, p. i.

Strategic plan is prescribed in USNAINST 5200.5B.⁵⁵ To complement this on the academic side, individual academic program assessment processes provide feedback from Navy warfare community constituencies to ensure effectiveness and relevancy of the various academic programs. Finally, as delineated in OPNAVINST 5450.330A N15,⁴⁶ oversight and assessment of USNA's overarching progress toward the objectives of the Strategic Plan is provided by the BOV, the CNO, the Vice Chief of Naval Operations (VCNO, who chairs the AERB), and the Director of the Navy Staff. Institutional assessment is discussed in detail in Standard 7.

Standard 3: Institutional Resources

Funding for the institution can be grouped into two categories. Appropriated funds are approved by Congress in annual budgets or continuing resolutions and allocated to the Naval Academy via the DoD and the Department of the Navy (DON). Some of these funds are earmarked directly for USNA, while others are set during prioritization at the DoD and DON level. Some of the appropriated funds are sent to the institution for spending with varying levels of restriction and flexibility for their use. Funds for large equipment purchases (designated OPN) are for a specific purpose, while general operating funds (designated O&M,N) may be used at the Naval Academy administration's discretion for civilian salaries, equipment, supplies, or travel. Another source of appropriated funds are the salaries for Naval Academy military faculty and staff (designated MPN), which are sent directly by DON to the recipients and do not pass through the Naval Academy's comptroller. Appropriated funds pay for the basic functions of the institution. The other general category of funds is non-appropriated funds. These include gifts, research grants to faculty, revenue generated by the Naval Academy Athletic Association (NAAA), and fees charged for services and products by entities such as the bookstore. These non-appropriated funds provide for what is termed a "margin of excellence" above and beyond the appropriated funds.

For appropriated funds, the Naval Academy employs formal procedures for planning and budgeting aligned with the institution's mission and goals that provide for an annual budget and multi-year budget projections, both institution wide and across departments (**Fundamental Element 3.4**), as mandated in the Planning, Programming, Budgeting and Execution (PPBE) Process.⁵⁶ The internal process begins each year with a request from the Comptroller's office for funding requirements. This request is answered by the "cost centers," which are responsible for major mission activities across the institution such as academics, military and professional development, and information technology. The cost center submissions include a budget, with justification for the upcoming year, and projected budgets for the next 4 years. These budgets are driven by the mission and goals, as explained in Standard 1 and articulated in the Strategic Plan.⁵⁷ Communication by the Comptroller with Navy Headquarters provides some forecasting as to what the funding will be relative to the previous year. As described later in this standard, the budgets include resources needed for faculty and staff as well as equipment and supplies. These cost center submissions, along with historical cost center spending, form the basis for

⁵⁵ Command Evaluation Program. [USNAINST 5200.5B, p. 1, para. 5](#)

⁵⁶ [Understanding the PPBE Process, p. 1.](#)

⁵⁷ [U.S. Naval Academy Strategic Plan 2020, p. 7.](#)

resource requirements across the institution. The Comptroller receives the submissions and, in coordination with the Deputy for Finance, prioritizes the budget items and forwards them to the Superintendent for final approval. However, this final prioritization is not consistently done with Senior Leadership Team (SLT, membership described in Standard 5) involvement. While this approach has resulted in acceptable, while perhaps not optimal, resource allocation during years where available funding has been fairly steady from year to year, it is likely to be less effective in optimizing resource allocation in future years when appropriated funding is anticipated to decline. *Accordingly, tied to our specific Recommendation involving the Institutional Assessment Plan cited in Standard 7, we offer the Recommendation that the Naval Academy should foster better collaboration in both strategic planning (discussed in Standard 1) and execution of supporting budget processes.*

Once the Superintendent has approved the submission, the Comptroller forwards it to the Bureau of Naval Personnel (BUPERS) for consolidation into the Navy's Manpower, Personnel, Education and Training (OPNAV N1) Sponsor Program Proposal. The N1 program proposal is integrated with the other Resource Sponsor Program Proposals by OPNAV N80 Programming Division. The consolidated Navy program (after CNO approval) is submitted to the Financial Management and Budgeting Office (FMB) and the Office of the Secretary of Defense (OSD) as the Program Objectives Memorandum (POM), which contains fiscal requirements over a five year period (e.g. POM 2016 submitted in 2014 covers the years 2016-2020). References outlining the subsequent review process are available.^{58,48} During this review process, issues may or may not change and/or be removed depending on N1, N80, CNO, FMB, and/or OSD assessment. The funding provided as a result of this multi-year budgeting process includes all appropriated (taxpayer provided) funds: Operations & Maintenance, Navy (O&M,N); Manpower, Navy (MPN); and Other Procurement, Navy (OPN) for USNA day to day operations and material, labor, as well as procurement of new equipment in excess of \$250,000, respectively. A critical part of each POM cycle is the ability of the organization (USNA) to identify emerging issues that bear impacts upon previously identified requirements. These emerging issues (including recent priorities such as restoring faculty size, adding information technology billets, adding sexual assault prevention and response billets and procuring sailboat replacements) arise directly as a result of internal and external assessment processes. The Academy's POM submission is largely supported throughout the process, as can be seen in the example found in the POM Fiscal Year (FY) 13 brief submitted in January 2011.⁵⁹

In addition to the appropriated funds from Congress, Title 10 (sections 6973, 6974 and 6975) allows USNA to accept gifts of non-real property from non-federal sources.⁶⁰ The primary sources of charitable gifts are from the United States Naval Academy Foundation, Inc.; a tax exempt (501 c (3)), independent, nonfederal organization that operates to provide private gift support to the Academy. The Foundation's mission is centered on raising, managing, and distributing private gifts to support all facets of the development of the Brigade of Midshipmen and the activities of the Naval Academy – providing the “margin of excellence” above what can

⁵⁸ [Navy Financial Management Chapter 4.](#)

⁵⁹ [POM 13 Program Review](#) dtd January 2011, slide 4.

⁶⁰ [USNA Fiscal Structure 22 April 2014.](#) See slide 3 showing non-federal sources.

be accomplished with appropriated funds. The Naval Academy Foundation works directly with Academy leadership to identify institutional priorities from the Strategic Plan.

The Naval Academy Athletic Association (NAAA) is another source of support. The NAAA is an unincorporated 501c(3) organized in the State of Maryland, whose mission is to “promote, influence, and assist in financing the varsity athletic programs of the Midshipmen of the United States Naval Academy.” Title X legislation provides the statutory authority allowing this unique relationship between the U.S. Government and a private entity. NAAA is governed by a Board of Control made up of military and civilian personnel, primarily appointed by the Superintendent. The Board is chaired by the Commandant of Midshipmen.

The physical mission of the Academy falls primarily under the direction of the Director of Athletics, who is also the President of the NAAA. The physical mission is made up of two distinct components, Physical Education and Varsity/Club/Intramural Athletics. The Physical Education Department is funded 100% by appropriated dollars. The 33 Varsity Sports that make up the Varsity Athletic Program are funded by approximately 6% appropriated dollars and 94% by non-appropriated dollars generated by NAAA.

Funding support of approximately \$10M per year originates from research grants raised by faculty. Like any other university, much of this funding comes from organizations such as the National Science Foundation and the Office of Naval Research. Additionally, some research funding is derived directly from Navy warfare directorates supporting more applied research into problems relevant to the fleet. Research funding often provides summer salary for faculty and supports their professional development. As in many higher education institutions, our faculty are expected to conduct research and publish their results in peer reviewed publications to further their academic careers. Some Midshipmen also participate in faculty led research. Since this is not a requirement for all Midshipmen, it is not part of the basic mission which is funded using appropriated dollars. Research funds add to the margin of excellence in the students’ experience.

The planning which determines the various budget requests is described in more detail in Standard 2. For example, the U.S. Naval Academy Master Academic Plan⁶¹ sets needs and priorities aligned with USNA’s Strategic Plan for material and labor for the Academic Dean’s cost center. It includes a model for the number of faculty required and funding requirements to pay for labor and materiel to support the academic programs.

While there is a clear financial planning and budgeting process, the implementation of the process depends on the federal budget, as appropriated by Congress, which is unpredictable. Budget cuts, including those required by sequestration, caused disruption in recent years, including severe restrictions on travel, a hiring freeze, and shortages of office supplies. Funds often arrive in an unpredictable manner at the end of the fiscal year, requiring a fast response before the funds expire. This can lead to opportunities lost earlier in the year for events that have passed before the funds arrive. It also can lead to inefficiency in resource allocation. The hiring freeze was lifted in 2013, and funding was restored and increased in 2015 after previous cuts. In

⁶¹ [U.S. Naval Academy Master Academic Plan](#). Slide 6 sets our primary focus.

2016, however, USNA has been tasked to plan for an 8% cut below 2014 levels. This fiscal uncertainty causes anxiety, and will impact the mission if the 2016 projection holds.

For educational and other equipment for all cost centers there is an acquisition and replacement process and plan that includes provisions for current and future technology with evidence of implementation (**Fundamental Element 3.7**). The United States Naval Academy Life Cycle Management (LCM) Program was established in 1985 as "...the standard discipline for acquiring and managing all Naval Academy IT systems throughout their life".⁶² The LCM Program is run by the Information Technology Services Division (ITSD, one of the USNA cost centers) and now encompasses all educational and other command support equipment. Each organization submits an Abbreviated Systems Decision Paper (ASDP) specifying "all IT and major, non-IT equipment recapitalization needs" which "must be prioritized to optimize mission execution and maintain program stability" (Director ITSD Memorandum).⁶³ "Interdependencies with externally-funded research or gift resources including USNA Strategic Plan initiatives" are also delineated in the ASDP. During FY 2014, the O&M,N Equipment Recapitalization budget of \$5,279,462 was expended for investments in desktop hardware equipment, communication equipment, server equipment, peripheral hardware equipment, software, and non-IT equipment. Equipment acquisitions are executed with the objective of achieving the greatest value in terms of life cycle cost, quality, functionality, and other relevant factors. Acquired equipment is accounted, reported, controlled and inventoried through the USNA Personal Property Management Program.⁶⁴

Separate from other equipment, the Naval Academy has a centrally managed furniture fixtures and equipment (FFE) fund. The Comptroller works with the Naval Academy's architect to identify needs that fit the FFE budget. This is an ad hoc process; the Comptroller reaches out and requests cost center requirements but there is not a specific life cycle management process for FFE.

For small (under \$3,500) purchases of any type, USNA has a purchase card program. Members of the administrative and technical staff within departments have government credit cards which they use to make purchases. There are procedures mandated by federal regulations and internal policies regarding the use of these cards. While procedures with safeguards are necessary to track expenditures and prevent abuse, the extent of the required paperwork has made the program inefficient and burdensome on cardholders. Requirements for purchase approval and subsequent documentation consume a large fraction of the work time for technical support staff and Educational Technician cardholders. Time spent on purchase card requirements reduces time available for other duties, exacerbating staffing shortages noted below. Retirement eligible cardholders have left citing this as a causal factor, putting greater burden on those who remain. To streamline procedures and use labor resources more efficiently, USNA's Faculty Senate

⁶² Information Technology Life Cycle Management Policy. [USNAINST 5231.1C](#).

⁶³ [Director ITSD Memorandum, Annual, Life Cycle Management Program Review, p. 2.](#)

⁶⁴ USNA Management of Personal Property, 2014. [USNAINST 7320.10](#)

Finance Committee formed an ad hoc “Purchase Card Improvement Team” in 2014 (PIT Interim Report, 2014⁶⁵). This work is ongoing with problems still to be overcome.

There is another emerging and related matter with regard to the availability and accessibility of resources necessary to achieve an institution’s mission and goals. In May 2015, a Purchase Card Internal Operating Procedures Policy Notice was released to ensure that the Naval Academy is in compliance with the Department of the Navy’s Consolidated Card Program Management Division (CCPMD), Purchase Card Administrative Notice (PCAN) #07 issued 1 April 2015. The internal policy notice stated that, “all on-line purchases that require the CH [cardholder] to check an ‘I agree’ click box or comparable mechanism are not authorized without approval.”⁶⁶ This decision was made as a result of some terms and conditions having onerous clauses that can subject the Navy to undue liability, penalties, and foreign laws. In July, a second policy notice was released clarifying that those vendors with terms and conditions must waive them in writing, or a request for a contractual procurement should be submitted.⁶⁷ The Naval Academy has worked with the Chief of the Supply Corps and the Fleet Logistics Center (FLC) in Norfolk, Virginia, to minimize impacts by gaining local review of the Terms and Conditions and the ability to grant authorization when no objectionable clauses are found. For the limited number of procurements that are not locally approved (4 of 1,696 between 1 Oct and 31 Dec 2015), this requires the submission of a paperwork package for each individual purchase to a Navy office in Norfolk, Virginia. Contractual purchases require a minimum of six weeks lead time, so it is not effective for emergent immediate needs.

Before gaining local review authority, this had a significant impact on the USNA mission as the fall semester began. The effect was most profoundly felt in the divisions of Engineering & Weapons and of Mathematics & Science where there is an emphasis on project-based learning. In many cases, purchases required for the start of classes, for capstone and design projects, and for Midshipman and faculty research projects were not made. This will potentially result in projects not being completed as originally planned. Ultimately, all submitted FY2015 purchase card requests were executed, but the timing of the situation led to some funding not being obligated at the end of the fiscal year. In addition to the fiscal ramifications, the increase in faculty and staff workload associated with the revised procedures has been significant. The time required to generate, track, and complete purchases has risen dramatically. Anecdotally, faculty and staff members are often selecting vendors based on whether or not they are on the “approved terms and conditions list” (as opposed to considering price) and, in many cases, they are choosing not to make the purchase at all. Leadership continues to seek a long-term resolution and department chairs and cost center heads have been asked to provide information about impacts and to make USNA administration aware of urgent issues.

This quickly became a high-visibility morale issue among faculty and staff and it continued to evolve during the preparation of this self-study. Naval Academy leadership reports significant progress on this but it has not fully resonated yet with the faculty or purchase card holders as there is uncertainty in how effective these measures will be when put to the test by student

⁶⁵ [Purchase Card Improvement Team Interim Report](#), 2014., pg. 1

⁶⁶ [Purchase Card Internal Operating Procedures Policy Notice \(IOPPN\) #5](#)

⁶⁷ [Purchase Card Internal Operating Procedures Policy Notice \(IOPPN\) #6](#)

research and design projects this spring. There is also concern that the accompanying increase in purchasing workload at the departmental level will become the new “norm.” *Accordingly, we offer the Recommendation that the Naval Academy continue to work internally at USNA and externally with Naval Supply Systems Command and Fleet Logistics Center Norfolk to streamline the purchase card acquisition processes while maintaining compliance with established law and regulation. This should include consideration for establishing local contracting authority at USNA and should include continued review of the processes for Terms & Conditions oversight on purchase card transactions.*

The Naval Support Activity (NSA) Annapolis Master Plan⁶⁸ deals with the maintenance, renovation and construction of buildings and other infrastructure. It is a comprehensive facilities and infrastructure life-cycle management plan with evidence of implementation (**Fundamental Element 3.5**). As explained in Standard 2, these plans are directly tied to the institution’s mission and outcomes expectations. The details of this plan, including project categories, funding sources, and planned completion dates are in the NSA Annapolis Master Plan.⁶⁹ Life cycle management for facilities is executed primarily through Sustainment Action Plans. Evidence of implementation is maintained by Public Works in a Consolidated Work Plan, which documents the history of all projects undertaken by Public Works.

While USNA facilities equipment investment generally keeps pace with any other collection of Navy facilities, long-identified modernization and renovation requirements for both Nimitz Library and Rickover Hall continue to be deferred. The condition of Rickover Hall, and specifically the state of its HVAC system, was cited as a Program Weakness for all engineering programs resident in the building by ABET during its 2012 reaccreditation site visit. While the engineering has been completed for HVAC replacement in Rickover Hall, the project is currently unfunded. The HVAC engineering plans do not include significant improvements to and/or modernization of classrooms, offices, or laboratory spaces.

Additionally, as reflected in feedback provided during the open call on our self-study, the renovation work that has been completed to date in Rickover Hall (window replacement and granite facing only) has been very disruptive. The decision to renovate Rickover while business is ongoing in the building has impacted teaching, delayed research efforts, and significantly degraded the quality of life of its residents. Faculty and staff have had to deal with all of the interruptions, inconveniences, noise, dust and other problems that develop when working in an active construction zone and have been temporarily shuffled around to accommodate the ongoing work. While absolutely necessary for the long term health of our facilities, institutional support will be critical during any future renovation.

It should be noted that the facilities are not maintained and paid for by the Naval Academy proper. A Navy-wide reorganization several years ago put all facilities under a different command managed regionally. This command, Commandant, Naval District Washington, encompasses a number of other area installations in addition to USNA and NSA Annapolis including the Navy part of Andrews Air Force Base, the Naval Research Laboratory, and the

⁶⁸ [Naval Station Annapolis Master Plan](#), July 2012

⁶⁹ [Naval Station Annapolis Master Plan, Section 5](#)

Washington Navy Yard. Funding for sustainment at USNA had been steady at approximately \$36M per year, but has recently been reduced to \$22M per year. This has led to a backlog of sustainment repair issues and a decrease in sustainment services.⁷⁰ Funding provided for restoration and modernization has been eliminated in recent years as the tightening budget impacted Commander, Navy Installations Command. Formerly on the order of approximately \$34M per year, this is the funding that was used for planned modernization and renovation across the Yard that included the overhaul of Bancroft Hall and academic buildings such as Michelson, Chauvenet, Maury, and Sampson Halls. With the loss of this funding, the renovation efforts for Nimitz Library, Macdonough Hall, and Leahy Hall are unfunded and the Rickover renovation is incomplete. *Accordingly, we offer the Recommendation that the Nimitz Library, Rickover Hall, Macdonough Hall, and Leahy Hall are in need of modernization and renovation and should be addressed as soon as practicable.* We discuss the Nimitz Library modernization needs in detail in Standard 11.

After the planning process is complete, the POM and other funding requests are submitted, and Congress passes a budget or continuing resolution, funds arrive at USNA. Their allocation is determined by rational and consistent policies and procedures (**Fundamental Element 3.2**). Some funds, as explained above, are designated for a specific purpose. For those funds over which USNA has more local control, the Comptroller allocates resources across USNA by balancing the resource requirements with the resources available. The policies governing these procedures are implemented through administrative channels in preparation for each fiscal year as reflected above in the PPBE discussion. The rationality of this allocation process is complicated by the fact that resource timing is not always well-synchronized with the requirements of an academic calendar. The fiscal year begins in October, while the academic year begins in late August. In recent years, the federal budget has been implemented as a temporary “continuing resolution” at the beginning of each fiscal year. This temporary funding measure creates uncertainty since the final budget for a fiscal year may be significantly different than funding available under the continuing resolution. As a result, funding for many of the activities which occur early in an academic year (such as laboratory supplies and travel) may be unpredictable. To compensate for this unpredictability and for a funding situation that may change over the course of a year (particularly times when operating under a continuing resolution), the Comptroller continuously tracks spending and incoming funds and provides this information to the institution’s senior leadership. The various cost centers also track their spending and report their upcoming needs so that funds may be reallocated within the institution as needed to optimize resource distribution and to utilize those funds which may arrive at the end of the fiscal year. The Naval Academy has personnel and committees that are flexible enough to respond to changes in funding quarter to quarter.

In terms of personnel, the cost center heads and the Superintendent meet as needed to determine how personnel are distributed to insure that faculty, staff, and administration are adequate to support the institution’s mission and outcomes expectations (**Fundamental Element 3.3**). The results of these meetings provide input to the POM for future years and inform hiring decisions in the current year. Complications of being part of the federal government are evident in this

⁷⁰ Interview with Sara Phillips, USNA Architect, and CAPT Scott Bernotas, CNIC representative 20 OCT 2014.

process as well. The total number of USNA full time equivalent (FTE) employees is determined by OPNAV N1. The cost center head meetings allow the constituents to air their requirements and come to a collective decision on how the 800+ FTE's are spread over the entire institution. This number is not fixed; rather, it changes from year to year based on the Navy's overall budget and prioritization, thus leading to the periodic USNA leadership meetings. The USNA organization manual,⁷¹ while in need of updating to reflect current titles and specific compositions, still reasonably describes the individuals and committees involved in this process.

Although the number of FTE's is set externally and can change, the Naval Academy has considerable input in the determination process, based on the institution's mission and requirements. As explained in Standard 10, USNA has a faculty model that has been approved by our funding source that determines the number of faculty required as a function of the desired class size and the size of the Brigade of Midshipmen.⁷² Given the current student body, this translates to 294 civilian and 294 military faculty members. Current civilian faculty employment is very close to the desired number. The military numbers have been approved but those actually on board are short by about 70 officers. However, continued engagement by the Superintendent with Navy leadership has ensured a roadmap to get close to 294 by 2017.

The outlook for non-faculty staffing is somewhat less certain. Currently, facilities and learning resources fundamental to educational and research programs and the Nimitz Library are adequately supported and staffed to accomplish the institution's most essential objectives (**Fundamental Element 3.6**), but in many areas we are "just getting by" and some lower priority areas are no longer supported. We are struggling to support new initiatives (when we do support them it is often at the cost of increased workload for our people) and it may prove difficult with current manning levels to achieve some future goals in the Strategic Plan. Staffing for the divisions of Engineering and Weapons and Mathematics and Science is low based on a 2006 report⁷³. The FTE number for the institution is currently 854 civilian faculty and staff. That number will drop by about 1% through the end of FY 2017 but is projected to fall 4.3% to 819 in FY 2018. The 2006 report already showed a shortfall of 21% in Engineering and 60% for Math and Science so a 4% further decline will make it difficult to maintain all current activity, let alone make improvements. The shortfalls are due to both the increased emphasis on project-based learning (and the associated laboratories) as well as the significant increase in research both by professors and students. The 2006 report documents a 260% increase in research active faculty from 1991 to 2006 yet there has not been a requisite increase in technical staff to support this work.

Nimitz Library has maintained the operating hours that were once accomplished by 45 FTE in 1995 while taking on additional functions with 32.2 FTE today. Chronic staffing shortages have resulted in reduced services, subscriptions, and collections. Funding has remained at approximately \$2.2M for the last 10 years, while cost of subscriptions have increased about 8%

⁷¹ United States Naval Academy (USNA) Organization Manual. [USNAINST 5450.3F](#).

⁷² [Report on faculty number requirements](#).

⁷³ [Report of the USNA Committee Studying Technical Support](#), Prof. Miner and Fontanella Co-Chairs, August 2006. Executive Summary, p. 2.

annually. Nimitz Library has not been able to support new initiatives such as majors in Nuclear Engineering, Arabic, Chinese, and Cyber Operations.

While new teaching technologies are explored and managed by the Deputy Director for Instructional Design and Technology Integration, manning and funding limitations have also led to a classroom environment that is a bit dated. Comparisons with peer institutions such as USMA and USAFA as well as non-DoD public schools reveal significant IT staffing shortages. Recent POM submissions have identified a current shortfall of 33 FTEs in the IT Support Services area.

A non-faculty academic staffing assessment study is underway to develop a formal model to identify staffing requirements at all levels, including administrative assistants, laboratory technicians, and others. The results of the study will be a useful tool to validate requirements with our resource sponsor as was successfully done with the faculty. While it is still wrapping up, early findings suggest a shortfall of at least nine laboratory technicians in Engineering Weapons, another nine in Math and Science, and two library positions.

Given these staffing shortfalls, we offer a Recommendation that staffing levels for technical support, the library, and IT support should be increased.

From a technology viewpoint, the USNA student body has robust on-campus access to learning capabilities. Existing infrastructure is flexible enough to meet bandwidth requirements when needed. Cloud-based applications such as Google Apps for Government, Blackboard Learning Management System, Tegrity, and others allow students to access materials from both on-campus and off-campus locations. However, due to the somewhat unique security requirements of a DoD school and funding limitations, we have not yet developed an acceptable policy that will allow us to connect personally owned devices to the network. Additionally, cellular coverage inside buildings is currently limited but is being improved.

Overall, the Naval Academy has struggled to balance DON and DoD IT requirements with the needs of an academic workplace. Educational efforts require access to a wide range of software and IT-related resources. Issues such as the impact of IT security on faculty teaching and research, the lack of wireless internet access for personal devices, and the impending removal of local administrative rights have frustrated faculty members and surfaced in both the open calls associated with the development of this self-study as well as a recent Faculty Senate IT survey.⁷⁴ While these challenges can be balanced with a number of successes that include the hardware and software available as well as the institution's recent transition to Google Apps for Government, the call for increased communication and proactive collaboration is reflected throughout the feedback received from faculty and staff alike. *Accordingly, we make the Recommendation that the Information Technology Services Division should proactively collaborate and continue to communicate with institution-wide users (customers) when implementing IT changes to balance DoD Information Technology (IT) requirements with institutional needs.* This problem is exacerbated by the IT staffing shortfalls discussed earlier as well as any institution-wide funding challenges.

⁷⁴ [2015 Faculty Senate IT Survey.](#)

For all of the activity described above, there are adequate institutional controls to deal with financial, administrative, and auxiliary operations (**Fundamental Element 3.8**). The Naval Academy's financial controls are mainly governed by DoD 7000.14-R (Financial Management Regulations, or FMR).⁷⁵ USNA has ensured that internal controls are in place per the FMR and that separation of duties is enforced and in place. USNA is regularly audited by our Budget Submission Office, Bureau of Naval Personnel (BUPERS), to provide oversight regarding these controls. Controls for financial operations are extensive, especially given the relatively small size of the institution. Internally, funds are tracked quarterly at the cost center level and reallocated internally as needed through discussions at the most senior levels of the institution. Our most recent Navy Inspector General Command Inspection was conducted in September 2014.

At USNA, additional operations relying upon non-governmental funding are executed by five separate organizations, as indicated by USNAINST 7010.3A.⁷⁶ These organizations are referred to as Non-appropriated Funding Instrumentalities (NAFI). For example, the Naval Academy Business Services Division oversees a multitude of functions such as the Midshipmen Store (offering goods for sale to Midshipmen and others with a specific Naval Academy affiliation), a number of shops offering services (such as tailoring), a variety of restaurants, and similar venues. Additional NAFI organizations provide supplemental financial support for admissions applicants and Midshipmen-affiliated activities. Controls for the proper functioning of these organizations are specified in a variety of DoD and DON regulations referenced in USNAINST 7010.3A.

The Academy Effectiveness Board (AEB) plans and implements effectiveness assessment across the Academy's moral, mental and physical missions (**Fundamental Element 3.1**). The AEB collaborates with the Associate Dean for Planning and Assessment and the Director of Institutional Research in order to ensure that reliable, accurate and timely data are employed in its deliberations and recommendations. The AEB's assessment-based findings are reported to the Superintendent and the SLT for additional consideration and possible action. Resource implications of the AEB's assessment reports, and assessment of the effectiveness of resource allocations, are developed separately from the AEB's analysis and reports. In particular, the Comptroller Office conducts annual and mid-year reviews of budgeting and spending. During these reviews, there is a prioritization of requirements in support of the institution's missions and goals. If additional resources are available, they are provided according to these priorities. Multi-year requirements, or those which cannot be funded, are candidates for inclusion in future funding cycles via the POM process. Many of the mission-based initiatives developed through the AEB are multi-year requirements which are resourced through the POM.

Within the Academic Dean cost center, institutional resource use is measured and assessed through a number of integrated processes. Departments proposing a significant curricular change must perform a resource impact analysis.⁷⁷ These analyses are reviewed by the Faculty Senate curricular committees. Recommendations from these reviews are submitted for additional consideration and evaluation by the Academic Dean and Provost. Academic

⁷⁵ Financial Management Regulations. [DoD 7000.14-R, Chapter 4.](#)

⁷⁶ United States Naval Academy (USNA) Nonappropriated Fund (NAF) Policy. [USNAINST 7010.3A, pp. 3-6.](#)

⁷⁷ Curriculum Review Process. [ACDEANINST 5420.20F, pp. 4-5.](#)

departments have a regular cycle of visiting committees and self-studies.⁷⁸ These internal and external assessment activities include an analysis and evaluation of staffing, resources, and student enrollments across the different disciplines at the Naval Academy.

In addition to these assessment processes, there are others which ensure the effective and efficient use of institutional resources (**Fundamental Element 3.10**). In the PPBE and POM processes described above, funding requests from the Naval Academy are evaluated first internally and then externally to insure alignment with the mission and effective use of funds. As described in Standard 4, the Naval Academy reports twice each year to its governing bodies and these bodies evaluate the resources of the institution to determine if they are adequate and used effectively. The Naval Academy is required by the Navy Headquarters (N1) to conduct a mid-year review to evaluate and assess how resources are being utilized.

Closely related to the assessment activity is the periodic auditing of financial responsibility at the institution (**Fundamental Element 3.9**). The Naval Academy meets the intent of the requirement for independent, annual audits. While USNA does not receive audits that are external to DoD (in accordance with DoD policy), it is subject to extensive auditing external to the Naval Academy itself. USNA annually evaluates its system of management controls under the Federal Managers' Financial Integrity Act and reports the results of this evaluation, including all controls weaknesses, to the Chief of Naval Operations (CNO) in accordance with the Department of the Navy Managers' Internal Control (MIC) Program.⁷⁹⁷⁹ Internal controls apply to all programs and functions, and managers are responsible for implementing, executing, evaluating, documenting, and testing internal controls.

USNA's Command Evaluation Department tracks the status of reported MIC items quarterly and maintains this information locally. The status of any previously reported items (material weaknesses or controls weaknesses) is provided in the following year's MIC statement to the CNO. USNA is also subject to other external reviews, such as DoD Inspector General (IG) audits. For other external reviews, USNA reports status regularly to the organization who conducted the review until all recommendations are closed.

Additionally, USNA's Command Evaluation Program⁸⁰ provides the Superintendent with the means to ensure resources are used effectively, securely, economically, and within legal and administrative constraints. This includes assessing compliance with existing directives, proper expenditure and control of appropriated, non-appropriated and gift funds, review of Naval Inspector General and Chief of Naval Operations command high interest programs, audit liaison and audit coordination, audit follow-up, augmentation of higher authority inspection teams, and investigations of fraud, waste, and mismanagement.

All government agency heads are required to establish accounting and internal controls to include internal auditing.⁸¹ A continuing evaluation of management controls and an annual report on compliance with Government Accountability Officer (GAO) standards for management

⁷⁸ Periodic Program Review and Visiting Committees. [ACDEANINST 5420.29H](#), p. 2.

⁷⁹ Department of Navy Managers' Internal Control Program. [SECNAVINST 5200.35F](#)

⁸⁰ Command Evaluation Program. [USNAINST 5200.5B](#)

⁸¹ [Accounting and Auditing Act of 1950 \(31 U.S.C. 66A\), Section 113.](#)

control is also required.⁸² There is guidance for establishing, maintaining, reviewing, improving, and reporting on management control systems in each agency.⁸³ The Department of the Navy and Chief of Naval Operations have established policy^{79,84} for the Navy MIC Program. USNA most recently issued a certification statement regarding compliance with these requirements in 2014.⁸⁵ An instruction⁸⁶ assigns responsibilities for managers' internal controls at USNA. USNA has established policies, procedures, and guidelines for its Command Evaluation Program as an independent in-house assessment capability to improve mission accomplishment, integrity of command, and effective use of resources.

Working Group C

Working Group C was chartered to examine the following standards:

- Standard 4: Leadership and Governance
- Standard 5: Administration
- Standard 10: Faculty

The Naval Academy asserts compliance with all three of these standards but has identified two specific Recommendations in Standard 10 for further action.

Standard 4: Leadership and Governance

Ultimate authority at USNA rests with the President of the United States and the United States Congress. The President, as Commander in Chief, nominates individuals such as the Secretary of Defense, Secretary of the Navy, and Chief of Naval Operations (CNO) who serve in the chain of command of the Naval Academy. The nominations are confirmed by the United States Senate. The main governing body of the Naval Academy is the Advanced Education Review Board (AERB). In combination with the Chief of Naval Operations and the Chief of Naval Personnel, the AERB is generally equivalent to a traditional Governing Board. The AERB was established by the CNO through Navy instruction (OPNAVINST 5430.33A)⁸⁷ to serve as a forum to provide oversight of education policies and programs, and the Navy's educational institutions, including USNA. The membership of the AERB is specified by Navy instruction OPNAVINST 1520.42A⁸⁸ and includes the following:

- Vice Chief of Naval Operations (Chair)
- Director, Navy Staff

⁸² [Federal Managers Financial Integrity Act of 1982.](#)

⁸³ OMB Circular No. A-123 Memorandum to the Chief Financial Officers, Chief Operation Officers, Chief Information Officers, and Program Managers. [OMB Circular No. A-123](#)

⁸⁴ Department of Navy Managers' Internal Control Manual. [SECNAV M-5200.35](#)

⁸⁵ [Superintendent's Managers' Internal Control \(MIC\) Program Certification Statement to the Chief of Naval Operations, letter dated 28 May 2014.](#)

⁸⁶ Managers' Internal Control Program. [USNAINST 5200.4C](#)

⁸⁷ Missions, Functions, Tasks of the U. S. Naval Academy. [OPNAVINST 5450.330A](#)

⁸⁸ Advanced Education Governance. [OPNAVINST 1520.42A](#)

- Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education) (CNO (N1))
- Director of Naval Intelligence (CNO (N2))
- Deputy Chief of Naval Operations (Operations, Plans and Strategy) (CNO (N3/N5))
- Deputy Chief of Naval Operations for Fleet Readiness and Logistics (CNO (N4))
- Deputy Chief of Naval Operations (Communication Networks) (CNO (N6))
- Deputy Chief of Naval Operations (Integration of Capabilities and Resources) (CNO (N8))
- U.S. Marine Corps Deputy Commandant for Manpower and Reserve Affairs
- Chief of Navy Reserve (CNO (N095))
- Chief of Naval Research
- Superintendent, USNA
- President, Naval Postgraduate School (NPS)
- President, Naval War College (NWC)
- Additional invitees may include representatives from the NPS Board of Advisors, NWC Board of Advisors, and the USNA Board of Visitors.

As active duty senior military officers or senior Department of Defense civilian employees, AERB members are bound by standards of conduct enumerated in the Joint Ethics Regulations,⁸⁹ Code of Federal Regulations,⁹⁰ and all other applicable laws.^{91,92} These laws and regulations serve as a strong conflict of interest policy and assure that items which could pose conflicts of interest do not interfere with the impartiality of the AERB members or interfere with their greater duty to secure and ensure the academic and fiscal integrity of the institution (**Fundamental Element 4.7**).

The Vice Chief of Naval Operations (VCNO) is the chair of the AERB. The current VCNO is Admiral Michelle Howard. The USNA Superintendent and the Presidents of the Naval Postgraduate School and Naval War College serve as the Chief Executive Officers of their respective institutions. The VCNO and the USNA Superintendent are never the same person and the VCNO is never an official at USNA (**Fundamental Element 4.5**). While in practice the Superintendent reports to the VCNO, the AERB certainly does not interfere in or manage the day-to-day operations of the Naval Academy.

The AERB meets at least semi-annually. Its membership includes a wide range of operational and academic expertise and responsibilities (e.g. manpower, personnel, training, education, logistics, resource planning, and service graduate education) and Navy and Marine Corps leadership to ensure that education policy, programs, long-range goals and objectives, and resource investments are aligned with the Chief of Naval Operations' Guidance and implementation of the Maritime Strategy. Additionally, the AERB provides oversight of institutional integrity, policies, and ongoing operations of USNA to ensure efficient operation

⁸⁹ [Joint Ethics Regulations.](#)

⁹⁰ [Code of Federal Regulations.](#)

⁹¹ [DoD Standards of Conduct Directive.](#)

⁹² [Supplemental Standards of Conduct.](#)

and support accreditation criteria (as delineated by MSCHE) (**Fundamental Elements 4.4 and 4.6**).

The members of the AERB are appointed by and responsible to the CNO, who provides oversight of the AERB in meeting its objectives (**Fundamental Element 4.10**). The AERB's oversight findings are reported to the CNO after each meeting. The CNO (N1) serves as the Executive Secretary, ensures timely promulgation of meeting agendas and minutes, and provides information, data, and metrics required to support AERB decisions and action items. Minutes and records of the past 7 years of AERB meetings are provided as evidence.⁹³ To provide orientation to new AERB members and continuing updates for current members, USNA has made a practice of integrating orientation-style topics into the agenda as necessary—for example, overviews of the academic, physical or leadership components of the Academy mission (**Fundamental Element 4.9**). Specific examples and evidence can be found in the AERB minutes.

The AERB utilizes its relevant institutional links and experience to provide guidance to USNA and assist in generating the resources needed to sustain and improve the institution (**Fundamental Element 4.8**). The AERB provides oversight functions, and USNA leadership actively seeks to engage and comply with the Board's concerns. As examples, since 2009, the AERB has been instrumental in providing strong support for an appropriate faculty size and developing the Academy's "Cyber" initiatives. The minutes of the meetings of the AERB reflect an ongoing commitment to maintaining excellence in every aspect of the Academy's performance.

The USNA Board of Visitors (BOV)^{94,95} serves as an advisory board, complementing the efforts of the AERB. Members of the BOV are appointed by the President of the United States and Congressional leadership, as described in its charter⁹⁶ and bylaws.⁹⁷ The BOV monitors the state of morale and discipline, curriculum, instruction, physical equipment, fiscal affairs, academic methods, and other matters related to the Naval Academy that the BOV decides to consider. The BOV reports its findings in a letter to the President of the United States and an annual report.^{98,99,100,101,102} The current members of the BOV are:

- Rep. Robert Wittman, Virginia, Chair
- ADM Michelle Howard, USN
- Judge Evan Wallach

⁹³ [AERB Minutes, 2009-2015.](#)

⁹⁴ [Board of Visitors \(BOV\) Membership.](#)

⁹⁵ [US Code Title 10, Armed Forces, Subtitle C Navy and Marine Corps, Part III Education and Training, Chapter 603 United States Naval Academy Board of Visitors, 6968.](#)

⁹⁶ [Annual BOV Charter.](#)

⁹⁷ [BOV Bylaws.](#)

⁹⁸ [USNA BOV 2009 Annual Letter and Report to the President.](#)

⁹⁹ [USNA BOV 2010 Annual Report.](#)

¹⁰⁰ [USNA BOV 2011 Annual Letter and Report to the President.](#)

¹⁰¹ [USNA BOV 2012 Annual Letter to the President.](#)

¹⁰² [USNA BOV 2013 Annual Letter and Report to the President.](#)

- Mr. Robert Stein
- Senator Jeanne Shaheen, New Hampshire
- Senator Benjamin L. Cardin, Maryland
- Senator Mark S. Kirk, Illinois
- Representative Dutch Ruppersberger, Maryland
- Representative Elijah Cummings, Maryland
- Representative Todd Young, Indiana
- Representative Tom Rooney, Florida
- Senator Dan S. Sullivan, Alaska

Unlike private and public civilian institutions of higher education, USNA and the other two service academies (United States Military Academy, USMA, at West Point and United States Air Force Academy, USAFA, at Colorado Springs) were established by an act of Congress (Title 10-US Code).¹⁰³ Statutes, regulations, and guidelines for the justification, receipt, and execution of resources (and for the accounting of these resources) are drawn from the Congress, the Department of Defense (DoD), and the Department of the Navy (DON). The most important component of USNA funding in terms of local control and execution of the mission flows to the Naval Academy as an annual appropriation from Congress via the DoD and the DON. Students do not pay tuition to attend the United States Naval Academy. (In fact, they are paid as members of the military with separate DoD appropriated funds that are not locally controlled by USNA.) Also significantly different than civilian institutions, with the exception of facility construction funding, there is no carry-over of appropriated funds from one year to the next. That is, USNA ends the fiscal year with a zeroed budget and starts the next fiscal year (on October 1) with budget “controls” or amounts appropriated by Congress. This means that by law USNA, like all federal institutions, has limited control over its finances. Financial authority rests with the Congress, not the USNA’s governing body (the AERB). The AERB remains, however, a tremendous advocate for USNA, both within the DON and to higher authorities for the necessary resources to fulfill the mission.

At the institutional level, the Naval Academy is led by the Superintendent, a vice admiral who serves as the chief executive officer of the Naval Academy.^{104,105} The current Superintendent is Vice Admiral Walter E. Carter Jr. The Superintendent is appointed by the President of the United States, with the Advice 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 AERB, but the AERB does not select the Superintendent. As noted earlier, within the military chain of command, the Superintendent reports to the Chief of Naval Operations, the most senior uniformed officer in the Navy. The Superintendent’s responsibilities are to serve as the senior officer at the Naval Academy and to develop, modify, and enforce policy to

¹⁰³ [US Code Title 10, Armed Forces, Subtitle C Navy and Marine Corps, Part III Education and Training, Chapter 603 United States Naval Academy.](#)

¹⁰⁴ United States Naval Academy (USNA) Organization Manual. [USNAINST 5450.3F CH-2](#)

¹⁰⁵ Service Academies. [DoD Directive 1322.22](#)

accomplish the goals and mission of the Naval Academy. Hence the primary responsibility of the Superintendent is to the institution (**Fundamental Element 4.11**).

There is a well-defined system of collegial governance with documented written policies (**Fundamental Elements 4.1 and 4.2**). Reporting directly to the Superintendent is the Senior Leadership Team (SLT) which includes the Academic Dean and Provost, the Commandant of Midshipmen, the Director of Athletics, and others, as described in more detail in Standard 5.

The leadership and governance structure for academics 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, division senior professors (similar to associate deans within a college)), and the Faculty Senate. The Academic Dean and Provost, Vice Academic Dean, and Associate Deans are appointed by the Superintendent after an interview process that includes faculty participation and consultation as described in the Naval Academy Faculty Handbook.¹⁰⁶ Department chairs are appointed by the Academic Dean and Provost; again after a process that includes a recommendation by the faculty, as described in ACDEANINST 5450.1B.¹⁰⁷ The Division Directors are senior military officers (Navy Captains or Marine Corps Colonels) who are nominated by the Navy and Marine Corps and appointed by the Superintendent. Communication, coordination, and feedback are also informally provided through regular forums of key groups such as the department chairs and senior professors. More details regarding the structure of the administration are provided in the discussion of Standard 5.

Faculty participate in institutional governance through several mechanisms. As noted above, the faculty have a direct voice in the selection of their department chairs, and are able to communicate their concerns and recommendations to the senior leadership via their department chairs through the Academic Assembly. The Superintendent and the Academic Dean and Provost also meet directly with the faculty on a regular basis both in meetings of the entire USNA faculty and meetings with individual departments. Additionally, the Academic Dean meets once a month with department chairs. Faculty also participate directly in the hiring of new faculty by reviewing applications, interviewing candidates, and recommending which should be hired.

Faculty are also involved in governance through Academic Standing Committees and the Faculty Senate. Academic Standing Committees are described in the instruction ACDEANINST 5420.1M¹⁰⁸ which includes committee function, membership, and current members. These standing committees, as well as similar ad hoc committees, are established by the Academic Dean and Provost to provide guidance on particular issues. An example is the Promotion and Tenure Committee, which is discussed in Standard 10.

¹⁰⁶ [Naval Academy Faculty Handbook](#).

¹⁰⁷ Departmental Inputs in Selection of Department Chairs. [ACDEANINST 5450.1B](#)

¹⁰⁸ Academic Dean Committees. [ACDEANINST 5420.1M](#)

The Faculty Senate Charter,¹⁰⁹ which includes Senate bylaws¹¹⁰ and a summary of Senate responsibilities, outlines the mission, membership, organization and selection processes of the Senate. Faculty Senators are elected directly by their respective departments and divisions. All tenured, tenure-track, and military faculty are eligible to serve and to vote. 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 which are generally well attended by a large majority of its membership, 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, curricular changes, promotion and tenure policies, as well as assessment of academic departments. The Associate Dean for Academic Affairs serves as the Academic Dean's regular representative to these meetings; an indication of how seriously the administration takes the Senate's advisory role. The Superintendent also typically meets with the full Senate at least once a year. There are monthly scheduled meetings between the Faculty Senate President and Vice President and the Superintendent, the Academic Dean, and the Commandant of Midshipmen. Various committees of the Faculty Senate investigate a wide range of issues and report their findings and recommendations to the full Senate, the Academic Dean and Provost, and the Superintendent, as appropriate for a given issue. Details of Faculty Senate activity can be found in the Senate's minutes.¹¹¹

An example of collegial governance which extended from the faculty to the governing body on a specific issue was a study of the appropriate number of faculty required for the Naval Academy to best accomplish its mission. The Faculty Senate Personnel Committee was requested to conduct a study of faculty requirements at USNA. With initial guidance from the Vice Academic Dean, this committee acted largely independently, gathering information and interviewing every academic department at USNA. Each department was free to determine its own needs for particular types of courses. The results were compiled by the Personnel Committee and a report¹¹² was provided to all constituents. The senior leadership at USNA used the report to present and document its needs to the AERB. The AERB accepted the report and has been supportive of efforts to fill military faculty billets and continue civilian faculty hiring to

¹⁰⁹ The Charter of the Faculty Senate of the United States Naval Academy. [USNAINST 5420.33B](#)

¹¹⁰ [Bylaws of the Faculty Senate.](#)

¹¹¹ [Faculty Senate Minutes.](#)

¹¹² [Report on faculty number requirements.](#)

increase the faculty size to the established requirement of 588, as explained in more detail in Standard 10.

As the academic side of student development is led by the Academic Dean, the military side of student development is led by the Commandant of Midshipmen, a Navy Captain or Marine Corps Colonel. Just as the military component is integral to the student's academic development, so too is the academic component (civilian and military alike) integral to the student's military development. The Commandant is occasionally compared to a Dean of Students at a civilian university. Many typical Dean of Students functions belong to the Commandant, but the Commandant also oversees the immersion into the military environment and comprehensive leadership preparation that constitutes an essential and prominent part of a 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 (Captain/Commander or Lieutenant Colonel), and a mid-grade Navy or Marine Corps Officer (Lieutenant/Lieutenant Commander or Captain/Major) is in charge of each company of approximately 150 Midshipmen. 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.

There is regular and collegial cooperation between the military and academic leadership. The Academic Dean and Provost and Commandant meet regularly and the Commandant provides a representative at all Faculty Senate meetings. Faculty members often call or e-mail a student's Company Officer if they observe a problem such as poor academic performance or conduct. The response from the Company Officer is typically supportive, such as directing the student to take corrective action or seek appropriate help. If a student is facing possible dismissal from USNA due to poor academic performance, the decision is made by the Academic Board, which consists of both academic and military leadership.

Students at the Naval Academy have appropriate opportunities for input regarding decisions that affect them, and they regularly exercise these opportunities (**Fundamental Element 4.3**). Midshipman input regarding the environment in which they live and work is mediated and channeled via the military chain of command (of which they are a part).¹¹³ The Midshipman Brigade Commander and her staff work closely with the Commandant of Midshipmen and the Superintendent in soliciting, assessing, and acting on Midshipmen input concerning their living, study, and leisure environment. Midshipmen also provide input via a wide variety of confidential surveys (e.g. academic advising, medical support, parking, honor system, summer training programs, chaplain and mental health support) through the Office of Institutional Research. For example, forty-two Midshipmen surveys were administered through the Office of Institutional Research from 2013-2014.¹¹⁴

¹¹³ Midshipman Regulations Manual. [COMDTMIDNINST 5400.6S](#)

¹¹⁴ [Assessment Studies and Survey Analysis Conducted by the Office of Institutional Research \(2013-14\)](#).

Midshipmen input is also obtained and used in academic areas. Students complete course evaluation forms for every academic course. These forms are anonymous and provide the students the opportunity to make any comment or recommendation they wish concerning a course or faculty member. The forms are read by the instructors as well as their department chairs and are used, along with other materials, as input for faculty performance evaluations and promotion and tenure decisions.

The effectiveness of institutional leadership and governance is assessed regularly in a number of ways (**Fundamental Element 4.12**). In addition to the oversight functions afforded by the military chain of command and the AERB, as well as an Annual Command Climate Survey, the Naval Academy and organizational units of the Academy receive periodic visits by the Navy Inspector General, ABET, the American Chemical Society, and visiting committees to academic departments. Details of institutional and student learning assessment are provided in the Standard 7 and Standard 14 discussions, respectively.

Standard 5: Administration

The Chief Executive Officer of the Naval Academy is the Superintendent, as established in Title 10, section 6951a of the United States Code.¹¹⁵ The mission of the Superintendent is to serve as the senior officer at the Naval Academy and to develop, modify, and enforce policy to accomplish the goals and missions of the Naval Academy. Hence, the Superintendent's primary responsibility is to lead the institution toward the achievement of its goals through administration of the institution (**Fundamental Element 5.1**).

The Superintendent is appointed by the President of the United States on the recommendation of the Chief of Naval Operations, and confirmed by the United States Senate. Consistent with the mission of the Naval Academy (see Standard 1), it is appropriate and necessary that the Superintendent have both military command experience and a commitment to academia. This allows the Superintendent to serve as an example for the students and to provide the administrative leadership needed for the moral, mental, and physical components of the Academy's mission. The Superintendent is a Vice Admiral (VADM), a rank that guarantees a wide range of leadership and administrative experience. The Superintendent, therefore, has the appropriate skills, degrees, and training to carry out the responsibilities and functions of chief executive officer (**Fundamental Element 5.2**). This is clearly true of the current Superintendent, VADM Walter E. Carter, Jr., a career naval flight officer of 33 years who became the 62nd Superintendent of the Naval Academy on July 23, 2014 after serving as the 54th president of the U.S. Naval War College in Newport, Rhode Island ("Biography of the Superintendent."¹¹⁶)

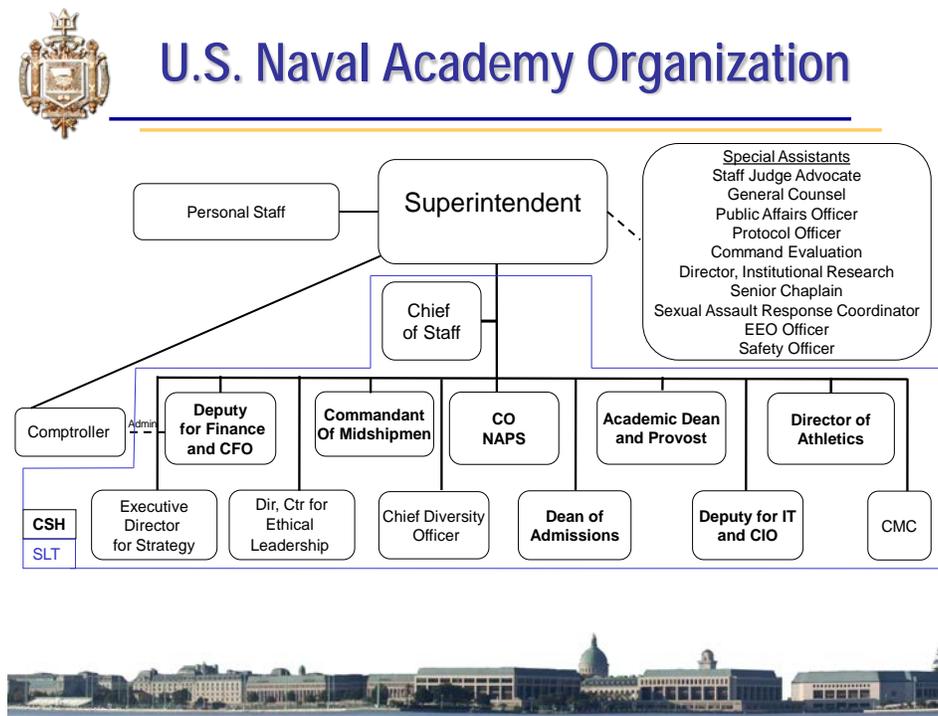
It should be noted that the Superintendent has extensive and direct contact with all constituents at the Naval Academy. This is particularly true with the students. The Superintendent addresses the Brigade of Midshipmen as a whole at least once each semester, and meets periodically with

¹¹⁵ [Title 10 USC - Sec. 6951a. Superintendent.](#)

¹¹⁶ [Biography of the Superintendent, 2014.](#)

the student leadership. VADM Carter lives on campus and attends numerous sporting, academic, and extracurricular events ranging from the arts to lecture series, where he again interacts with students. In the unfortunate situation when a student must be dismissed for academic, conduct, or other reason, the Superintendent reviews each case, often meeting with the student personally. For those cases involving a student in their junior or senior year, he makes a recommendation to the Assistant Secretary of the Navy (Manpower and Reserve Affairs), who issues the final decision. VADM Carter addresses and takes questions and comments at convocations of the entire faculty as well as the Faculty Senate, and annually meets individually with each academic department.

Reporting directly to the Superintendent is the Senior Leadership Team (SLT), which includes the heads of all “Cost Centers” and other senior advisors. The SLT is an advisory board for planning and resource allocation with a wide range of experience, as evidenced in their biographies.¹¹⁷ Cost Centers are the large units into which USNA is organized, and as the term implies, the duties of the Cost Center heads (CSH in the figure below) include fiscal and fiduciary responsibilities. The organization and authority of the Cost Centers are documented in the USNA Organization Manual¹¹⁸ which is currently being updated (**Fundamental Element 5.6**). The current USNA Organizational Chart shows the Academy’s leadership organizational structure:



The administrative leaders at the Naval Academy have the appropriate skills, degrees, and training to carry out their responsibilities and functions (**Fundamental Element 5.3**). The chief

¹¹⁷ [SLT Biographies as of January 2016](#).

¹¹⁸ United States Naval Academy (USNA) Organization Manual. [USNAINST 5450.3F](#)

academic officer, who heads the Academic Dean Cost Center, is the Academic Dean and Provost, Dr. Andrew T. Phillips. The Academic Dean and Provost holds a Ph.D. in an academic field and has professional leadership experience in higher education as evidenced in his biography.¹¹⁷ The Commandant of Midshipmen is in charge of the Commandant's cost center. He also holds an advanced degree and the requisite leadership skills. The Commandant is an Active Duty officer with the rank of at least a Navy Captain/Marine Corps Colonel. Biographies for the Commandant and other members of the SLT are available.¹¹⁷

The various cost centers are staffed by qualified individuals appropriate to their mission and the overall goals, size and complexity of the institution as a whole (**Fundamental Element 5.4**). Within the Academic Dean Cost Center, the faculty is comprised of approximately half military officers and half civilian professors. All career academic faculty hold a Ph.D. degree. The military faculty hold a master's degree (or equivalent) or higher in their applicable fields and are assigned through a nomination process based on both prior outstanding service in the Fleet or Fleet Marine Force as well as academic expertise. Civilian faculty and staff of all cost centers are recruited in accordance with Title 5 and Title 10, U.S.C. Title 5¹¹⁹ incorporates procedures for recruiting, hiring, promoting, retaining, and separating personnel in technical, clerical, and administrative positions in the Federal Civil Service. U.S.C. Title 10 §6952¹²⁰ gives authority to the Secretary of the Navy to employ as many civilians as professors, instructors, and lecturers at the Naval Academy as necessary and to delegate this authority to the Superintendent of the Naval Academy. ACDEANINST 1531.51C¹²¹ states that the Academic Dean and Provost will provide military and civilian faculty positions to academic departments according to their instructional resource needs. The Faculty Handbook¹²² and ACDEANINST 12300.1,¹²³ prescribe a national search for all tenure-track positions.

The Navy and Marine Corps officer placement systems are responsible for nominating military personnel assigned to the Naval Academy, subject to the Academy's review and acceptance of the nominations. The Naval Academy works closely with the Chief of Naval Personnel to ensure that academically and professionally qualified officers are assigned. Examples of these efforts to ensure a robust cohort of qualified officer instructors include the Permanent Military Professor (PMP) program¹²⁴ and the Graduate Education + Teaching (GET) program.¹²⁵ A more thorough discussion of the faculty and the administrative and technical support staff is provided in Standard 10.

The Naval Academy faculty and staff provide the administrative leaders with the information and decision-making systems needed to support their work (**Fundamental Element 5.5**). The Superintendent, for example, has a staff which includes JAG officers and a General Counsel for the Naval Academy. He also has protocol and other administrative support staff. The Office of Institutional Research, Planning and Assessment is a source of institutional information to assist

¹¹⁹ [U.S.C. Title 5, Government Organization and Employees](#)

¹²⁰ [U.S.C. Title 10, C, III, 603, §6952](#)

¹²¹ Faculty Workload. [ACDEANINST 1531.51C](#)

¹²² USNA Faculty Handbook. [ACDEANINST 5400.2](#)

¹²³ Procedures for Appointment to the Faculty. [ACDEANINST 12300.1](#)

¹²⁴ Permanent Military Professor Program. [OPNAVINST 1520.40B](#)

¹²⁵ Graduate Education Plus Teaching (GET) Program. [OPNAVINST 1524.2](#)

decision making for the senior leaders. The Naval Academy also has numerous standing committees tasked with gathering information and providing recommendations to administrative leaders. These are detailed in the ACDEANINST 5420.1M.¹²⁶ In addition, the Academy Effectiveness Board (AEB)¹²⁷ provides the Superintendent and the Senior Leadership Team with timely feedback and recommendations for conducting institutional effectiveness and academic assessment. The decision making authorities and paths outlined in Standard 2 provide efficient processes for effective and timely decision-making.

The Naval Academy has made strides in assessing the effectiveness of administrative structures and services (**Fundamental Element 5.7**). Periodic reviews include, among others, Command Climate Surveys. These surveys, which include all employees of the Naval Academy, provide an opportunity for candid feedback. Conducted by the Department of Equal Opportunity Management Institute, the Organizational Climate Surveys evaluate the Command on a variety of issues. The instructions that were sent by email for the last two surveys can be made available, if desired, and questions and results from the most recent survey are available in the Department of Defense Equal Opportunity Management Institute (DEOMI) Organizational Climate Survey Report.¹²⁸ The latest survey results show, for example, that 74.6% of respondents replied that they trust that their organization's leadership will treat them fairly. There were some responses regarding sexual assault prevention that suggested some alterations of the current policy to garner more trust in the process and better and easier reporting. Not all survey responses expressed satisfaction. Some commented on the uncertainty of the federal budget climate, mentioning the recent furlough and sequestration.

In its assessment role, the AEB has been directed by the SLT to investigate and report on several issues. Examples include a list of assessment studies involving student experiences starting with the Naval Academy Preparatory School (NAPS, described in Standard 8) and extending through follow on schools attended after graduation from USNA. These studies are titled (1) NAPS Baseline Analysis Study and Tracking System, (2) NAPS SAT/Placement Exams Study, (3) USNA Attributes of Graduates Assessment (also known as the 47-Month Study), (4) Equity Study, (5) Academic Major Implementation Plan Monitoring, and (6) Fleet/Schoolhouse Feedback Study. A description of each of these is available in USNA Notice 5420.¹²⁷ The AEB is also commissioned to assess the overall effectiveness of the Strategic Plan, and the six studies listed above are all tied to parts of the Strategic Plan.¹²⁹ Significant recent developments include the AEB and SLT meeting on a quarterly basis for in depth discussions about issues identified in the AEB studies and their resulting recommendations. These meetings facilitate decisions by the SLT for changes and improvements, when appropriate. Recent agenda items have included discussion about the updated AEB instruction¹³⁰ (which significantly strengthens the relationship with the SLT, strategic plan, transparency, and communication). Then two specific items were

¹²⁶ Academic Dean Committees. [ACDEANINST 5420.1M](#)

¹²⁷ Academy Effectiveness Board (AEB) 2012 Assessments. [USNANOTE 5420](#)

¹²⁸ Department of Defense DEOMI Organizational Climate Survey Report, September 16, 2014. Available on request.

¹²⁹ [Academy Effectiveness Board 2015 Studies: Presentations to Senior Leadership Team/Follow-On Notes/Next Steps.](#)

¹³⁰ Responsibilities and Duties of the Academy Effectiveness Board. [USNAINST 5420.36A](#)

discussed to help the SLT shape and refine the important area of assessment. The March 2015 discussion involved tracking studies done at NAPS (item (2) above) that show that use of results from additional SAT exams administered at NAPS were not very effective predictors for follow-on success at the Naval Academy, leading to an AEB recommendation to discontinue administering the SAT at NAPS. As a result of this study and recommendation, guidance was issued which significantly reduces the administering of SAT/ACT exams at NAPS to a much smaller and targeted group of students. The July 2015 discussion involved post-graduation assessments (fleet surveys, item (6) above) which resulted in a clarification and significant broadening of the study. These two agenda items were a more substantive engagement on the part of the SLT to make specific decisions and help shape the AEB's work than in the past.

The Naval Academy is also inspected periodically by the Navy Inspector General (IG). The most recent was in the Fall of 2014; the next inspection is scheduled for 2017. The IG investigates all aspects of the Naval Academy including all administration and administrative practices. Extensive interviews are conducted with faculty and staff. The results of these IG inspections are issued as reports¹³¹ containing both findings and recommendations, to which the Naval Academy responds. For example, in its most recent report, the IG found that the Naval Academy was not in compliance with some DoD training requirements, and this training is now being instituted. Another example, a new "gift of travel" form, which is required when an outside entity pays for the travel of Naval Academy personnel, is being devised based on IG recommendations.

Standard 10: Faculty

Since the founding of the Naval Academy in 1845, the faculty has been comprised of both military officers and civilians. In recent decades the Academy has embraced the position that a 50/50 balance of career officers and professional scholars, plus or minus five percent, is ideal. Military professionals teach in both academic and professional portions of the curriculum. They provide a unique, mission-specific educational perspective to our future officers, and can be grouped into three primary categories. The first category is comprised of senior military officers (rank of commander, O-5, and above) with doctoral degrees. They are typically assigned to the Naval Academy for a minimum of three years and are often actively involved in subject matter research. Permanent Military Professors (PMPs) are a subset of this senior group and are permanently assigned to the Naval Academy until they reach statutory retirement at the end of their military careers (spending normally six to ten years at USNA). These PMPs not only conduct research in their field of expertise, but also pursue academic promotion. The second group consists of rotational military instructors with master's degrees who are assigned to the Naval Academy for two to three years. These are typically junior officers (Navy ranks of lieutenant and lieutenant commander or Marine Corps ranks of captain or major, O-3 or O-4), although there are some more senior officers as well. The third and most recent group of officers, introduced in 2010,¹³² are Junior Permanent Military Professors (JPMPs) representing a hybrid of the first two groups. Junior Permanent Military Professors (JPMPs) have a rank of

¹³¹ [IG Report USNA – Spring 2015](#)

¹³² Permanent Military Professor Program. [OPNAV INST 1520.40B](#)

lieutenant commander, O-4, and hold at least a master's degree. They are permanently assigned to the Naval Academy until statutory retirement, often conduct research in their field of expertise, and some of them are pursuing a doctoral degree on their own.

Civilian professors all have an earned doctorate in the same or a closely related discipline to that in which they are teaching and have the same responsibilities as their counterparts at civilian colleges and universities. The civilians contribute current knowledge of their scholarly fields, academic leadership, and continuity to the institution. The procedures for their appointment to the faculty are explained in ACDEANINST 12300.1.¹³³

Over the course of the past decade, the Academic Dean's office has developed and refined a model to predict the required faculty size as a function of student body size, majors distribution, and the goal of 50/50 military/civilian balance¹³⁴ (**Fundamental Element 10.1**). The model calls for a total faculty size of 588, made up of 294 civilians and 294 military officers. The current number of tenure-track or multi-year, full-time civilians is 294, but the number of military faculty is only 238 (Jan 2016). Much of the shortfall is remedied by using adjunct faculty, who currently number about 41. The Naval Academy initiated the PMP and JPMP programs to increase the number of military faculty. The PMP program currently provides about 50 faculty members and is reaching steady state. The JPMP program, more recently added, currently provides 25 faculty members with a target of 40. The Faculty Model has been accepted by Navy leadership outside the Naval Academy and is being supported with plans to add a total of 12 Navy and 5 Marine Corps teaching billets over the next three years to further close the military faculty gap.

Professional support staff include office administrators (Education Technicians or "Ed Techs"), laboratory technicians (Lab Techs), information technology personnel (IT), and library staff. Experience and expertise of the current personnel are high, but a recent hiring freeze in Academic Year 2012-13 (now lifted) and a limit on full-time equivalent positions at the Naval Academy (still in place) have limited the total numbers for all four of these groups and has impacted the support they are able to provide. A series of initiatives have been implemented or are underway to address some of these personnel shortfalls. For example, a recent re-designation of administrative assistants as educational technicians (Ed Tech, GS-4/5/6) has raised salaries and should lead to professional progression and growth, and better retention. An overall Support Staff Requirements Study¹³⁵ was recently completed and provides justification and support for filling and maintaining an appropriate number of support staff positions as was done previously with the Faculty Model. Early findings of this study are discussed in Standard 3.

Faculty members, through their academic departments, are responsible for the course offerings from their department and the design of their majors curricula. Periodic reviews by external groups such as ABET, the American Chemical Society, and department visiting committees¹³⁶ ensure that departments are guided by current best practices in their respective fields. Any

¹³³ Procedures for Appointment to the Faculty. [ACDEANINST 12300.1](#).

¹³⁴ [Faculty Model](#).

¹³⁵ [Non-Faculty Technical Lab Staffing Requirements Study](#).

¹³⁶ Periodic Program Review and Visiting Committees. [ACDEANINST 5420.29H](#)

proposed changes to major requirements are reviewed by the Faculty Senate Curriculum Committee and approved by the Academic Dean.^{137,138} The Naval Academy also supports a robust core curriculum. Two years ago, the Naval Academy Faculty Senate strengthened the process of proposing, reviewing, and approving changes to the core curriculum by amending its bylaws regarding the curriculum review process. Matters involving the core curriculum were elevated to the Senate Curriculum Committee which has taken responsibility for ensuring academic soundness and applicability of the core curriculum so that it provides each Midshipman the educational foundation for any type of naval service (**Fundamental Element 10.2**).

In 2012, the Academic Dean's office established a new position for an Associate Dean for Planning and Assessment¹³⁹ to oversee the academic assessment process, report on assessment progress, and coordinate its integration into the Academy's overall institutional assessment process. In an ex-officio role, the Associate Dean for Planning and Assessment serves as co-chair of the Faculty Senate Assessment Committee.

Naval Academy faculty are recruited and mentored with a view toward their primary responsibilities as outstanding classroom teachers (**Fundamental Element 10.3**). Faculty are regularly 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. Longer-term faculty (Civilian and PMP) members are expected to maintain discipline currency through scholarship and research. All military faculty are also expected to maintain their professional currency, as appropriate. In collaboration with the Division Directors, Department Chairs, and the Promotion and Tenure Committee, the Academic Dean's Office has developed practical guidance for USNA faculty that focuses on best practices for teaching and establishes useful guidance on the linkage between teaching and student learning.¹⁴⁰ There are several annual Naval Academy-wide awards¹⁴¹ that recognize outstanding teaching among the faculty.

The Naval Academy recognizes and emphasizes the relationships between teaching, research, scholarship, and service by providing both guidance and support to the faculty in their development in all of these areas (**Fundamental Elements 10.4 and 10.5**). The Naval Academy Faculty Handbook¹⁴² explicitly embraces teaching, scholarship, and institutional service as the core activities for Naval Academy faculty.¹⁴³ As with teaching, there are annual Naval Academy-wide awards¹⁴¹ for both research and service.

¹³⁷ [Faculty Senate Bylaws, IV.B.4](#)

¹³⁸ Curriculum Review Process. [ACDEANINST 5420.20F](#)

¹³⁹ [USNA Academic Dean and Provost Staff, Associate Dean for Planning and Assessment](#)

¹⁴⁰ Faculty Performance Expectations: Practical Guidance. [ACDEANINST 12430.1](#)

¹⁴¹ [USNA Faculty Awards](#)

¹⁴² USNA Faculty Handbook. [ACDEANINST 5400.2, chapter III](#)

¹⁴³ Civilian Faculty Pay System. [ACDEANINST 12550.1](#)

The Faculty Enhancement Center¹⁴⁴ was established to assist in all aspects of faculty development. It consists of two parts: (1) The Office of Teaching and Learning provides individual consultations, classroom observations, teaching effectiveness workshops, teaching portfolio workshops, mentors, and print and video resources. The Instructional Development Support Center (IDSC), within the Office of Teaching and Learning, introduces emerging instructional technologies and helps faculty integrate appropriate technology into the teaching, learning, and assessment processes. The IDSC offers short courses in various software programs, such as the use of Blackboard, and assists the faculty in developing course materials. (2) The Office of Research and Scholarship works to attract research funding and enhance research opportunities for faculty.

The Office of Research and Scholarship also manages research grants and contracts. Most Naval Academy civilian faculty are paid for ten months each year and those professors who wish research support for the two intercessional months must apply for additional funding. The primary internal funding source is the Naval Academy Research Council (NARC), which offers grants through the Office of Naval Research (ONR) and from the Academic Dean's budget. NARC grants fund the full summer salary of untenured Assistant Professors in their first three years. NARC funding for more senior faculty members is granted through a competitive process. While this funding for senior faculty members has been extremely limited in the recent past (no funding was available for Senior NARC grants during 2012-2013 due to budgetary constraints), it was restored in 2014, and the award amount was increased from \$5000 to \$7500 per person at that time. The Naval Academy supports faculty sabbaticals at full salary for one semester or 70% salary for a full academic year.¹⁴⁵

Faculty development through travel to professional conferences has historically been robust and is supported through individual research grants and from department budgets. Junior faculty are given priority for internal travel funds, but many faculty are able to secure external funding, so internal funds are often also available to senior faculty when needed. With the exceptions of 2013 and 2014, between \$530k and \$590k per year has been spent from internal Academic Dean funds on travel, mainly for faculty conference attendance. This equated to approximately \$1,500 for each tenure track, tenured, and PMP faculty member, and when combined with external funds, was sufficient to cover travel needs. Faculty travel to professional conferences became very difficult in 2013 due to changes in DoD regulations and budget cuts. Conference travel requests must now be routed through several levels and ultimately approved at the Pentagon level by the Director of the Navy Staff.¹⁴⁶ International conference travel was severely restricted. Expenditures of internal Academic Dean funds on travel dropped to \$216k in 2013. The institution worked hard, however, to navigate the DoD approval process, educate approving officials outside the institution on the need for faculty development, and restore an adequate level of professional travel. Academic Dean expenditures increased to \$630k in 2015 with both domestic and international conference travel being routinely approved. While recent improvements have made the process somewhat more manageable, it remains inefficient, frustrating, and time-consuming for the support staff and faculty alike, to the point that faculty

¹⁴⁴ [USNA Faculty Enhancement Center](#)

¹⁴⁵ Sabbatical Status. [ACDEANINST 12630.3H](#)

¹⁴⁶ [Steps to Travel Approval](#)

members sometimes choose not to travel. Travel is often approved only a few days before departure, resulting in added cost and uncertainty for the faculty members who do not know until the last minute if they will be able to honor their commitment to appear at a conference and present their work. While budgets have been restored in recent years, uncertainty regarding 2016, as noted in Standard 3, is distressing and could represent dramatic reductions in funding levels for travel. *To address these challenges, we offer the Recommendation that faculty access to travel for professional development should be improved by establishing a baseline faculty travel budget for normal years (years without continuing resolutions or sequestration), stabilizing funding levels, and streamlining approval processes.*

Promotion and tenure standards and procedures are based on principles of fairness and are clearly articulated with expected performance levels in teaching, scholarship, and service.¹⁴⁷ These are published in the Faculty Handbook, chapter III, in the Academic Dean's annual updated guidance on performance expectations,¹⁴⁸ and in the "Practical Guidance for USNA Faculty Members,"¹⁴⁹ released in the 2012-2013 Academic Year. Instructions for preparing promotion and tenure packages are provided in ACDEANINST 12335.1A.¹⁴⁹ These documents are all available online to all faculty and administrators and are subject to the periodic review of the Faculty Senate, the Academic Dean and, where appropriate, the Superintendent. Furthermore, the Promotion and Tenure Committee holds three "town-hall" style meetings each fall and invites faculty to ask questions about the process.

In addition to the promotion and tenure process, annual performance appraisals based on the standards discussed above are provided for all faculty and support staff responsible for the educational program at the Naval Academy (**Fundamental Element 10.7**). An annual written review of all civilian teaching and administrative faculty is required, as indicated in USNAINST 12330.4B,¹⁵⁰ while USNAINST 12430.5¹⁵¹ provides for the annual evaluation of all non-faculty personnel, such as librarians, technical and clerical support staff. Military faculty are reviewed annually and a Fitness Report (FITREP) is generated according to the governing Navy instruction¹⁵² and the governing Marine Corps instruction¹⁵³. The instruction ACDEANINST 12550.1¹⁴³ establishes the policy and procedures for civilian faculty pay and describes expectations for teaching, scholarship, and institutional service. Criteria for faculty performance vary between academic disciplines. Typically, departments use peer evaluation visits and student opinion forms as part of a larger teaching evaluation process. Similarly, departments take into account attendance/presentation at relevant conferences, workshops, etc. and publication rates in their evaluation of faculty members' scholarship. All faculty members, military and civilian, provide an accounting of their own activities, as explained in "Reporting of Teaching and Professional Activities"¹⁵⁴ and are evaluated annually by their supervisor in the

¹⁴⁷ [USNA Faculty Performance Expectations](#)

¹⁴⁸ Annual Performance Review Expectations. [ACDEANNOTE 12452](#)

¹⁴⁹ Preparation of Recommendations for Academic Promotion, Tenure, Reappointment, and Non-Renewal of Contract. [ACDEANINST 12335.1A](#)

¹⁵⁰ Performance Appraisals of Civilian Faculty Members. [USNAINST 12430.4B](#)

¹⁵¹ Performance Management Program. [USNAINST 12430.5](#)

¹⁵² Navy Performance Evaluation System. [BUPERS1610.10C](#)

¹⁵³ Performance Evaluation System (PES). [MARINE CORPS ORDER P1610.7](#)

¹⁵⁴ Reporting of Teaching and Professional Activities. [ACDEANINST 5314.1C](#)

areas of teaching, scholarship, and institutional service. The evaluation form delineates the expectations for each aspect of a faculty member's performance and was recently revised for the 2013-2014 Academic Year.

The standards and procedures for faculty appointments as well as grievance, discipline, and dismissal are also readily available and clearly articulated in the Naval Academy Faculty Handbook and a variety of related instructions: "Procedures for Appointment to the Faculty;"¹⁵⁵ "Outside Employment;"¹⁵⁶ "Reporting of Teaching and Professional Activities;"¹⁵⁴ "Complaints Against Faculty Members;"¹⁵⁷ and "Preparation of Recommendations for Academic Promotion, Tenure, Reappointment, and Non-Renewal of Contract"¹⁴⁹ are available to all faculty and administrators on line. These instructions are subject to the periodic review of the Faculty Senate and the Academic Dean, as well as, where appropriate, the Human Resources Office, the Office of the Command Counsel (legal), and the Superintendent (**Fundamental Element 10.6**).

While the evaluation process is well established, fair, and equitable, the awarding of pay raises presents a practical challenge for the future development of our faculty. Civilian faculty pay is based on a federally mandated ladder of 69 "pay steps." The in-hiring step has increased over the decades, and now ranges from about step 17 in the humanities to around step 37 in some of the engineering and computer disciplines. Based on available funding and the annual performance reviews, faculty members are awarded, on average, about one pay step per year, with additional increases in the years of academic promotion. Faculty pay is limited by the federal pay cap, which has not increased as fast as cost-of-living increases. As a result, since 2000 the pay cap has intruded progressively into the pay scale, so that now the pay cap is reached at step 57. Projections¹⁵⁸ indicate that within the next decade, faculty in some engineering disciplines will reach the pay cap in only 5 to 9 years after hiring. Clearly, compression of the pay scale will soon have serious consequences for hiring and retention. Salary comparison studies (e.g. Oklahoma State University Faculty Salary Survey) show USNA full-professor salary levels, in most disciplines, are already significantly less competitive with peer institutions than USNA associate or assistant professor salary levels. The issue was raised as a concern in the 2014 Inspector General visit, but any modification of the pay system will require a change in federal law. *Accordingly, we offer the Recommendation that the Naval Academy should continue to advocate to DoD leadership for changes to the faculty pay system with regard to the cap on civilian faculty salary.*

The criteria for the supervision and review of teaching effectiveness for part-time and adjunct faculty are very similar to those for full time faculty (**Fundamental Element 10.8**).

Appointment guidelines are provided in ACDEANINST 12300.1.¹³³ Adjuncts and part-time faculty, like our military faculty, are expected to possess a master's degree or Ph.D. in a related field and teaching experience. Their resumes are normally evaluated by department chairs, associate chairs, and course coordinators. Because of our proximity to community colleges,

¹⁵⁵ Procedures for Appointment to the Faculty. [ACDEANINST 12300.1](#) (Appendix 5-2)

¹⁵⁶ Policy Concerning Outside Employment and Professional Activities for Faculty. [ACDEANINST 5370.4D](#)

¹⁵⁷ Complaints Against Faculty Members. [ACDEANINST 1531.63B](#)

¹⁵⁸ [Pay Cap Compression Models](#).

graduate schools, and many other employers of people with the requisite backgrounds, there is an ample supply of talented candidates.

Orientation, supervision, and review of teaching effectiveness for adjunct and part-time faculty are very similar to those for full time faculty and much of the governing instruction applies to both groups.¹⁵⁹ Their performance is typically evaluated through peer review, student evaluation reports, and common final examination results. They communicate with and are mentored by course coordinators and are invited to participate in the life of their department by attending course development meetings and department meetings. The pay for adjuncts has recently been increased from \$1000 to \$1500 per contact hour to remain competitive with our regional peer institutions.

As discussed in detail in Standard 6 (Fundamental Element 6.5), the principles of academic freedom are diligently guarded and enforced at the Naval Academy. Our Faculty Handbook clearly states, “The Naval Academy subscribes to the American Association of University Professors 1940 Statement of Principles on Academic Freedom and Tenure with 1970 Interpretive Comments.” Additional guidance is contained in the following instructions: “Content Issues In Teaching,”¹⁶⁰ “Integrity In Research And Scholarly Activity,”¹⁶¹ and “Complaints Against Faculty Members”¹⁵⁷ (**Fundamental Element 10.9**). The Naval Academy leadership works closely with Navy leadership to ensure that academic freedom is maintained while meeting the spirit of unique Defense Department and U.S. Government guidelines on publishing.

The faculty and academic support staff hiring and evaluation procedures described above are rigorous, clearly articulated, and well-assessed. Defined by federal regulations, they are very effective in finding qualified individuals through competitive, equal opportunity processes. Every federal employee is evaluated annually in a formal performance appraisal review in which faculty and non-faculty supervisors take part. The policies and procedures reward and promote outstanding performance. Federal hiring and evaluation policies are determined by the Office of Personnel Management (OPM) (**Fundamental Element 10.10**). Both the Library and the Information Technology Services Division (ITSD) also have other external assessment mechanisms which guide the future direction of programs and hence the qualifications sought in new hires. The Library utilizes the same Visiting Committee review system in place for the academic departments and ITSD undergoes a series of reviews by both the U. S. Fleet Cyber Command’s Office of Compliance and Assessment (OCA) and the DON Inspector General.

Working Group D

Working Group D was chartered to examine the following standards:

- Standard 7: Institutional Assessment
- Standard 14: Assessment of Student Learning

¹⁵⁹ Academic Orientation for Newly Reported Faculty. [ACDEANINST 1500.1C](#)

¹⁶⁰ Content Issues in Teaching. [ACDEANINST 1531.22](#)

¹⁶¹ Integrity in Research and Scholarly Activity. [ACDEANINST 3920.3A](#)

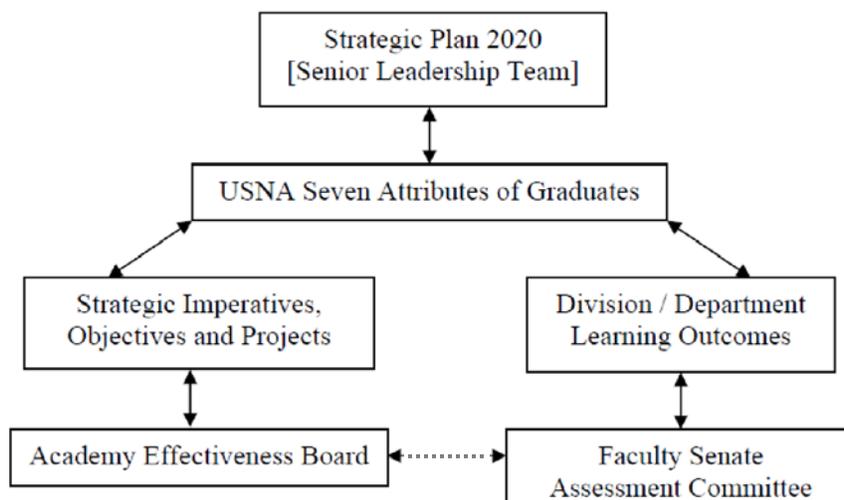
The Naval Academy asserts compliance with both of these standards but has identified a specific Recommendation in Standard 7 for further action.

Standard 7: Institutional Assessment

Institutional assessment at any large, diverse institution is challenging and should be continually evolving, and this is certainly true at the Naval Academy. Assessment is an ongoing effort at the Naval Academy. There is a continuous cycle of assessment, evaluation, action, and reassessment, with initiatives introduced, refined, or replaced, as needed. Depending on the particular process under consideration, the assessment cycle can be annual (e.g. the process described for academic assessment reports in Standard 14) or multiyear in nature (e.g. those aligned with the 10-year Middle States reporting cycle).

There exists a healthy tension at the Naval Academy as we recognize our growth in institutional assessment but acknowledge that there is still work to be done. In this discussion, we try to capture both of these viewpoints, emphasizing the initiatives that have been completed or are ongoing as well as the proposals and challenges that still need to be addressed. We spend much of our self-study describing the latter, identifying those areas that may need improvement and we include both the working group’s analysis as well as their proposed follow-on action.

Institutional assessment at the Naval Academy is centered on the Academy Effectiveness Board (AEB) and the Faculty Senate Assessment Committee (FSAC). Figure 1 shows the structure for the assessment process at the Naval Academy. The AEB and FSAC activities are tied to the Academy’s Strategic Plan 2020.¹⁶² The FSAC focuses on student learning through the academic program and directly related activities, as discussed in Standard 14. The AEB has a broader focus on the institution as a whole, including support functions outside of academics, and is discussed here in Standard 7. Assessment processes and examples specific to other standards are discussed in more detail in each standard within this self-study.



¹⁶² [Strategic Plan 2020](#).

Figure 1. USNA Effectiveness Assessment Model¹⁶³

The Superintendent established the AEB¹⁶⁴ to provide the Superintendent and the Senior Leadership Team (SLT) with timely feedback and recommendations for conducting institutional effectiveness and academic assessment. The institutional-wide focus requires the AEB to assess the Academy's current Strategic Plan and all three mission areas (mental, moral, and physical) as well as mission support functions related to our four-year leadership immersion program. The board membership spans all cost centers¹⁶⁵ at the Naval Academy and currently includes:

- Vice Academic Dean (Co-chair)
- Deputy Commandant (Co-chair)
- Deputy Athletic Director (Co-chair)
- Director, Institutional Research
- Associate Dean for Planning and Assessment
- Director of Admissions
- AEB Staff Director
- Dean, Naval Academy Preparatory School
- USNA Chief Diversity Officer
- Associate Dean for Academic Affairs
- Director, Division of Mathematics and Science
- Director, Professional Development Division

The AEB undertook five studies¹⁶⁶ as part of its start in the assessment process. These studies are tied to the Seven Attributes of USNA Graduates discussed above and listed in the Strategic Plan (Selfless, Inspirational, Proficient, Innovative, Articulate, Adaptable, and Professional). These studies are:

1. Naval Academy Preparatory School (NAPS) Baseline Analysis Study and Tracking System including a NAPS SAT/Placement Exams Study.
Analyze and provide information on success of NAPS (and Foundation) graduates performance at USNA to assist in shaping policies, practices and resources to most effectively prepare Midshipman candidates for success at USNA. Examine the value of the SAT and/or USNA Placement Exam results as indicators of NAPS candidates' growth and development and as a predictor of their success at USNA.
2. USNA Attributes of Graduates Assessment (also known as the 47-Month Study).
Expand current assessment of Midshipmen's achievement of the USNA Attributes of Graduates to include all aspects of the moral, mental, and physical mission elements.
3. Proportional Outcomes (Equity) Study.

¹⁶³ Updated from [PRR](#), Chapter 5.

¹⁶⁴ Responsibilities and Duties of the Academic Effectiveness Board. [USNAINST 5420.36A](#)

¹⁶⁵ USNA activities are organized as "Cost Centers" as described in Standard 5.

¹⁶⁶ Academy Effectiveness Board (AEB) 2012 Assessments. [USNANOTE 5420](#)

Assess the retention, performance, and representation of various Midshipmen demographic subgroups, including gender, race/ethnicity, accession source (Direct Entry, NAPS, Foundation, Nuclear Power School, prior enlisted, prior college), and recruited/non-recruited athletes.

4. Academic Major Implementation Plan Monitoring.

Assess the efforts and progress in achieving at least 65 percent technical major graduates for commissioning into the United States Navy.

5. Fleet Feedback Study.

Assess USNA graduates performance from follow-on warfare commands, developing a comparable and consistent data gathering process for determining relative success of USNA graduates. Collect and evaluate attributes desired by follow-on commands and compare with current USNA Attributes of Graduates.

While the institutional assessment efforts at the Naval Academy have been both continuous and meaningful, there remain a number of areas in which we continue to work towards improvement. This continuous improvement is consistent with the institution's growth in assessment expertise and experience since its last full accreditation review in 2006. Since that time, the Naval Academy has pilot tested and put into place a number of initiatives designed to strengthen our institutional assessment process. Described above, many of these plans came out of the Middle States recommendations in 2006, an associated External Review conducted in 2007,¹⁶⁷ and a follow-on Periodic Review Report in 2011. As these process changes have matured, they have been reassessed and continue to be revised to best fit the needs of our institution, our students, and our stakeholders. Consistent with this approach to continuous improvement and as part of our internal review outlined in our self-study plan, the working group has worked diligently to identify areas where shortcomings still exist and propose potential next steps. In the following, we discuss their four primary findings and outline both action taken and potential follow-on action.

Summary of working group conclusions

1. *Lack of organizational structure required to develop and implement a sustained institution-wide assessment plan.*

In late 2006, the AEB was established in response to our Middle States accreditation review that took place earlier that year. While its creation has represented an important step forward in institutional assessment at the Naval Academy, its organization continues to evolve to improve its effectiveness. Recent changes in organizational structure have included the establishment and hiring of the Associate Dean for Planning and Assessment (ADPA) in 2012. The ADPA works closely with the AEB and FSAC, facilitates academic planning efforts, coordinates assessment efforts, consults on assessment of student learning issues, and develops related educational activities such as assessment workshops (see Standard 14) for USNA faculty. The ADPA's membership on both the AEB and FSAC facilitates interaction between these bodies. The ADPA also serves as the liaison with external accreditors for assessment and institutional effectiveness issues. The ADPA, in coordination with the

¹⁶⁷ [Letter to MSCHE](#), Appendix 5, External Review Group Report, January 10, 2007.

FSAC, has helped to develop a robust assessment program in the academic departments which can be seen in Standard 14. It was also noted that while the ADPA serves on the AEB and has an important advisory role there regarding assessment, the position does not have the authority or the staff to coordinate assessment activity across the rest of the institution. To this end, the position of Executive Director of Strategy (EDS) was established and filled in June 2015. The EDS serves as a principal assistant to the Superintendent to address matters of strategic importance to the Naval Academy enterprise, with specific involvement in all programs as necessary. It is a senior management and governance position and is equivalent to a Vice President with faculty status at other non-federal educational institutions. The current EDS has extensive prior experience on the leadership team at the Naval Academy and is familiar with the history of the assessment process at the Naval Academy and the need for better coordination in this area.

The membership of the AEB itself has also been somewhat revised (the current membership is listed above) and a senior Staff Director has been assigned to the AEB to assist in the coordination of its institution wide efforts. The first Staff Director, who began work in the spring of 2015, is a Permanent Military Professor with experience as a member of the FSAC. The EDS, AEB chairs, and AEB Staff Director had their first meeting in June 2015.

Another outcome of the AEB work has been recognition that there was no formal process to ensure that their reports were effectively communicating the desired information to the SLT, or that the SLT would act on the information to implement changes and make improvements. To address this shortfall, quarterly meetings between the AEB and SLT were introduced in the spring of 2015, as described in Standard 5. At each meeting, particular findings of an AEB study are presented, discussed, and lead to a decision for action. For example, in the first AEB/SLT meeting in April 2015, the AEB's NAPS study (Study 2, mentioned above) was presented, and it was shown that using the SAT as an assessment tool for NAPS graduates was not providing actionable information and its use should be limited given that other metrics were providing better and more useful information to predict success. The issue was of considerable interest to all stakeholders as it involved a cost savings for those involved in finances, a potential loss of information for those in admissions, and raised different concerns for other members of the SLT. There was extensive discussion and a decision was made by those with the authority to change the policy to scale back the use of the SAT. The details can be found in the Standard 5 write-up.

2. Institutional outcomes need to be clarified and assigned key performance indicators which are assessable.

Our comprehensive Institutional Assessment Plan (IAP) must be outcomes-based with outcomes that are specific and measurable with targets set for levels of attainment. The Seven Attributes of a USNA Graduate are understood to be among our institutional outcomes and work has been undertaken by the AEB to assess two of the attributes, "Adaptable" and "Innovative." However, there are concerns among some of the Naval Academy constituencies that these attributes are high level goals that describe traits of graduates, and as such may not be measurable knowledge, skills, and behaviors that the Midshipmen attain by graduation. In addition, the link between many of the functions at the Naval Academy and the seven attributes can be difficult to articulate in a comprehensive way. The AEB is

currently engaged with a subgroup of Working Group D, the AEB staff director, and the EDS to develop a comprehensive IAP.

3. Institutional assessment process is not transparent and the results have not been shared with stakeholders.

Full transparency across any large enterprise is a challenge and this admittedly has been reflected in the AEB activity at the Naval Academy. As originally envisioned in the Superintendent's response to the 2006 Middle States visit,¹⁶⁷ the AEB activity was to be open to everyone. In implementation, however, reports have gone only to the SLT and have not been visible to the at-large Naval Academy community. We recognize the need for more integrated assessment processes that include better awareness among all participants and that communicate the findings of the AEB to a broader audience. A new AEB instruction,¹⁶⁴ issued in 2015, states that reports of results and decisions are to be provided to appropriate constituencies including faculty, staff, and Midshipmen. Further, the typically close hold 2014 Inspector General report¹⁶⁸ has been shared publicly, and drafts of this self-study have been made available for comment and feedback throughout the entire Naval Academy community (including faculty, staff, students, and external stakeholders).

4. Expertise in assessment is uneven across mission areas and the results have, at times, been "siloed."

Assessment within the academic cost center has benefited from the proliferation of best practices throughout the field in recent years. Under the Academic Dean, academic assessment activity has been ongoing, tied to student learning, and has produced actionable results, as shown in Standard 14. In nonacademic cost centers, assessment has been ongoing but has not had the consistent benefit of similar widely available best practices. Excellent examples of robust assessment activities outside the academic costs center include the Gettysburg Leadership initiative and the Sexual Assault Prevention and Response program (both discussed in Standard 2) and our admissions process (discussed in Standard 8). Assessment in nonacademic areas often follows DoD or DON processes, which, at times, can prove difficult to tie to the learning outcomes of the institution and its institution-wide assessment effort. The AEB's 47 month study, described above, is intended to help address these challenges. Articulating institution wide learning outcomes across cost centers and assessing student attainment have also been agenda items for the focused, quarterly meetings of the combined AEB and SLT, recently adopted and discussed both above and in Standard 5.

In closing, the Naval Academy both asserts a robust institutional assessment process and acknowledges that there is need for continuous improvement in a number of areas.

As a result of the self-study process and research questions explored by Working Group D, the Academy Effectiveness Board and Senior Leadership Team are working harder to close the assessment loop with presentations of studies often resulting in actionable plans endorsed by the

¹⁶⁸ [IG Report USNA – Spring 2015](#)

Naval Academy leadership.¹⁶⁹ Additionally, a task force comprised largely of Working Group D members met over the summer and into the fall semester to advise the AEB with regard to institutional assessment and suggest possible ways forward. As a result of the task force, Dr. Jodi Levine-Laufgraben was invited to and spent a day at the Naval Academy consulting and training our AEB leadership. The training was well attended and the AEB now has a better perspective on the assessability of our existing strategic plans and next steps.¹⁷⁰

With an eye towards sustained progress, it will be essential to continue to assess the effectiveness of both the process changes we have described here as well as any new initiatives that come from the follow-on proposals (including those from our working group) we are exploring. *We offer the formal Recommendation that the Naval Academy should continue to refine, implement, and effectively communicate its institutional assessment plan.*

Standard 14: Assessment of Student Learning

The institution has clearly articulated statements of expected student learning outcomes at all levels that are appropriately integrated with one another, are consonant with the institution's mission, and consonant with the standards of higher education and of the relevant disciplines¹⁷¹ (**Fundamental Element 14.1**). Our institutional level student outcomes are the seven attributes of a Naval Academy graduate as articulated in the Strategic Plan 2020:¹⁷² Selfless, Inspirational, Proficient, Innovative, Articulate, Adaptable, Professional. At the institution level, there are extensive general education course requirements of all students (referred to as the “core”) which are described in Standard 12. Core outcomes for the academic program have been formally articulated and mapped to the Seven Attributes of a Graduate and Middle State’s outcomes.¹⁷³ All programs have clear learning outcomes as shown in their 2015 reports to the Faculty Senate Assessment Committee.¹⁷⁴

The Naval Academy has a documented, organized, and sustained assessment process to evaluate and improve student learning (**Fundamental Element 14.2**). The academic assessment process is overseen by the Faculty Senate Assessment Committee, which reviews the reports and processes of all programs and ensures collaboration between the faculty and the administration. All academic departments within the institution are required by Academic Dean Instruction¹⁷⁵ to conduct assessments of students within their programs, including majors, minors, and core courses, and submit an annual report describing their assessment plan, the assessment activities undertaken over the previous year, and what changes to the program have been taken or are planned in response to that assessment. The Faculty Senate Assessment Committee (FSAC) is charged with reviewing these annual assessment reports, monitoring compliance with the

¹⁶⁹ [Academy Effectiveness Board 2015 Studies: Presentations to Senior Leadership Team/Follow-On Notes/Next Steps](#)

¹⁷⁰ [Academy Effectiveness Board 2015 Planning Documents](#)

¹⁷¹ [USNA Learning Outcomes](#)

¹⁷² [Strategic Plan 2020](#)

¹⁷³ [Core Learning Outcomes Map](#)

¹⁷⁴ [2015 Faculty Senate Assessment Reports](#) (all prior year reports available from ADPA, if desired).

¹⁷⁵ United States Naval Academy Academic Assessment Process. [ACDEANINST 5400.1A](#)

Academic Dean's instruction, and assisting departments in their assessment efforts. The FSAC has 9 members representing the academic areas and Physical Education, and the Director of Teaching and Learning and the Associate Dean for Planning and Assessment (ADPA) serve as ex-officio members. The ADPA is the ex-officio co-chair of the FSAC and has worked with the committee over the last few years to develop a rubric for evaluating the annual assessment reports.¹⁷⁶ This rubric is based on good practices in assessment, provides benchmarks for departments to measure their assessment efforts against, and has brought the Naval Academy's expectations in line with the good practices in academic assessment nationwide. Consequently, some departments are still working to meet the higher standards. Each fall two members of the FSAC are assigned to each department along with the ADPA to review the respective annual assessment reports (which were submitted early that summer) and evaluate them using the rubric. The ADPA and representatives from the FSAC then meet with those responsible for reporting from each department to discuss the assessments of student learning, make suggestions for improvement, answer questions, and determine how best to support departments. It is common for department chairs and the division's senior professors to attend these meetings. Once this process is completed, which is typically late in the fall semester, the ADPA meets with the Academic Dean to brief him on the status of assessment efforts. The whole process starts over the following spring semester. One of the ways the ADPA and FSAC assist departments in developing assessment methodologies is through a series of assessment workshops and seminars held each spring. For example, the workshops listed below were held in the Spring of 2014:

- a. "Hallmarks of a Good Departmental Assessment Program"
- b. "Creating Student Learning Outcomes"
- c. "Developing Curriculum Maps" (to help tie their department work to institutional goals)

In the Spring of 2015, a-c were repeated and a workshop was added on "Rubric Creation." There are also many individual consultations and less formal correspondence.

As can be seen in the departments' annual assessment reports,¹⁷⁴ the extent of the effort in most departments clearly indicates the broad participation of faculty, the effective use of appropriate assessment tools, and continuous activity over several years. Improvements made since 2006 indicate the efforts have an appropriate investment of resources and are sustainable. The assessment reports¹⁷⁴ themselves provide clear, sufficient, and convincing evidence that students are achieving key institutional and program learning outcomes (**Fundamental Element 14.3**).

Along with demonstrating student learning, there is also evidence that learning assessment information is shared and discussed with appropriate constituents and used to improve teaching and learning (**Fundamental Element 14.4**) and inform institutional assessment (**Fundamental Element 14.5**). Representative examples include but are not limited to:

- a. The English Department faculty changed the English major gateway courses recently, discontinuing one course and creating a new one with a different emphasis, designed to introduce new English majors to recent methodological developments. The department took these steps as a direct result of assessing student learning of items integral to the

¹⁷⁶ [Annual Assessment Memo for AY15, Enclosure 6: Rubric](#)

English major – demonstrating one instance of this department's successful long-term assessment cycle.

- b. The Physics department noticed that the class of 2015 included a rich crop of high-aptitude students who sought to be challenged beyond the standard undergraduate physics curriculum. As a follow-up to the 2013 assessment, which showed strong performance of the class of 2015 on the ETS Major Field Test, they taught a course in General Relativity in the spring of 2014 to accommodate these students. They intend to submit a curriculum change request to incorporate this course as a permanent elective offering.
- c. Assessment of performance on lab skills in General Oceanography II (SO234) led the Oceanography department to evaluate and ultimately reorganize part of their curriculum. They developed a new introductory course sequence, Earth Systems Science 1, 2, and 3 (SO271, SO272, SO273) in 2012. This sequence was first taught in 2014 and replaced the former sequence of General Oceanography I, II, and Meteorology (SO231, SO234, and SO244). The SO271-3 sequence represented a substantial departure from the previous curriculum, combining physical oceanography and meteorology in an initial course on fluid motion; adding a credit to the follow-on course on biogeochemical processes, and then moving a third analytical course to junior year.
- d. In the Naval Architecture Program, the 2013 assessment process led to a significant change to their curriculum as well as a number of relatively minor changes. The major change involved incorporating more thorough coverage of marine engineering throughout the curriculum and including a required marine engineering course. The decision to make these changes resulted from the feedback they received from the 2012 ABET visit.
- e. The Systems Engineering department assessment process indicated a need for stronger instruction in the Engineering Design process. As a result, a change was made in the Systems Engineering curriculum to add a two-credit guided design process with a well-scoped control system design to the spring of the junior year. The senior year will then build on this experience in the open-ended capstone design process. This change has been implemented for the class which will graduate in 2016.
- f. There have been several significant changes to the Ocean Engineering curriculum based on the 2012 assessment process. These include strengthening of the senior capstone design project experience, an increase in required use of computer applications, and renewed emphasis on technical writing in the major's curriculum.

Working Group E

Working Group E was chartered to examine the following standards:

- Standard 8: Student Admissions and Retention
- Standard 9: Student Support Services

The Naval Academy asserts compliance with both of these standards.

Standard 8: Student Admissions and Retention

The Naval Academy has admissions policies developed and implemented that support and reflect the mission of the institution (**Fundamental Element 8.1**). The mission, as explained in detail in Standard 1, is to develop Midshipmen for a career of Naval Service and beyond. The Office of Admissions supports the mission by identifying, recruiting, and selecting candidates best suited for the demanding Naval Academy program and who show potential for leadership in the naval service. The admission policies are specified in SECNAVINST 1531.2C¹⁷⁷ and Title 10 U. S. C., Part III, Chapter 603.¹⁷⁸ SECNAVINST 1531.2C states:

Naval Academy admissions procedures must support the primary objectives of selecting candidates who:

- a. Are mentally and physically able to undertake rigorous academic, professional education, as well as physical training programs.
- b. Show interest in serving their country as professional officers in the Naval Service.
- c. Show capabilities and interest in fields of study that reflect the needs of the Navy and Marine Corps.
- d. Show potential for leadership in the Naval Service;
- e. Show the capacity and desire to complete the 4-year course and remain in the Service beyond the period of obligated service after commissioning;
- f. Are of good moral character.

Title 10 U. S. C., Part III, Chapter 603 specifies the allowable numbers of Midshipmen, the nomination process, and qualifications for admission such as age, citizenship, and physical condition. Current and future planning for the admission of incoming classes to the U. S. Naval Academy is imbedded in Title 10 USC, DOD/USN policy, and the Academy's Strategic Plan. Strategic Imperative One (Recruit, admit, and graduate a diverse and talented Brigade of Midshipmen), provides the specific guiding framework for the Academy's marketing efforts as well as the composition of the incoming class. Additional guidance is provided by the Superintendent to the Dean of Admissions and the Admissions Board at the beginning of each admission cycle. As discussed in more detail at the end of this standard, these efforts are reviewed and updated periodically as the admissions cycle progresses and at the end of each admission cycle when the incoming class is formed.

The admissions policies are available from multiple sources to assist prospective students in making informed decisions (**Fundamental Element 8.2**). In the USNA View Book, it is explicitly stated that applying to enter the Naval Academy is different than most other college admissions processes. In addition to reviewing a candidate's academic record, the Admissions Board evaluates a candidate's physical fitness, leadership potential, and motivation to be a Midshipman and an officer in the Navy or Marine Corps. Applicants must be recommended by teachers, interviewed by an Academy representative, and formally nominated. It is further stated that we want to ensure that the best-qualified candidates from around the United States and its

¹⁷⁷ United States Naval Academy Curriculum and Admissions Policy. [SECNAVINST 1531.2C](#)

¹⁷⁸ [Title 10 U.S.C., Part III, Chapter 603](#), U.S. Naval Academy (sections 6951-6981).

territories are selected for admission and that young men and women have the drive and motivation to complete the four-year program and excel as Navy and Marine Corps officers. All candidates have an equal opportunity for consideration, and eligible men and women of all backgrounds are strongly encouraged to apply.¹⁷⁹ The View Book¹⁸⁰ and Class Profiles¹⁸¹ are available on-line and in hard copy through information forums, congressional academy sessions, and interaction with representatives from the Naval Academy Information Program (these are described in detail on the admissions website).¹⁸² The content covers everything from recommended scholastic requirements to outlines of student profiles, assisting prospective students with information on all aspects of USNA admissions requirements and recommendations. The USNA website and the online electronic application forms provide further decision making information as prospective students make their way through the admissions process.

The Naval Academy also has extensive information and outreach programs to ensure that its admissions policies and criteria are available to prospective students through inter-personal contact. Regional counselors are assigned to each prospective student through the application process. Blue and Gold Officers are located throughout the United States and overseas. These are volunteers assigned to one or more high schools that answer questions about the Academy, help guide candidates through the admissions process, and conduct interviews of potential candidates. Current Midshipmen are sent to high schools across the country each fall to lead information sessions, and the Naval Academy brings over 2,500 prospective students to USNA each summer to participate in the Summer Seminar program. Additional opportunities to learn about USNA include Candidate Visit Weekends, Admissions Information Forums, Summer STEM program, live chat venues, summer engagement visits, Congressional Academy Days, and College Fairs.

The Naval Academy provides accurate and comprehensive information regarding its academic programs, requirements for admission, and placement testing on its public web site^{183,184,185,186} (**Fundamental Element 8.4**). The information includes statements of expected learning outcomes for the programs of all academic departments.¹⁸⁷ It also includes a discussion of our placement testing processes and the many opportunities for Midshipmen to earn validation credit for USNA courses.

Consistent with the vast majority of our peer institutions, actual department level assessment reports are not posted but are available on request to appropriate stakeholders (**Fundamental Element 8.5**).

¹⁷⁹ [Viewbook, Admissions.](#)

¹⁸⁰ USNA Viewbook as [webpage](#) and [pdf](#).

¹⁸¹ [USNA 2019 Class Portrait.](#)

¹⁸² [USNA Admissions Events webpage.](#)

¹⁸³ [Steps for Admission.](#)

¹⁸⁴ [USNA Course Validation Policy.](#)

¹⁸⁵ [Majors and Courses with links to individual department sites.](#)

¹⁸⁶ Plebe placement section in the [Plebe Advising Handbook](#): pp. 5-7, 13 (only available on the USNA intranet).

¹⁸⁷ [Departmental Learning Outcomes](#)

No financial aid, grants, or loans are required as all students at USNA are on a full scholarship, to include 100% of tuition, room and board, and medical and dental care. Additionally, all students receive a monthly stipend as well as all regular active-duty military benefits, as indicated on the USNA public website¹⁸⁸ (**Fundamental Element 8.6**).

The Naval Academy does not automatically accept transfer credits from other institutions. Instead, students must submit documentation (transcripts, syllabus, exams, etc) to each department to "validate" USNA course competencies and receive credit for a course. Currently, a grade of "V" is assigned for those credits and they can count as earned credit toward graduation requirements. While there is no early graduation option at the Naval Academy, validation does provide students with opportunities for additional study at USNA. For example, validation can facilitate the pursuit of a language minor, a double major, a semester abroad, or more in-depth independent research. A student with sufficient validation may apply for the Voluntary Graduate Education Program (VGEP) in which they begin graduate study at a local university concurrent with their last semester at USNA. The USNA Course Validation Policy¹⁸⁴ (**Fundamental Element 8.7**) contains information about the procedures for requesting validation. During Plebe Summer (the training period before the start of their first semester), entering freshmen take a series of placement examinations. If they perform sufficiently well, they may validate one or more courses. After this summer placement period, students must petition individual departments for additional validation. Each department considers requests for and grants course credit from other institutions on a case-by-case basis.

The Naval Academy makes great efforts to ensure that all admitted students, including those that marginally meet the institution's qualifications, have the opportunity to achieve expected learning goals and higher education outcomes (**Fundamental Element 8.3**). The primary support for all students comes from their course instructors. Instructors are available to students for extra instruction (EI) individually or in groups, as needed. Instructors are typically very flexible to accommodate the students' schedules. Review and EI sessions are offered by faculty members during the academic day and often in the evenings. Further, The Class of 1963 Center for Academic Excellence (CAE) supports the mission of the Naval Academy by providing the highest quality academic support programs for all Midshipmen seeking to improve their academic performance from their freshman to senior year.

Class of 1963 Center for Academic Excellence Programs:

Supplemental Instructional Classes - Supplemental Instruction Classes provide learning support courses in chemistry, mathematics, physics, and engineering. The non-credit classes meet one period per week with a faculty member.

Midshipmen Group Study Program (MGSP) – MGSP provides regularly scheduled, out-of-class, peer-facilitated sessions. Groups are directed by Midshipmen who have previously done well in the course, are trained to facilitate, and regularly interact with the instructor teaching the course. During the sessions, students work together to compare

¹⁸⁸ [General Information for Midshipmen: Tuition.](#)

notes, discuss important concepts, and develop better study strategies. Assistance is provided in Chemistry (SC 111, 112), Calculus (SM 005, 121, 121A, 122, 122A, 221, 223), Physics (SP 211, 212) and numerous other upper-level courses.

Professional Tutoring – The CAE provides both daytime appointments and evening walk-in tutoring services for those trying to improve their academic performance. Small group and individual support is provided to assist Midshipmen in reaching their academic goals in the STEM disciplines.

Exam Reviews and Topic Workshops - Review sessions and single topic workshops are taught by faculty members and offered during the academic day and in the evenings, throughout the semester. The sessions focus on traditionally challenging concepts and are open to all Midshipmen.

Writing Center – The Writing Center provides one-on-one consultations for all writing projects during any stage of the writing process. The goal of the Writing Center is to provide a professional and supportive environment where Midshipmen, faculty, and staff can receive guidance from experienced writers.

Learning Skills Program - The Learning Skills Program provides scheduled day and evening workshops / individual appointments that are available to all Midshipmen regardless of their grade point average or academic standing. The courses have been developed to help Midshipmen become more successful students in the Naval Academy's unique learning environment. Specific topics covered include: time management, note-taking techniques, reading effectiveness, test-taking strategies and stress management.

The Director and Deputy Director of Academic Advising are heavily involved in monitoring and mentoring admitted students who struggle with any portion of the academic program. Their programs include:

Plebe (freshmen) Advising Program - An academic advising program for undeclared Plebes (freshmen). Each company is assigned two faculty advisers during Plebe Summer. Academic advisers meet with the students to discuss academic progress, course registration, major selection and to provide general academic advice. This program moved under the direct supervision of the Academic Dean's office, specifically a Deputy Director of Academic Advising position was created and filled, in June 2015.

Plebe (freshmen) Intervention Program - The Plebe Intervention Program provides academic support to Midshipmen who have been identified as having a high likelihood of encountering academic difficulty. Students selected for this program are provided weekly learning skills classes, supplemental instruction classes for calculus and chemistry, and regularly scheduled, individual academic counseling from their assigned at-risk adviser. This program moved under the direct supervision of the Academic Dean's office, ,

specifically a Deputy Director of Academic Advising position was created and filled, in June 2015.

Additionally, the Chemistry Department and the Mathematics Department offer structured support opportunities for students in selected courses:

Chemistry Resource Room – Operated by the Chemistry Department and staffed by teaching faculty, this resource is available to students on a walk-in basis throughout the academic day.

T.J. Benac Mathematics Lab – Operated by the Mathematics Department and staffed by teaching faculty, this resource is available to students on a walk-in basis throughout the academic day.

There are also programs for students who are believed to have good potential for success as Naval officers, but are not yet ready for acceptance to the Naval Academy. The Naval Academy Preparatory School (NAPS) offers a 10-month college preparatory program to regular and reserve Navy and Marine Corps enlisted men and women, and highly motivated civilian candidates who, with further moral, academic and/or physical preparation have a high probability of successfully completing the four year curriculum at the Naval Academy. A separate application for NAPS is not necessary.

The U.S. Naval Academy Foundation, Inc., also assists promising candidates who are not appointed for direct admission. This nonprofit organization awards a limited number of sponsorships for post-high school preparatory studies to enhance those candidates' qualifications for admission. The Naval Academy's admissions board recommends candidates to the Foundation for sponsorship consideration. No special request is required.

The Naval Academy assesses student success and evaluates the match between the attributes of admitted students and the institution's missions and programs (**Fundamental Element 8.8**). The Office of Admissions continuously evaluates the effectiveness of its admissions metrics and recent assessments have looked at the Whole Person Multiple, the STEM predictor, the validity of school official recommendations, and the use of surveys to conduct initial applicant screening.¹⁸⁹ Actions following these assessments have included an adjustment in the Whole Person Multiple calculation and a revision of the school recommendation weighting.

Admitted student progress in all areas is continuously evaluated and tracked. Institutional Research regularly evaluates graduation rates and performs studies of retention at the Naval Academy and in the Naval Service. Additionally, an external consultant is periodically contracted to evaluate first-year retention and the attributes of admitted students. These processes reasonably ensure that Midshipmen, with appropriate support, are capable of achieving the mission of the Naval Academy. The institution makes every effort to retain admitted students and provides extensive assistance to struggling Midshipmen. The Naval Academy has

¹⁸⁹ [Office of Admissions memo dated 6 Nov 2015.](#)

dedicated and effective remediation programs for both academic and physical education. Should students fall short in either area, they meet with a review board which recommends a path that is tailored to the student's specific needs. The Naval Academy also maintains both honor and conduct remediation programs, should students stumble in either of those areas. Our four-year graduation rates are strong, averaging 86% in the most recent graduating classes.¹⁹⁰

The Naval Academy also tracks the progress of its graduates in the Navy and Marine Corps. The career of every Naval Academy graduate who receives a commission in the Armed Forces of the United States is monitored on a continuous basis from graduation until 6 months after they complete their military service. This includes their service assignment, their duty assignments, their promotion history, their advanced education achievement, their professional milestone accomplishment, and their length of service. In the military, a "career" of service is viewed as one who has completed 20 or more years of commissioned service. In the Navy the first major milestone measured in quest of this goal is retention at 10-years when all obligated service has been completed. For Naval Academy graduates 10-year fleet retention rates have consistently exceeded 50%. At the 20-year mark retention rates consistently exceed 30%. These retention rates far exceed the rates for other commissioning sources as does the attainment of Flag Officer status.¹⁹¹

Standard 9: Student Support Services

The Naval Academy has support services appropriate to student strengths and needs that are reflective of the institution's mission, consistent with student learning expectations, and available to all students (**Fundamental Element 9.1**). As explained in Standard 1, the Naval Academy mission includes three linked components: moral, mental and physical. The moral component is supported by the Chaplain Center,^{192,193} the Character Development and Training (CD&T) program, the Stockdale Center for Ethical Leadership, and the Sexual Assault Prevention and Response¹⁹⁴ (SAPR) program, among other entities. The mental development component is supported by the Center for Academic Excellence,¹⁹⁵ Academic Advising,¹⁹⁶ Midshipmen Development Center^{197,198} (MDC), and other academic support activities such as those discussed in Standard 8. The physical mission is supported by the Physical Education Department, the Sports Injury and Physical Therapy Office, and Brigade Medical.¹⁹⁹ Other support comes through various extracurricular activities and affinity groups^{200,201} as well as programs such as

¹⁹⁰ For DON purposes retention and graduation rates are measured from the beginning of Plebe Summer. Student outcomes provided on the [General \(Consumer\) Information page](#) follow National Center for Educational Statistics reporting guidelines.

¹⁹¹ [Fleet Performance of Naval Academy Graduates](#)

¹⁹² Religious Ministry within the Department of the Navy. [SECNAVINST 1730.7D](#)

¹⁹³ [USNA Chaplain's Center](#).

¹⁹⁴ Sexual Assault Prevention and Response (SAPR) Program. [USNAINST 1752.2G](#)

¹⁹⁵ 1963 [Center for Academic Excellence](#). [ACDEANINST 1531.34B](#)

¹⁹⁶ [Academic Advising Resources](#)

¹⁹⁷ Midshipmen Development Center. [USNAINST 1734.1C](#)

¹⁹⁸ [USNA Midshipmen Development Center](#).

¹⁹⁹ [Naval Health Clinic Annapolis](#).

²⁰⁰ Extracurricular Activities (ECA). [COMDTMIDNINST 1710.14K](#)

the Plebe Sponsor Program.²⁰² There is considerable cooperation between these support services. They are listed above in terms of their primary focus, but many support all three components of the mission. The services listed above are representative of a larger set and there are procedures in place through these various support services to help students prevent and deal with problems or crises which may occur.^{203,204,205,206,207,208} All of these services are available on campus to all students throughout the academic year including the summer. When Midshipmen are away from USNA for summer training, they are able to receive support services from local U.S. Navy and Marine Corps commands to which they are attached.

The various support services are supervised and provided by qualified professionals (**Fundamental Element 9.2**). The Navy has procedures for hiring^{209,210,211} and policies regarding promotions, assignments, and requirements for professional development^{212,213} to ensure to the greatest extent possible that support-service staff have the professional qualifications to provide students with the services needed. An additional related discussion can be found in Standard 5.

As noted above, there are procedures in place to address the varied spectrum of student needs in a manner that is equitable, supportive, and sensitive (**Fundamental Element 9.3**). These procedures are both written and verbally communicated at USNA to ensure Midshipmen understand and know how to access the services available. Information is provided during Plebe Summer briefs, Reform briefs at the beginning of each semester, routine and planned SAPR²¹⁴ and Sexual Harassment and Assault Prevention Education (SHAPE) briefs, as well as Academic Center briefs.²¹⁵ Students may also be identified by faculty and staff and referred to support services. All students are made aware of the availability of chaplain, medical, and mental-health support via their chain-of-command. They can access these services by appointment or as a walk-in.

The Naval Academy has an extensive support system to provide Midshipmen with appropriate academic advising and remedial academic services (**Fundamental Element 9.4**). The Associate Dean for Academic Affairs (ADAA) supervises these functions. Academic Advising (which

²⁰¹ Naval Academy Women's Network. [COMDTMIDNINST 5420.1](#)

²⁰² Plebe Sponsor Program. [COMDTMIDNINST 1531.5R](#)

²⁰³ Procedures and Instructions in Cases of Midshipman Pregnancy/Parenthood/Dependency. [COMDTMIDNINST 1531.2B](#)

²⁰⁴ Brigade Shipmate Designated Driver Initiative. [COMDTMIDNINST 5100.1B CH-1](#)

²⁰⁵ Midshipmen Alcohol and Drug Abuse Prevention and Control. [COMDTMIDNINST 5350.1C CH-1](#)

²⁰⁶ Prevention and Management of Eating Disorders. [COMDTMIDNINST 6100.1A](#).

²⁰⁷ Physical Education Remediation Attendance Policy. [COMDTMIDNINST 6110.3A](#).

²⁰⁸ Honor Remediation Program. [USNAINST 1610.4B](#).

²⁰⁹ Excepted Service Hiring of Faculty and Instructors. [USNAINST 12213.1](#).

²¹⁰ Commander, Navy Installations Command Nonappropriated Fund Personnel Manual Chapter 2 Employment and Placement. [CNICINST 5300.2](#).

²¹¹ [USNA Human Resources](#).

²¹² Professional Naval Chaplaincy. [SECNAVINST 5351.1](#)

²¹³ Health Care Quality Assurance Policies for Operating Forces. [OPNAVINST 6320.7A](#).

²¹⁴ [USNA SAPRO Programs](#).

²¹⁵ [USNA Academic Center Support Programs](#).

includes a significant “whole person” mentoring component) is one of the most important duties for faculty members,²¹⁶ and is overseen by the Director of Academic Advising, who reports to the ADAA. Additionally, a new position (Deputy Director of Academic Advising) has recently been created. Every plebe (freshman) is assigned a faculty advisor²¹⁷ when they initially arrive at the Naval Academy. When they select their major towards the end of their plebe year, they are assigned a new faculty advisor who is within the academic department they have chosen.

Almost all faculty are involved in advising, with the typical faculty member having about 10 advisees, varying with the number of students and faculty members in a department. The faculty have a marked influence on each Midshipman’s course of study at the Academy.^{196,218} They meet with each student at least once a semester to plan their program and discuss concerns or problems. If a student wishes to participate in a special program, such as a summer internship or overseas study, their advisor is usually their first contact for help in coordinating the process. If a student wishes to change their course registration, they must do it through their advisor. The 4-year graduation requirement is a significant driver in the extensive advising program. Each academic program has one faculty member designated as the Senior Advisor who has the responsibility of being particularly well versed on requirements and special programs in order to provide guidance to other faculty and students. To ensure that students do not fall behind, advisors, senior advisors, and the ADAA continuously monitor their progress to make sure they will complete the required courses on time. If a student fails a course, an advisory board provides a plan for recovery. Students identified by their advisor as needing assistance may be referred to the Center for Academic Excellence which provides support programs for all students and is described in more detail in Standard 8. Students in need of physical fitness remediation are flagged by the PE Department.²¹⁹ These students are then contacted, individually counseled, and provided support as necessary.

The athletic program at the Naval Academy is regulated by the same principles, norms, and procedures as other institutional programs (**Fundamental Element 9.5**). USNA athletic programs are primarily overseen by the Director of Athletics who is also the President of the Naval Academy Athletic Association (NAAA),²²⁰ a non-profit corporation tasked with administering the physical mission of USNA. The NAAA has a governing board known as the Board of Control (BOC).²²¹ This board reports directly to the Superintendent, is chaired by the Commandant of Midshipmen, and has members who are USNA faculty and staff and NAAA administrators. There are also two outside members with extensive knowledge of USNA and the Department of Defense. All negotiations, plans, appointments and acts of the NAAA which directly affect the Naval Academy athletic program are subject to the review of the NAAA BOC and ultimately the approval of the Superintendent of the Naval Academy. The BOC meets

²¹⁶ [Faculty Handbook](#).

²¹⁷ Plebe advising instruction. [ACDEANINST 1531.56U](#)

²¹⁸ Academic Advising and Mentoring. [ACDEANINST 1531.39](#)

²¹⁹ Midshipmen Physical Fitness Assessment (PFA) Procedures. [DIRATHINST/COMDTMIDNINST 6110.2](#)

²²⁰ [NAAA website](#).

²²¹ [NAAA BOC Constitution](#).

quarterly²²² but has sub-committees that meet more regularly to study the NAAA's finances, policies and procedures, as well as student-athlete statistics and experiences.

The Naval Academy is a member of the National Collegiate Athletic Association (NCAA) and has 33 varsity athletic teams that compete at the Division I level. Nineteen of these teams compete in the Patriot League (PL), one in the American Athletic Conference (AAC), and the remainder compete under the auspices of other governing bodies. USNA varsity athletics fully comply with all NCAA, PL, AAC, and other oversight body rules and regulations as illustrated by the positive outcomes of regular compliance reviews of USNA performed by these bodies.^{223,224} USNA offers 15 sports at the club level which are government and private-donor funded yet overseen and regulated by the NAAA and the Commandant of Midshipmen.^{225,226} There is a robust intramural athletic program²²⁷ run by the Commandant of Midshipmen in which all students who do not participate in varsity or club athletics must enroll.

The Naval Academy has established, widely disseminated, reasonable, and equitable procedures for addressing student grievances (**Fundamental Element 9.6**). As members of the U.S. Armed Forces, Midshipman grievances are handled via their Midshipmen and officer chains of command.^{228,229} Formal procedures exist to handle grievances at all levels in the chain and also by the Command Climate Specialist who works directly for the Superintendent.²³⁰ Specifically, Midshipmen can choose between using the Informal Resolution System or the Formal Complaint Process. In the former, the Midshipman addresses his or her concerns verbally or in writing to the person demonstrating the offending behavior while in the latter, the Midshipman completes and submits a formal complaint form.²³¹ Complaints and grievances related to faculty members are handled via the academic chain of command.²³² Every attempt is made to settle grievances against faculty members at the lowest possible level. Only when a resolution cannot be effected at one level in the academic chain of command is it forwarded to the next level. This review chain is the Department Chair, the Division Director, the Academic Dean and Provost, and the Superintendent. In certain cases, the Faculty Senate will be called upon to provide important investigatory review and advisory opinions. There are also formal, written procedures for grade grievances.²³³ The grievant first discusses the matter with the instructor. If this discussion does not resolve the issue, or if the grievance comes from a source other than a Midshipman, it is directed to that instructor's immediate supervisor, in most cases the department chair. The handling of the complaint by the supervisor includes the following: (1) strict confidentiality, (2) early notice to the parties involved, (3) timely action, and (4) timely response to the grievant. As

²²² NAAA BOC Meeting Minutes.

²²³ [NCAA Certification Report \(2010\)](#).

²²⁴ [PL Compliance Audit \(2012\)](#).

²²⁵ Club Sports Policies and Procedures. [DIRATHINST 1710.17](#)

²²⁶ Sports Teams and ECA Exemptions and Excusals, sections 2 and 3. [COMDTMIDNNOTE 1710](#)

²²⁷ Brigade of Midshipmen Intramural Sports Program. [COMDTMIDNINST 6100.2B](#)

²²⁸ Brigade Striper Organization and Selection Procedures. [COMDTMIDNINST 1601.12D](#)

²²⁹ [Commandant Organizational Chart](#).

²³⁰ Equal Opportunity Program for the Brigade of Midshipmen. [COMDTMIDNINST 5354.1A](#)

²³¹ Equal Opportunity Program for the Brigade of Midshipmen. [COMDTMIDNINST 5354.1A Encl \(1\)](#)

²³² Complaints Against Faculty Members. [ACDEANINST 1531.63B](#)

²³³ Grades and Reports. [ACDEANINST 1531.60](#)

with complaints, every attempt is made to settle disputes about grades at the lowest possible level. Only when a resolution cannot be effected at one level is it forwarded to the next level in the chain of review. This chain includes the Department Chair, an appropriate and impartial committee appointed by the Faculty Senate, the Academic Dean and Provost, and the Superintendent.

Sexual assault/sexual harassment claims are taken very seriously in the Navy and at the Naval Academy and have a separate, high-visibility program¹⁹⁴ devoted to them. Claims of this nature come in two forms, “unrestricted” and “restricted” (details can be found in the reference), and the guiding policy is

- a. No form of Sexual Assault (SA) is ever acceptable at USNA. The institution must be the visible cornerstone of a values-based naval culture of dignity and mutual respect in which SA is eliminated and never tolerated, where SA victims receive compassionate and coordinated support, and where offenders are held accountable. Every Midshipman and member of faculty and staff share dual responsibilities for their own actions and for protecting each other from harm. Our Core Values demand nothing less.
- b. Combating SA and supporting SA victims are primary responsibilities at every level of civilian and military leadership. Leaders must take every report of SA seriously, they must immediately refer unrestricted cases for criminal investigation and all cases for advocacy services, and they must actively protect SA victims from retaliation or re-victimization.
- c. All SA victims have the unfettered options of Restricted Reporting and Unrestricted Reporting. Either form of reporting is acceptable.

Further, if appropriate, the USNA Human Resources Department (civilian employees) or the Staff Judge Advocate (military employees) are involved in grievance proceedings.^{234,235}

Records of Midshipmen complaints and grievances (**Fundamental Element 9.7**) are housed in the Office of the Commandant and the Office of the Superintendent.²³⁰ Records of complaints and grievances specifically pertaining to academics are maintained by the Academic Dean’s Office or in Academic Departments if the grievance was resolved at that level.^{232,233} The USNA Human Resources Department²³⁴ (civilian employees) and the Staff Judge Advocate²³⁵ (military employees) also retain records if they are involved in a grievance proceeding.

The Naval Academy’s official policy and procedure regarding the safe and secure maintenance of student records (**Fundamental Element 9.8**) complies with the Privacy Act of 1974. The Midshipmen Information System (MIDS), maintained on a secure site on the USNA network, contains Midshipmen academic records, including all grades, course registrations, and class rankings. These records are limited to the information displayed on an academic transcript and do not include Admissions data, advising records, military personnel records, law enforcement records, medical records, or alumni records. They also include any portion of the performance history of a Midshipman that is maintained by the Academy for use by authorized Academy

²³⁴ [USNA Human Resources Policy and Resources.](#)

²³⁵ [USNA Staff Judge Advocate Ethics Information.](#)

personnel and intended to support the non-academic degree progress of the Midshipman such as physical fitness records, honor and conduct records, aptitude records, etc. In addition, it provides schedules for both faculty and students and class lists. Faculty members record attendance and grades in the system, and fill out Midshipmen Assessment of Progress Reports (MAPRS) for students earning low grades or scheduled for an Academic Board. Every person in the USNA community is required to complete annual training on the access and use of this and any other personally identifiable information.^{236,237} In the summer of 2014, the Information Technology Services Division (ITSD) completed a successful Privacy Impact Assessment with the Department of the Navy, which certified that USNA complies with requirements for maintaining the privacy and controlling access to student records.^{238,239} The Naval Academy has a published and implemented policy²⁴⁰ stating that it does not release any Midshipman records to individuals outside the Academy without the express written permission of the Midshipman (**Fundamental Element 9.9**). As part of its responsibilities, the Institutional Review Board ensures that all research studies involving Midshipmen information comply with the requirements of the Privacy Act of 1974.²⁴¹

There is ongoing assessment of the various support services at the Naval Academy and utilization of the assessment results for improvement (**Fundamental Element 9.10**). Some examples include:

- a. The Chaplain Center maintains metrics on pastoral care support provided to freshmen (plebes) during their initial 8-week indoctrination period (Plebe Summer). These data identify trends in various counseling categories, and allow the chaplains to train and prepare for expected issues.²⁴²
- b. The Midshipmen Development Center (MDC) is directed to have an MDC Performance Improvement Committee (PIC).¹⁹⁷ According to the instruction, this committee shall review MDC activities at least three times a year to ensure high-quality service. The MDC Director confirmed that the committee meets as required and has made significant improvements to processes and procedures over the last two years. In addition, the MDC conducts the following to continuously assess and improve their services:
 - Clinical data is collected on every visit and used to track individual clients' progress and aggregated for Center performance analysis.
 - Satisfaction surveys are given to clients and summarized for PIC review.
 - A yard-wide survey (including Midshipmen and faculty) was conducted in 2013 which informed target areas of focused outreach.

²³⁶ Policies Governing Storage of and Access to Academic Information in the MIDS Information System and Related Database Systems. [ACDEANINST 5211.1](#)

²³⁷ Protecting Individuals' Personal Records Under the Privacy Act. [USNAINST 5211.3B](#)

²³⁸ Information Technology and Cybersecurity Standards. [USNAINST 5230.1A](#)

²³⁹ [Privacy Impact Assessment for USNA](#).

²⁴⁰ [USNA Office of the Registrar, Transcripts](#).

²⁴¹ [USNA Human Research Protection Program \(HRPP\), Section XVI - Using Midshipmen and/or Midshipman Candidates as Subjects in Projects](#).

²⁴² [USNA Chaplain Center Counseling and Care Metrics](#).

- c. The USNA Sexual Assault Prevention and Response (SAPR) program is continuously assessed on a number of levels. These assessments lead to corrective actions or changes to the program if necessary.
- An annual Department of Defense (DoD) report evaluates the SAPR programs at all service academies. The most recent report that assessed compliance (from academic program year 2014-2015) found USNA in compliance with all SAPR requirements. The report also assesses corrective actions from previously identified deficiencies; all were completed satisfactorily.²⁴³
 - An annual Department of the Navy (DON) SAPR report is issued each fiscal year.
 - The annual Commandant of Midshipmen Command Climate Survey evaluates effectiveness and perceptions of the SAPR program.
- d. The Class of 1963 Center for Academic Excellence (Academic Center) maintains detailed statistics on usage of the Center.^{244,245} These data show that utilization has increased over recent years. Increased usage does not necessarily guarantee effectiveness, so the Academic Center also conducts an evaluation of each of its programs' effectiveness each year.^{246,247,248} These evaluations include goals achieved and challenges during the previous year, and goals for the current year. This is an effective tool to continuously assess and improve Center offerings. For example, the 2013-2014 tutoring evaluation resulted in making all tutoring walk-in instead of appointment-based to better accommodate student schedules.²⁴⁹ Finally, the Center collects data on the number of Academic Boards held each year. A decreasing trend in recent years supports the effectiveness of the Academic Center's programs.
- e. The Naval Academy Business Services Division (NABSD) supports students with a large number of services on campus, including retail dining establishments, laundry, tailor shop, Midshipmen Store, Visitor Center Gift Shop, etc. NABSD conducts several forms of ongoing assessment throughout the year, including:
- Weekly informal feedback from the student body during the academic year via the Midshipman military chain of command.²⁵⁰
 - Semiannual focus groups of 36-40 students, representing all four classes, to discuss new product ideas and what can be improved.²⁵¹ Examples of successful feedback leading to improvements include investigating the feasibility of a textbook rental program, adding more vegetarian options at restaurants, and improving laundry and barber services.

²⁴³ [Annual Report on Sexual Harassment and Violence at the Military Service Academies: Academic Program year 2014-2015](#), Appendix B.

²⁴⁴ [Academic Center Report Summary](#).

²⁴⁵ [Academic Center Usage 2014 Academic Year](#).

²⁴⁶ [2013-14 Supplemental Instruction](#).

²⁴⁷ [2013-14 Tutoring Topic Reviews](#).

²⁴⁸ [2013-2014 Learning and Reading Skills](#).

²⁴⁹ [2013-14 Tutoring](#).

²⁵⁰ [Weekly Brigade of Midshipmen Feedback Report](#), dated 05 Sept 2014.

²⁵¹ [Midshipmen Review Board of Naval Academy Business Services Division \(NABSD\)](#), dated 17 April 2012.

- NABSD Internal Review conducts assessments of policies and procedures year round and provides reports and recommendations to the Director of NABSD.²⁵²
 - The USNA Command Evaluation office conducts evaluations of policies and procedures, and provides reports and recommendations for improvement to the Superintendent. For example, one review in 2014 resulted in several improvements to student retail dining facilities.²⁵³
 - NABSD is in the process of developing a survey through Institutional Research, as well as Google Survey capabilities for real-time feedback.
- f. Nimitz Library conducts an Annual Status Assessment Report, which evaluates the effectiveness of library programs and identifies areas for improvement.²⁵⁴ Now in its fourth academic year, this assessment has provided a clear baseline of research skills that students are bringing with them to USNA. This information has helped Nimitz Library more precisely target areas of weakness for skill improvement. The study has relied for continuity on a partnership with the Political Science Department and the required FP130 American Government and Constitutional Development course. That partnership includes an instructional session conducted by a referenced librarian which introduces students to relevant information sources and their effective use. Class instruction of this sort as well as one-on-one instruction is a bedrock library service.

Working Group F

Working Group F was chartered to examine the following standards:

- Standard 11: Educational Offerings
- Standard 12: General Education
- Standard 13: Related Educational Offerings

The Naval Academy asserts compliance with all three of these standards but has identified one specific Recommendation and a Suggestion in Standard 11 for further action.

Standard 11: Educational Offerings

The Naval Academy's educational offerings strongly emphasize the characteristics expected of our graduates as Navy ensigns and Marine Corps second lieutenants. They must be technically competent, culturally aware individuals capable of leading Sailors and Marines. The offerings also reflect the statutory requirement that the Naval Academy grant every graduate a Bachelor of Science degree. The majors program reflects the breadth of knowledge expected of Navy and Marine Corps officers, as well as the depth and rigor necessary to develop their abilities to think critically.

²⁵² [NABSD Internal Review Office FY14 Assessment Of Cobbler Shop.](#)

²⁵³ [NABSD Retail Dining Review](#), dated 23 Sept 2014.

²⁵⁴ [Nimitz Library AY2014 Department/Program Annual Status Assessment Report, dated 13 June 2014.](#)

The academic program is focused on science, technology, engineering, and mathematics (STEM), in order to meet the current and future highly technical needs of the Navy and Marine Corps (**Fundamental Element 11.1**). Graduates who are proficient in scientific inquiry, logical reasoning, and problem solving provide an officer corps ready to lead in each warfare community of the Navy and Marine Corps, regardless of academic major. The academic program also provides students with a strong foundation in humanities and cultures, preparing them to be leaders in a complex, global world.²⁵⁵ The educational offerings support twenty-five academic majors across engineering, mathematics, natural science, computer science, social sciences, humanities, languages and cyber operations; and seven language minors. While the Midshipmen are allowed to choose their majors, the needs of the Naval Service take precedence. USNA's guidance from the Deputy Chief of Naval Operations (Manpower, Personnel, Training and Education) requires that at least 65% of those graduates commissioned into the Navy must complete academic majors in STEM disciplines.²⁵⁶ Upon graduation, a Bachelor of Science degree (**Fundamental Element 11.2**) is awarded regardless of major²⁵⁷ due to the technical content of the core curriculum (discussed in more detail in Standard 12).

The core curriculum is well integrated with each academic major to provide a coherent student learning experience and promote synthesis of learning. Roughly 40-50 of the total 140 semester hours in the academic program are in the major, and the rest are in the core.²⁵⁸ The core curriculum provides the basis of each student's learning experience, and includes calculus, chemistry, physics, English, history, political science, engineering, cyber security and naval professional courses (seamanship, navigation, leadership and ethics, military law). These courses foster critical thinking, communication and analysis skills necessary for the majors programs. Some variation in core course requirements is also utilized to provide additional support to each student's major. For example, engineering majors take a differential equations course after the three-course calculus sequence, while humanities and social science majors take a probability and statistics course instead. Humanities and social sciences majors are required to complete or validate two years of a foreign language.

The various majors programs provide Midshipmen with an in-depth exposure to a particular academic discipline. Each major curriculum includes a capstone or research project – a culminating educational experience in which students synthesize their general and discipline-specific learning in a research or design project appropriate to their major.

The goals of each program are stated in terms of student learning outcomes (**Fundamental Element 11.3**). The Faculty Senate Assessment Committee is tasked with creating and monitoring an overall framework and timetable for the academic assessment at the Naval Academy.²⁵⁹ Each year, assessment reports from each major program are collected and reviewed. The requirements for the reports are delineated in an annual memorandum sent to

²⁵⁵ [Navy's Language, Regional Expertise and Culture \(LREC\) Program](#).

²⁵⁶ Deputy CNO Memo, [Academic Major Policy for Scholarship Midshipmen](#), paragraph 2.

²⁵⁷ [Title 10, United States Code, Section 6967](#).

²⁵⁸ [Core Curriculum](#)

²⁵⁹ USNA Academic Assessment Process. [ACDEANINST 5400.1A](#), paragraph 4.c.

each program,²⁶⁰ and include an assessment rubric that clearly sets the institutional expectations for program learning outcomes. These expectations are learning outcomes that are (1) student centered statements of what students will know or be able to do, (2) primarily focused on higher order thinking skills, and (3) of sufficient number to cover essential learning in the program. The AY2015 Annual Assessment Reports²⁶¹ show that all academic departments have established student learning based outcomes that meet these expectations and departmental and programmatic outcomes are available on-line.²⁶²

Within each program, student centered learning outcomes are clearly stated at the course level in course syllabi (**Fundamental Element 11.12**), as required in the instruction “Course Policy and Syllabus Content.”²⁶³ The institution is working toward and is close to full compliance with this requirement across all courses. An audit of all sections of courses offered in spring 2015 found that 86% of syllabi and course policies contained learning outcomes while an audit this fall (AY16) found 95% in compliance.

There is periodic assessment of student learning and program outcomes relative to the goals and objectives of the undergraduate programs, and the assessment results are used to improve student learning and program effectiveness (**Fundamental Element 11.13**). Written directions are provided for the assessment of the undergraduate programs.²⁵⁹ In particular, section 5 of the directions states, “The Academic Dean and Provost shall promulgate an annual Academic Dean and Provost Notice (ACDEANNOTE) with specific guidelines for the annual reporting process. As an example, the memo from 2015²⁶⁰ provided division directors, department chairs, and program directors with direction to assist them with defining program learning outcomes and curricular maps.

In 2012-2013, all but one of the departments submitted assessment reports of their majors program. There is, however, a wide variety of how the departments are performing their assessments. Approximately 2/3 assessed learning outcomes, and 3/4 used direct assessments of student learning, indicated future actions, and reported actions from previous assessments. These numbers indicate good progress in assessment and we will strive to further improve them.

As can be seen in the table below, for the 2014-15 academic year, all academic departments submitted assessment reports. The majority of departmental assessments focused on achievement of learning outcomes (78%), used direct methods to assess (collection or observation of student work) student learning (83%), and indicated future actions (when warranted) as a result of their assessment activities (94%). Similarly, within departments that support the core, the majority of core course assessments focused on achievement of learning outcomes (73%), used direct methods to assess (collection or observation of student work) student learning (93%), and all indicated future actions (when warranted) as a result of their assessment activities (100%).²⁶⁴

²⁶⁰ [Memorandum AY2015 Annual Assessment Reports](#)

²⁶¹ [2015 Faculty Senate Assessment Reports](#) (all prior year reports available from ADPA, if desired).

²⁶² [Program/Department Learning Outcomes](#)

²⁶³ Course Policy and Syllabus Content. [ACDEANINST 1531.82, paragraph 3.a.](#)

²⁶⁴ [Assessment Status Table for 2014-15 Reports](#)

The number of departments directly assessing student learning outcomes and making changes to improve learning, based on what they learn and when appropriate, has been increasing steadily. Departments with nascent assessment practices have dedicated resources to developing robust programs and the members of the Faculty Senate Assessment Committee are equally committed to supporting and assisting departments in this area.

	Assessment Report Submitted	Learning Outcomes Assessed	DIRECT assessment of student learning included.	Future actions identified, as a result of assessment activities.	Actions as a result of previous assessment activities
USNA Core 2012-13	71%	29%	50%	57%	57%
USNA Core 2014-15	100%	73%	93%	100%	100%
USNA Departments with majors/minors 2012-13	94%	65%	76%	76%	76%
USNA Departments with majors/minors 2014-15	100%	78%	83%	94%	94%
USNA All 2012-13	84%	48%	65%	68%	68%
USNA All 2014-15	100%	78%	88%	97%	97%

The findings from the assessment are being used for program improvement and refinement of program and course outcomes. Some examples follow:

- In 2014, the Chemistry major had 6 learning outcomes.²⁶⁵ There were indications from faculty and a student focus group that two of the learning outcomes needed to be better addressed in the curriculum. They were: “Practice and justify the professional and ethical standards of chemists,” and “Describe the relevance of chemistry to the Navy and to current and historical national/world events.” As a result, the chemistry faculty are addressing the first of these outcomes in their integrated laboratory, and are identifying places in the curriculum where they can best address the second.

²⁶⁵ [Chemistry Program Assessment Report 2014.](#)

- Responding to feedback from the 2012 ABET visit, as well as input from faculty, visiting committees, and alumni, the Naval Architecture/Ocean Engineering department determined that a greater focus on marine engineering was required in the Naval Architecture major.²⁶⁶ A new required course was created (EN431) and aspects of three other courses were modified to further address topics in marine engineering. The addition of this material led the department to change the name of the major to Naval Architecture and Marine Engineering.
- Using assessment data from focus groups of graduating seniors, surveys of faculty, and measurements of student learning, the English Department identified weaknesses in the current gateway courses (HE217-218) to the English major. In response, the department designed a new gateway course, HE242: Methods of Literary Study, and piloted it for two years.²⁶⁷ Assessment of the new course has been so promising that the department is in the process of not just adopting it formally but also redesigning the major around it.

As alluded to above, assessment of programs and program outcomes also includes reviews by groups external to the Naval Academy. A regular program to support visiting committees has existed since the early 1990s. This program provides an opportunity for internal evaluation, outside review, and feedback.²⁶⁸ Each department prepares a self-study document and hosts a visiting committee once within each five-year cycle (in addition to visits from disciplinary accreditors such as ABET and the American Chemical Society (ACS)). A typical visiting committee consists of three individuals chosen from a group nominated by the department, and approved by the Academic Dean and Provost, for their particular expertise and prospective contributions to the department and discipline(s) being reviewed. One objective of these program reviews is to determine if programs are of sufficient content, breadth and depth, and conducted at appropriate levels of rigor.

The majors programs within the Division of Engineering and Weapons, the Computer Science major, and the Information Technology major are all accredited through the ABET.²⁶⁹ The most recent ABET review cycle was conducted in 2012 and all programs were found to be in compliance with the ABET criteria. The Chemistry program is accredited by the ACS.²⁷⁰ The last ACS periodic review, conducted in 2011, determined that the program meets the guidelines set by the ACS and will continue as an ACS approved program.

There are clear written processes for evaluation of the effectiveness of the curricular programs described above,^{259,260,271,272} and, as noted, these are used for improving student development programs and enabling students to understand their own educational progress (**Fundamental Element 11.4**). In addition to the curricular activities, there is also periodic evaluation of co-curricular activities that the institution provides its students. As defined here, co-curricular

²⁶⁶ [Naval Architecture/Ocean Engineering Assessment Report 2014.](#)

²⁶⁷ [English Annual Assessment Report 2014.](#)

²⁶⁸ Periodic Program Review and Visiting Committees. [ACDEANINST 5420.29H](#)

²⁶⁹ [ABET Accreditation Policy and Procedures Manual](#)

²⁷⁰ [ACS Guidelines for Evaluations Procedures for Bachelor's Degree Programs](#)

²⁷¹ Responsibilities and Duties of the Academy Effectiveness Board. [USNAINST 5420.36A](#)

²⁷² Acceptable Standards of Written Communication. [ACDEANINST 1531.6F](#)

activities fulfill mandatory, but non-academic credit graduation requirements for Naval Academy Midshipmen, while extra-curricular activities are of a more recreational nature and do not fulfill graduation requirements. Hence, co-curricular activities are considered part of student learning in the context of this standard, while extra-curricular activities are not. Not all Midshipmen participate in each co-curricular activity, as different programs can be used to fulfill their individual training requirements. Summer training is an example of a co-curricular program that includes fleet cruises and the Marine Corps Leatherneck program.²⁷³

Accompanying these programs are Midshipmen Qualification Standards (MQS), which Midshipmen complete and are used to further their professional development over the course of their four years at the Naval Academy. The Character, Development and Training (CD&T) Division oversees this program, which includes periodic examinations. Although examination feedback is not given to individual Midshipmen unless they have failed, the requirements of the training are clear and the Midshipmen can see and understand their progress as they work through the standards. There is an evaluation of the MQS examination results by CD&T that leads to process improvement. Summer training surveys are provided to the Midshipmen to gather lessons learned on the effectiveness of Summer Cruise and Professional Training Events and those surveys are used to shape future summer training efforts.

To support the educational programs, the Naval Academy has adequate learning resources, facilities, instructional equipment, and library services (**Fundamental Element 11.5**). However, as discussed below, there is a shortfall in professional library staff. Midshipmen have access to 62,097 unique journal titles, and the overwhelming majority of these are available online through Nimitz Library. Nimitz physically holds or provides online access to approximately 980,000 non-journal titles (including print books, electronic books, government documents and DVDs). Nimitz Library provides state-of-the-art access to these materials. Whether in traditional print, on-demand video or electronic journal articles, one product (Summon) identifies resources by searching Nimitz holdings in a Google-like fashion. Another software product (a “link resolver”) connects the user to the found item across our approximately 200 databases.

Many Midshipmen use the library space. Typically Nimitz Library is open seven days a week, with late evening hours Sunday through Thursday (Saturday hours were reduced due to staffing shortages). Reference assistance is available every day of the week except Saturday. In a typical month during the 2014 academic year, there were 25-35,000 visits to Nimitz Library, with 500 reference interactions.²⁷⁴ Other monthly figures include 4,700 physical items checked out and 27,000 articles downloaded. There are 911 individual patron seats (free standing or at computers and work tables) in Nimitz Library. For faculty needing off-site access to Nimitz Library’s databases, USNA’s intranet supports an associated virtual private network (VPN) capability. Resources are also available through interlibrary loan, which students, faculty and staff can use to electronically request and receive books and articles not owned by Nimitz Library. In 2011-2012, approximately 3,000 books and articles were obtained through interlibrary loan.

²⁷³ [USNA Marines Leatherneck](#)

²⁷⁴ [Additional Library Metrics](#)

Instruction in the use of library resources to complete course assignments is an important function of reference librarians and is the focus of an ongoing assessment effort in response to ACDEANINST 5400.1A.²⁵⁹ In addition, FP130 American Government and Constitutional Development (a required core course) includes a dedicated library resource class meeting and assessment of student understanding of library resources as part of class research writing projects.

Nimitz Library is allocated 32.2 staff positions, currently 26.2 staff positions including 15 librarians positions are filled and, as of October 2015, Nimitz Library had extended formal offers to fill three of the open positions. Library staffing support and services reflect the academic library of circa 2000. As the library manning has been reduced (described in detail as a Recommendation in Standard 3), Nimitz Library has lagged behind evolving academic library norms, e.g., in collection preservation, digitization of special collections, chat and/or SMS reference service, developing a system to archive born digital records (including course catalogs), creating an institutional repository, research data set curation, exploiting social media, creation of online instructional modules, compliance with ADA standards.

The facility's space allocations, furnishings, and design reflect its 1973 creation more than a modern academic library with contemporary learning commons environment integrating creation/presentation technologies; user assistance in writing, information access, graphics; collaborative study spaces; library classrooms designed for active learning; and furniture flexible enough to meet situational needs. Building systems (e.g., fire suppression, HVAC, wiring systems (power), modern windows, restroom capacity, plumbing infrastructure, etc.) have exceeded or are approaching their expected life cycle. *Accordingly, we offer the observation and accompanying Recommendation that the Nimitz Library facilities are in need of modernization and renovation and should be addressed as soon as practicable.*

All Midshipmen are issued laptop computers preloaded with necessary software (Microsoft Office, etc.). The institution also has site licenses for many additional software packages²⁷⁵ which students may load onto their computers as needed. There is extensive wireless network coverage available on campus for use by the students and they have hard wired access in their dorm rooms in Bancroft Hall. Computer training and maintenance/repair services are available, as needed, to Midshipmen.

The physical education program at the Academy, which is one third of the overall mission of our institution, is crucial to our students' development. The required program includes wrestling/boxing, three semesters of swimming, personal conditioning, and two semesters of martial arts. These subjects are taught by experts in the field (swimming is taught by the varsity coaches, boxing by the intercollegiate coach, etc.), which is critical for the enhanced physical education needed of the Midshipmen. In their senior year, Midshipmen can choose between golf, tennis, racquetball, squash, weightlifting, martial arts III, gymnastics, kayaking, volleyball, triathlon, climbing (advanced/intro), first aid, water polo, and swim conditioning.²⁷⁶

²⁷⁵ [Information Technology Service Center intranet website](#)

²⁷⁶ [Summary of Athletic Facilities](#)

To support physical education, USNA operates the recently renovated Lejeune Hall with an Olympic-sized pool/diving facility, and rooms for wrestling/martial arts. Macdonough Hall houses boxing as well as many other activities such as water polo, racquetball, volleyball, etc. Ricketts Hall has one of the finest weight rooms in the country.

Similar to Nimitz Library, the physical education support is excellent, but there have been staffing shortfalls in recent years. The Physical Education Department has lost 8 positions since 1999, stretching the limits of faculty that are currently there. The elective courses have gone from 18 students per section to 25 per section. There is also some concern as to the long term impact of the recent move away from tenure track hiring within the Physical Education Department and its effect on the quality of the education provided by the department. Based on this concern, we offer the Suggestion that the Naval Academy should assess the consequences of its newly adopted faculty model in Physical Education.

There is good collaboration between the professional library staff and others described above with faculty and administrators in fostering information literacy and technological competency across the curriculum (**Fundamental Element 11.6**). The library session in FP130 American Government and Constitutional Development mentioned above is one example. It is also a good example of a program that promotes student use of a variety of information and learning resources (**Fundamental Element 11.7**). In addition, each academic department has a designated library representative who works with the Library's Head of Reference and Instruction to enhance faculty-library liaison.²⁷⁷ The Center for Academic Excellence,²⁷⁸ described more fully in Standards 9 and 13, provides multiple programs as learning resources for all students. As with the Nimitz Library, there is good collaboration with the faculty to promote these resources to students, particularly through the advising of new students.^{279,280}

Technology competency in the classroom is supported by the Instructional Development and Support Center (IDSC), which develops and conducts workshops on new and emerging educational technology and software teaching pedagogy, conducts on-demand training and consultation sessions, and consults with faculty and staff on a variety of instructional design and development projects. An average of 39 group workshops were conducted each semester in 2013-2014, and a total of 347 faculty and staff members attended these workshops. The Multimedia Support Center (MSC) loans video equipment; installs, services and troubleshoots in-class audiovisual display equipment; maintains a Video Teleconferencing facility; facilitates video-on-demand; and staffs a self-help Graphics Technology Lab with full design/presentation services and instruction to the Naval Academy community. In support of the larger USNA mission, the MSC is responsible for video production support covering graduations and speaker series. The Faculty Senate Academic Information Resources Committee advises the Senate,

²⁷⁷ Policies Governing the Operation of the Nimitz Library. [ACDEANINST 5070.1D](#)

²⁷⁸ 1963 [Center for Academic Excellence](#). [ACDEANINST 1531.34B](#)

²⁷⁹ Academic Advising and Mentoring. [ACDEANINST 1531.39](#)

²⁸⁰ [Plebe Advising Handbook and Resources](#)

Nimitz Library, MSC, and Information Technology Services Division on matters concerning Nimitz Library, computers, other educational technology, and institutional research.²⁸¹

Educational activity at the Naval Academy primarily occurs on campus with faculty members present. All students spend four years at USNA, regardless of their prior academic accomplishments. Due to legally mandated age restrictions, these students come to USNA directly from high school or within a few years of high school graduation (often from a preparatory school or as enlisted from the fleet).²⁸² Issues regarding remote teaching locations or alternate delivery modes, accelerated degree programs, or “adult learners” (**Fundamental Elements 11.8, 11.10, and 11.11**) are not applicable to the Naval Academy.

While students may not graduate from the Naval Academy early, transfer credit from other institutions is allowed, and provides students the opportunity to take additional courses at USNA beyond those required in their major. The policies for transfer credit are published, fair, consistently applied, publicly communicated, and directly tied to equivalency with USNA courses and their learning outcomes (**Fundamental Element 11.9**). The Naval Academy transfer credit policy is located on the Academic Dean’s website.²⁸³ The transfer credit is determined by the academic department in which the course is offered, and a table is provided on the website for the respective departmental policies. Transfer credits typically apply to Midshipmen with previous college-level coursework or to those engaged in one-semester U.S. Service Academy Exchange or Semester Study Abroad programs. For Midshipmen participating in the Semester Study Abroad or Service Academy Exchange programs, cognizant departments are required to review courses and make decisions regarding transfer credits per the appropriate documents.^{284,285} Course equivalencies determined through prior review are available as guidelines for Midshipmen and faculty.^{286,287}

Standard 12: General Education

The general education component of the USNA curriculum is termed the “core curriculum.” Unique to USNA, this very standardized general education program offers a strong focus on engineering and the natural sciences and develops within Midshipmen the intellectual skills necessary to serve in any warfare specialty in the Navy or Marine Corps.

All students that graduate from the Naval Academy receive a Bachelor of Science degree. The underlying core curriculum consists of approximately 90 credit hours of coursework in Science and Engineering (~50 semester hours), Humanities and Social Science (~24 semester hours), and Professional Development (~18 semester hours in Seamanship and Navigation, Ethics, and

²⁸¹ [Faculty Senate Bylaws](#)

²⁸² [Title 10, United States Code, Chapter 603, Section 6958.](#)

²⁸³ [USNA Course Transfer Credit/Validation Policy](#)

²⁸⁴ Semester Study Abroad Program. [ACDEANINST 5700.2C, paragraph 5.c.](#)

²⁸⁵ Service Academy Exchange Program. [USNAINST 1531.34C, paragraph 4.b.](#)

²⁸⁶ [Service Academy Exchange Program Course Equivalents](#)

²⁸⁷ [International Programs Office Semester Study Abroad Course Validation intranet site](#)

Leadership based on a social science foundation)²⁸⁸ (**Fundamental Element 12.1**). The core represents roughly two-thirds of the coursework that students take. Students normally take the same courses during their first year at USNA. This common academic year is the foundation of the core curriculum and includes 35 semester hours of courses that are all part of the general education program.²⁸⁹

While much of the core curriculum is intended to provide Midshipmen with specific skills and abilities needed in the Marine Corps and Navy upon graduation (e.g. calculus and physics for humanities majors, or navigation for all majors), many core curriculum courses are also foundational for in-depth studies within each Midshipman's academic major (**Fundamental Element 12.2**). Skills and abilities acquired in the core curriculum are applied in all majors, although the specific core skills and abilities applied vary by discipline.

Courses are required to include writing that “demonstrates critical thinking and/or problem solving” in disciplinary-appropriate forms.²⁹⁰ In addition, each major, as appropriate, is required to incorporate a “Capstone Writing Requirement” consisting of a substantial written paper, project, or design report as part of a course in the major. The Capstone Writing Requirement also is normally expected to include an oral presentation, incorporating application of acquired oral communication skills. The writing in these courses build upon two core courses, HE111/112 Rhetoric and Intro to Literature I/II, which develop writing and reading skills, as well as critical thinking abilities used in all majors. The following is a partial but representative list of how other core courses are applied in the majors' curricula. A more detailed mapping of core courses to six representative majors (Mechanical Engineering, Electrical Engineering, Physics, Oceanography, Political Science, History) is also available.²⁹¹

- SM121/122/221 Calculus I/II/III. Foundational mathematics courses applicable to all engineering and scientific majors.
- SM219 Intro to Probability and Statistics. Foundational mathematics course directly used in Social Science majors (economics and political science).
- HH104/215/216 Naval History, Pre-modern History, and Western Civilization. Directly relevant to history and other humanities/social science majors. Develops critical reading, writing, and communications skills useful in all majors.
- SC111/112 Foundations of Chemistry I/II. Directly applicable for engineering and science majors.
- SP211/212 General Physics I/II. Calculus-based physics skills are directly applicable for all engineering and science majors.
- SI110 Intro to Cyber Security. Provides basic cyber defense skills directly relevant to a broad range of science and engineering majors (electrical, computer engineering; information technology, computer science, cyber operations). Also useful in some social science majors (economics, political science).

²⁸⁸ [Core Curriculum](#)

²⁸⁹ [Course Requirements](#)

²⁹⁰ Acceptable Standards of Written Communication. [ACDEANINST 1531.6F](#)

²⁹¹ [Representative Majors with Core Prerequisites document \(adapted from MIDS major requirement matrices\)](#).

The USNA core curriculum includes an extensive emphasis on values, ethics, and diverse perspectives (**Fundamental Element 12.3**). This includes the general development of personal character and integrity common to all undergraduate programs but also pays particular attention to the ethical issues unique to future officers of the Navy and Marine Corps. The courses involved provide a wide array of perspectives and thought development. They are supported by a myriad of mandatory and optional activities. The following core courses are directly relevant to values, ethics, and presentation of diverse perspectives and are required of all Midshipmen, regardless of major:

- HE111/112 Rhetoric and Introduction to Literature I/II
- FP130 U.S. Government and Constitutional Development
- HH104 American Naval History
- NL110 Preparing to Lead
- NE203 Ethics and Moral Reasoning for the Naval Leader
- HH215/215A/215M The West (215), Asia (215A) or Middle East (215M) in the Premodern World (one of these three courses is required)
- HH216 The West in the Modern World
- NL310 Leadership: Theory and Applications
- NL400 Law for the Junior Officer

All Midshipmen, regardless of major, are also required to take two Humanities and Social Science electives. These consist of one introductory-to-advanced (200/300/400-level) course and one advanced (300/400-level) course in foreign languages, history, English, political science, economics, sociology, anthropology, psychology or philosophy. These provide every Midshipman with exposure to courses beyond the core curriculum that incorporate values, ethics, and diverse perspectives. Selected examples include:

- FA350 Window on Arabic Culture
- FP311 Ethics and International Relations
- HE355 Topics in Multi-Ethnic Literature
- HH331 Art and Ideas in Modern Europe
- FE315 Economics of Developing Nations
- NP232 Military Ethics: The Code of the Warrior
- NP335 Comparative Study of Religion

Extensive ungraded activities (both required and optional) incorporate values, ethics, and diverse perspectives. These include:

- Forrestal Lectures from various Government, Business, Entertainment and Military leaders (several each semester). Attendance is mandatory for all Midshipmen.
- Stockdale Center for Ethical Leadership:
 - Hosts the Moral Courage and Stutt Memorial Lectures concentrating on Moral Leadership.
 - Hosts the McCain Conference, which is a forum for discussion of various ethical challenges.
- Naval Academy Foreign Affairs Conference (every spring semester).
- Naval Academy Leadership Conference (every spring semester).

- The Center for Regional Studies provides a wide array of lectures on different aspects of culture (Africa, Asia, Eurasia, Latin America and Middle East) (20 speakers in AY2014-15).
- 1/C Character Capstone Seminar (run by the Character Development and Training Department) is a graduation requirement. This program is a one day seminar discussing the need for an effective leader to possess strong character. Diverse perspectives are supported by the use of external moderators from business and alumni groups. Exercises are led by faculty and guest speakers. These include ethical case studies and junior officer/senior enlisted leader forums.
- Summer Cruise professional training options include foreign cultural immersion opportunities: Language, Regional Expertise and Cultures (LREC) Program, Language Study Abroad Program (LSAP), and Foreign Navy Exchange (FOREX) Program. These are coordinated by the International Programs Office (IPO).
- USNA hosts a large number of foreign students. This includes international Midshipmen (limited to no more than 60 at any one time), who take the full 4-year USNA program and receive USNA degrees, and semester exchange foreign Midshipmen and cadets (typically about 16 at any one time), who study here for an academic semester as part of a reciprocal exchange with their counterpart academy.
- USNA provides qualified Midshipmen the opportunity to study abroad for a semester at a foreign Naval Academy or civilian university (Semester Study Abroad Program).

As mentioned above, oral and written communication skills along with scientific and quantitative reasoning and technological competency are necessary attributes of all Naval Academy graduates. The need for these qualities is written into the Strategic Plan and other governing documents (see Standard 1), and is ensured by the core curriculum (**Fundamental Element 12.4**). Department chairs are charged with ensuring that all course objectives are consistent with achieving the mission of the Naval Academy.²⁹² Additionally, the culminating (often referred to as a capstone) project demonstrates each Midshipman's proficiency in oral and written communication, and discipline-specific competencies. Confirming that all graduates are proficient in communication and discipline-specific skills is also a significant part of periodic external reviews of each academic major²⁹³ (described in Standard 11) and accreditation of some majors by ABET and the American Chemical Society (also described in Standard 11).

The requirements of the core curriculum are well known and readily available within the Naval Academy through the internal Midshipman Information System (MIDS) which is available to all current Midshipmen, faculty and staff. The core curriculum is also available on the externally-accessible general (consumer) information website²⁹⁴ (**Fundamental Element 12.5**). The core outcomes are assessed annually as part of the Naval Academy's overall plan for assessing student learning, and the assessment results are used for curricular improvement (as discussed in Standard 14) (**Fundamental Element 12.6**).²⁹⁵ Each department that has a course in the core

²⁹² Administration of Academic Programs. [ACDEANINST 1531.58](#)

²⁹³ Periodic Program Review and Visiting Committees. [ACDEANINST 5420.29H Sec. 4. part b](#)

²⁹⁴ [USNA General \(Consumer\) Information](#)

²⁹⁵ United States Naval Academy Academic Assessment Process. [ACDEANINST 5400.1A](#) Sec. 4, part a.

curriculum provides an assessment report based on the learning outcomes defined for that course.²⁹⁶

For the core as a whole, a “Core Learning Outcome Task Force” was created in the fall of 2013 to articulate the overarching learning outcomes of the core curriculum.²⁹⁷ This task force included input from officers in the fleet.²⁹⁸ Following this Task Force’s efforts, five representatives from the Naval Academy applied, and were selected to attend a workshop by the AAC&U General Education & Assessment Institute in June 2014. Based on their experience at the workshop and utilizing the results of the Task Force, a set of the core learning outcomes, with nine elements, was approved in February 2015 and mapped to the learning outcomes identified by MSCHE in the Characteristics of Excellence.²⁹⁹ The following list of overarching core learning outcomes was developed:

- apply leadership skills;
- reason morally and ethically;
- apply principles of naval science and the profession of arms;
- solve technical problems;
- communicate effectively;
- critically reason;
- understand American heritage;
- interpret past and current world events; and
- demonstrate intellectual curiosity.

Each core course also has its own defined learning outcomes²⁹⁶ that are mapped to the overarching core learning outcomes, the Seven Attributes of a Graduate, and outcomes defined by Middle States.³⁰⁰

Assessment of learning is ongoing at the course level, and plans to assess the overarching outcomes continue to be developed. As found in their annual assessment reports,²⁹⁶ departments with core courses are already using assessment practices to improve the individual courses. Some examples are:

- In 2012, the Mathematics department tracked the performance of students who would have normally been placed in SM121A (Calculus I with an extra lecture hour that was supposed to be an aid for the students), but were instead placed in SM121 (a normal section of Calculus I). Based on common final exam scores, the assessment data indicated that there were no identifiable benefits for students in SM121A; therefore, they eliminated the course.³⁰¹

²⁹⁶ [2015 Faculty Senate Assessment Reports](#) (all prior year reports available from ADPA, if desired).

²⁹⁷ [Core Learning Outcomes Taskforce Presentation to Faculty Senate](#)

²⁹⁸ [Core Learning Outcome Task Force: Focus Group of Officers](#)

²⁹⁹ [United States Naval Academy Core Learning Outcomes](#)

³⁰⁰ [Core Curriculum Map](#)

³⁰¹ [Annual Mathematics Assessment Report 2013](#), page 1.

- The History department has three courses in the core. Over a two-year period, the department asked the instructors to rate a sample of students in five key learning outcomes. They found a consistent deficiency in Professional Competence that includes three major areas: Operational Art, Tactics, and Logistics. The department came to the conclusion that rather than trying to cover all five learning outcomes in all three courses, each course should focus on three outcomes. All courses address two of the outcomes (Historical and Communication Competence), the freshmen-level course (HH104) will try to improve the Professional Competence, while the sophomore-level courses, HH215 and HH216, will focus on Cultural Competence and Geopolitical Competence, respectively.³⁰²
- Responding to institutional guidance emphasizing the importance of recognizing and combatting sexual assault/harassment, the Leadership, Ethics, and Law department conducted two experimental sections of the core course NL110 (Preparing to Lead) for freshmen. The major changes in the experimental sections added scenarios and case studies on civility, and replaced several lessons on basic principles of leadership with lessons on culture, socialization, bias, emotional intelligence and relationships. Following an assessment of the final exam, comparing answers from the “standard” sections with those of the experimental sections, the senior LEL faculty concluded that with only a 2-credit course, they could not provide sufficient understanding for both basic understanding of leadership principles and a deeper course on the social-psychological principles underlying human interactions, although the faculty realizes that the latter has great value. Therefore, the faculty will integrate a smaller amount of the material from the experimental sections into the standard course, without sacrificing the core intellectual and leadership tools that the course is designed to provide.³⁰³

Standard 13: Educational Activities

Standard 13 covers a wide range of activities at USNA. The Naval Academy’s mission – to develop Midshipmen morally, mentally, and physically – guides the institution in providing these other educational activities. Many of the Standard 13 elements – certificate programs (**Fundamental Elements 13.4 – 13.8**), distance learning (**Fundamental Elements 13.23 – 13.34**), experiential learning (**Fundamental Elements 13.9 – 13.14**) – are not applicable to the Naval Academy. Other elements reflect particular areas of institutional emphasis (under-prepared student support, non-credit programs to prepare Midshipmen for their future roles as Navy and Marine Corps officers, and international programs).

The Naval Academy has systematic procedures in place for identifying students who are not fully prepared for college level study (**Fundamental Element 13.1**), referring them to relevant courses and support services for assistance (**Fundamental Element 13.2**) and providing this assistance. The Naval Academy admits relatively few candidates who are not fully prepared for college level study. Some applicants who are assessed to have high potential for success as

³⁰² [Annual History Assessment Report 2014](#), page 3.

³⁰³ [Annual Leadership, Ethics, Law \(LEL\) Assessment Report 2014](#), pages 4-5.

Navy and Marine Corps officers, but are not fully prepared for Naval Academy study, are given the opportunity to attend the Naval Academy Preparatory School (NAPS) in Newport, Rhode Island or a civilian preparatory school (often through the Foundation Program³⁰⁴ of privately administered schools which serve a similar role as NAPS) for one year. Upon successful completion of one of these programs, these students are better prepared to begin study at USNA. A few students, however, are admitted to the Naval Academy each year that are subsequently discovered to be in some way underprepared. Programs to assist these Midshipmen in achieving academic success were first established in 1989 and are administered by the Class of 1963 Center for Academic Excellence (CAE). The process for identifying at-risk Midshipmen has recently been revised. The Academic Dean's office hired a Deputy Director of Academic Advising (DDAA) in August 2015 to assist the Director of Academic Advising (DAA). The DDAA coordinates freshman academic advising, including collecting and analyzing academic background information and coordinating class placement. Using collected data (including but not limited to SAT scores, placement exams, and high school performance), the DDAA also has the responsibilities of identifying and tracking freshmen who would benefit from special advising within a freshman academic supplementary assistance and mentoring program. The DDAA ensures they have ample access to academic advising resources and are enrolled in appropriate study skills and supplemental instruction courses. The DDAA also advises international students and serves as the academic point of contact for Midshipmen studying abroad, to ensure courses taken while studying abroad receive academic credit at USNA.

All Midshipmen are expected to achieve an acceptable standard of written and oral communication. If a faculty member identifies a Midshipman who is seriously deficient in writing, that Midshipman is referred to the Director of the Writing Center who develops a plan designed to improve writing skills and requires the Midshipman to implement the plan.³⁰⁵ The Writing Center and the other supplemental help mentioned above are generally available to all students, not just those specifically identified as "at-risk," and are described in more detail in Standard 9.

At the end of each semester, those students with unsatisfactory performance are reviewed by the Academic Board to determine whether they should be allowed to remain at the Naval Academy. The Academic Board consists of the Superintendent, the Academic Dean and Provost, the Commandant of Midshipmen, three academic Division Directors, and two other senior USNA staff. It is empowered to evaluate whether Midshipmen found deficient in academics, physical education, or professional training should be discharged from the Naval Academy or retained as Midshipmen.³⁰⁶ Grades are essential but not sufficient information for this determination. Faculty are required to submit short reports, known as Midshipman Academic Performance Reports (MAPRs), for each of their students with grades of D or F at the interim marking periods and at the end of the semester. In these reports, faculty members are asked to provide assessments of the Midshipman's academic ability, attitude, alertness, discipline, bearing and

³⁰⁴ [USNA Foundation](#)

³⁰⁵ Acceptable Standards of Written Communication. [ACDEANINST 1531.6F](#) paragraph 4.c.

³⁰⁶ Policies and Procedures Governing the Academic Board. [USNAINST 5420.24G](#)

appearance, effort, initiative, interest, and officer potential.^{307,308,309} The MAPRs are designed to provide additional information which the Academic Board uses to obtain a more complete assessment of a Midshipman's overall performance.

A Plebe Placement Exam administered by the English Department prior to or during plebe summer, in addition to SAT scores, identifies students who are underprepared in language skills. These students are placed in HE101, Practical Writing, for fall semester, with a follow-on placement in HE111W, Rhetoric and Introduction to Literature I, for spring semester.

In the interest of international and Navy-to-Navy relations, up to 60 students from certain foreign countries may be enrolled at the Academy. The Department of Defense selects and notifies the countries that may nominate candidates. Four-year students apply to USNA via their country's military or government organizations, and selection of the nominees is made by the Naval Academy International Admissions Board in late April. Accepted students report to USNA for Plebe Summer. Non-native English speakers are assigned academic advisers who have skill sets associated with "English as a second language" (ESL). These foreign students take advantage of resources available to all Midshipmen.

The institution (specifically the English department, Languages and Cultures department, and the Academic Center) is studying ways to improve current practices associated with identifying non-native English speakers, and to expand those procedures to identify a wider range of students who might require help. International students take an English Placement Exam (as part of their Plebe Summer experience for four-year students). To determine proper placement, the English Department considers their exam performance, any available information from standardized tests (VSAT, TOEFL), recommendations and personal statements from their Naval Academy application, and an assessment during the short orientation (7-10 days) conducted prior to the Induction Day. International students needing developmental instruction in English are placed into special sections of HE101 Practical Writing reserved for foreign students while those demonstrating sufficient language skills are placed in HE111 Rhetoric and Introduction to Literature I and those with advanced skills are either placed into HE111S, an honors version of HE111, or validate HE111 to be placed into HE112V Rhetoric and Introduction to Literature II. In addition to the normal English Department assessment processes, these students' progress is also assessed separately at 12-weeks and at the end of the fall semester.

International students also take FP130X, a special section of FP130 U.S. Government and Constitutional Development, taught through a comparative approach designed for students from other countries. This course was a direct response to an assessment that identified the challenges faced by foreign Midshipmen without previous exposure to the U.S. Government. Similarly, HH104X American Naval History for International Students is also optimized for foreign-national students.

³⁰⁷ Academic Reporting System. [ACDEANINST 1531.62A](#)

³⁰⁸ Grades and Reports. [ACDEANINST 1531.60](#)

³⁰⁹ Midshipmen Academic Performance Reports. [ACDEANINST 1531.80A](#)

A Plebe Placement Exam administered by the Mathematics Department prior to or during plebe summer, in combination with SAT scores, identifies students who are underprepared in math skills and places them in SM005 Pre-Calculus Mathematics for the fall semester, with a follow-on placement in SM121 Calculus & Analytic Geometry I for the spring semester. These students then take SM122 Calculus and Analytic Geometry II the following summer to catch up with their peers by the start of their sophomore year.

The Naval Academy has no remedial or pre-collegiate level courses that do not carry academic credit (**Fundamental Element 13.3**) since students needing this type of preparation typically attend NAPS or a foundation school before enrolling at the Naval Academy. The courses mentioned above (e.g. HE101 or SM005), although not the standard courses at USNA, are at the college level and carry credit. In contrast, the various supplemental programs administered by the CAE involve more tutoring than formal coursework.

The Naval Academy offers a wide range of non-credit programs consistent with the institutional mission and goals (**Fundamental Element 13.15**). Many of these programs fall under the general heading of Midshipmen training and professional development. Every Midshipman is required to complete professional training programs. These include, in particular, fleet cruises and Professional Training for Midshipmen (PROTRAMID) that are intended to both expose them to the operational environment they may enter after graduation and to prepare them for success as officers. Other non-credit programs enhance Midshipmen academic or personal development. “Non-credit” here refers to programs for which no academic credit is assigned, but which fulfill training and professional development requirements for graduation. In some of these programs, Midshipmen receive evaluations of their aptitude for commissioning, which is included in the calculation of both the Military Order of Merit and the Overall Order of Merit (class rank). Some programs are more academic in focus and support the academic program but do not directly involve academic credit. An overview of the programs and range of options can be made available as desired.^{310,311} The goals, objectives, and expectations of student learning as well as the approval, administration and evaluation procedures for these programs are clearly articulated (**Fundamental Element 13.16**). Because of the wide range of these programs, we refer the interested reader to the appropriate references. The following provides representative examples.

- Fleet cruises. Midshipmen embark on surface ships, submarines, or with aviation squadrons to learn the roles and perspectives of enlisted Sailors in the fleet (for 3/C Midshipmen (rising sophomores)) or of junior officers (for 1/C Midshipmen (rising seniors)).
- Offshore Sail Training Program. A 4-week program of practical sail and leadership training, including a two-week oceanic cruise on a Naval Academy 44-foot sailboat to East Coast ports. Midshipmen act as crewmembers under qualified volunteer (military officer and civilian) skippers and are eligible to qualify as skippers themselves with additional training.

³¹⁰ USNA Midshipmen Summer Training Program. [USNAINST 1530.1B](#)

³¹¹ [2015 Professional Training Events \(PTE\) Information Slides](#).

- Yard Patrol (YP) Craft Training Program. Run both as a volunteer extra-curricular activity during the academic year and as a mandatory professional training equivalent during the summer. Reinforces USNA seamanship and navigation coursework and provides experiential leadership training.
- Summer Training Details. These include extensive leadership opportunities in training incoming fourth class (freshmen) Midshipmen during their Plebe Summer professional training, as well as other student groups (e.g. the Naval Academy Summer Seminar for rising high school seniors,³¹² the Naval Academy Science, Technology and Math (STEM) program for rising high school students,³¹³ and the Naval Academy Preparatory School Midshipman Candidate summer indoctrination program).
- Professional Training of Midshipmen (PROTRAMID). Midshipmen are familiarized with the primary service assignment options available to them after graduation: surface warfare, submarines, aviation, and the Marine Corps.
- Powered Flight Program (PFP). Provides ground school and introductory flight training to Midshipmen considering naval aviation assignments after graduation. Successful completion of the PFP enables graduates to validate Naval Aviation Introductory Flight Screening, the initial stage of Navy flight training.
- Leatherneck Program. A 4-week training program that prepares and evaluates Midshipmen interested in the Marine Corps. Leatherneck Midshipmen are mentally, morally, and physically tested in a rigorous military and leadership training schedule designed to introduce them to the camaraderie, esprit, and rigors of Marine Corps life.³¹⁴
- MarSOT Program. Offers Midshipmen interested in the Marine Corps specialized combat and leadership training at Marine and Army training commands. Includes Marine and Army Mountain Warfare Schools, Army Airborne School, Army Air Assault School, and U.S. Military Academy Cadet Field Training.

Also available, but not mandatory, are international/cultural development programs including:

- Faculty-led Cultural Program Abroad. These offer significant, intensive experiences in strategic regions of the world, increasing Midshipmen understanding of global perspectives and cross-cultural competencies and facilitating faculty with opportunities to share their international expertise with Midshipmen. These faculty-led cultural programs are run both in the summer and during the Spring Break period in March.³¹⁵
- Language Study Abroad Program (LSAP). LSAP offers Midshipmen immersive summer language training programs that promote daily language study and use experiential learning about the values, practices and structures of other cultures.³¹⁶ USNA began piloting courses that will offer 3 hours of academic credit for cultural learning, with additional credit possible for demonstrated language improvement in the Summer of 2015.

³¹² [USNA Summer Seminar Program.](#)

³¹³ [USNA Summer STEM Program.](#)

³¹⁴ [USNA Marines Leatherneck.](#)

³¹⁵ Faculty Led Cultural Program Abroad Program Guidelines. [ACDEANINST 5700.3D](#)

³¹⁶ Language Study Abroad Program Guidelines. [ACDEANINST 5700.1C](#)

- Foreign Exchange Cruises. These cruises send Midshipmen to embark on vessels of foreign navies, providing a combined professional development and cultural immersion experience. Some foreign cruises also develop foreign language skills.

There are also programs which are more academic in nature than their military and leadership counterparts, but also support Midshipmen professional development. In some cases, they are conducted as non-credit academic courses. They can count towards fulfilling summer professional training requirements, but Midshipmen often volunteer for these programs in lieu of their normal four-week summer leave period. Examples include:

- Internship programs. USNA has an extensive summer internship program that allows Midshipmen to broaden their scholarship and leadership experience as well as develop critical thinking skills. Midshipman interns work for 4 weeks in federal government offices, national laboratories or research centers, military staffs, academic research institutions, think tanks, and with private industry.³¹⁷
- EM380 Engineering Review. A non-credit academic course that meets two hours per week during the spring semester to prepare first-class (senior) engineering majors for the Fundamentals of Engineering (FE) examination.³¹⁸

The programs listed above must be completed while a student is enrolled at the Naval Academy and are separate from any degree programs, so issues concerning comparability and transferability are not applicable (**Fundamental Element 13.17**).

The non-credit programs do not receive a collective stand-alone assessment of their impact on institutional resources (**Fundamental Element 13.18**), but the primary institutional sponsors of the programs (the Commandant of Midshipmen, the Academic Dean, the Senior Marine, the Director of International Programs, among others) are responsible for providing the necessary human and fiscal resources. In cases where funding or personnel shortfalls (as occurred in 2012-2013) required curtailing or cancellation of some programs, the broad range of programs enables other programs to step in when necessary and enable Midshipmen to meet their training requirements.

Apart from the other U.S. service academies (attended by a few Midshipmen each year in the Service Academy Exchange Program), the only educational activities conducted at other locations are study abroad programs.³¹⁹ Study abroad programs support the USNA Strategic Plan Imperatives 2, 4, and 6.³²⁰ Procedures are followed to ensure that offerings at foreign institutions meet standards for quality of instruction, academic rigor, and educational effectiveness comparable to those at USNA (**Fundamental Element 13.19**) with all the appropriate learning outcomes (**Fundamental Element 13.20**). All study abroad programs are evaluated on several levels:

³¹⁷ [Summer Internship Program](#).

³¹⁸ [USNA Course Catalog](#).

³¹⁹ Semester Study Abroad Program Guidelines. [ACDEAN 5700.2C](#)

³²⁰ [Leaders to Serve a Nation: USNA Strategic Plan 2020](#).

- The academic programs are approved by the Midshipman’s academic advisor, academic department chair and the Associate Dean for Academic Affairs. Each course taken abroad which will substitute for a Naval Academy course is evaluated by the appropriate USNA course director for equivalency.
- The respective programs are evaluated by the International Programs Office (IPO) after execution of each cycle and these results are submitted to the Academic Dean and Commandant.³²¹ Areas specifically evaluated include (some are only relevant to foreign military academies, not civilian educational institutions): professional development, character development, physical development, academic program, dignity and respect, program administration including appropriate support services (**Fundamental Element 13.21**), opportunity for foreign language development and ultimate value of program. Evaluation of the program value includes an assessment of the impact on the Naval Academy’s resources and ability to fulfill its mission and goals (**Fundamental Element 13.22**).
- Each institution is visited by the IPO Director, Academic Dean, or Associate Dean for Academic Affairs on a rotating basis such that each institution is visited at least once every three to five years.
- Institutional outcomes are assessed using the Intercultural Development Inventory (IDI) and Department of Defense language assessment tools. Cross cultural competence is a specific USNA graduate attribute³²² and this aspect is assessed for all semester study abroad Midshipmen by the IDI, post-semester abroad seminars and after-action reports, as well as weekly reports submitted by Midshipmen while abroad. Foreign language gains are also documented for each participant who is seeking to make foreign language gains using assessment tools that include but are not necessarily limited to the DoD-wide Defense Language Proficiency Test and the Tri-Service Academy Test from the Defense Language National Security Education Office.

The Naval Academy conducts its own academic program without any contractual relationships to carry out any activities on its behalf (**Fundamental Element 13.35 and 13.37**).

As mentioned earlier, the Naval Academy does use third party providers to support foreign language immersion programs as part of the Language Study Abroad Program (LSAP) during the summer. The process of establishing an LSAP program that is consistent with the Naval Academy’s mission and goals (**Fundamental Element 13.36**) includes the following steps:

- A U.S. Naval Academy Language and Cultures faculty member is identified as the program manager.
- The program manager solicits third party proposals in support of clear academic and programmatic objectives outlined in a formal “statement of work”.
- The U.S. Navy contract process is executed to meet the goals of the program manager’s statement of work.
- The contract is awarded according to compliance to the statement of work.
- The program is executed with the third party provider.

³²¹ Director, International Program files available for review upon completion of each semester.

³²² [USNA Seven Attributes of a Graduate](#)

- The program manager evaluates the third party contractor for accomplishment of objectives.³¹⁶

CONCLUSION

This self-study is the direct work of over 100 members of the Naval Academy community through the six working groups and the steering committee. It includes the significant work and contributions of many more, including members of the administration, faculty, and staff who provided information to the working groups and offered many helpful recommendations that helped shape the document. During its development, drafts of the self-study were shared throughout the institution. Feedback was sought through multiple town hall meetings and through anonymous responses to an open call to everyone at the Naval Academy including students. Valuable input was provided by members of the faculty, Commandant of Midshipmen's staff, administrators, and others. The comments and suggestions helped clarify and strengthen the discussion already in the document, and raised a few important topics which were new or had not arisen during the working group efforts. These were then added to the report, and some have been highlighted as recommendations for improvement.

As noted in the introductory material, the Naval Academy has learned a great deal through the development of this self-study. In many cases the process has provided evidence for what was already known or expected. This has been helpful both for confirming current good practices and reinforcing ongoing improvement efforts. In a few areas, the self-study has helped identify and clarify new challenges. These are clearly identified in this report, and recommendations to address them have been presented. As discussed in the report, the Naval Academy is already working on these recommendations, and these efforts toward improvement will continue.

Overall, our mission is clearly defined and we have a robust program to prepare our students morally, mentally, and physically for service as future Naval leaders. As shown in this self-study, the commitment to the mission extends across all facets of the Naval Academy. The education of our students, as defined in our mission, is in alignment with the standards of the Middle States Commission, and this report provides evidence of compliance with them both individually and as an integrated whole.