

Monitoring Report to the
Middle States Commission on Higher Education

from the

UNITED STATES MERCHANT MARINE ACADEMY
Kings Point, NY 11024

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September 1, 2017

Subject of the Monitoring Report:

"To accept the monitoring report and to note the visit by the Commission's representatives. To note that the institution is now in compliance with Standard 3 (Institutional Resources), Standard 4 (Leadership and Governance), Standard 5 (Administration), and Standard 9 (Student Support Services). To continue to warn the institution that its accreditation may be in jeopardy because of insufficient evidence that it is in compliance with Requirement of Affiliation 7 (Institutional Planning) and Standard 2 (Planning, Resources, and Institutional Renewal). To note that the institution remains accredited while on warning. To request a monitoring report, due September 1, 2017, documenting evidence that the institution has achieved and can sustain compliance with Standard 2 and Requirement of Affiliation 7, including but not limited to evidence of resource allocation decisions that are directly linked to mission and goal achievement at the institutional and unit level, and further development and implementation of an organized and sustained institutional assessment process, including evidence that assessment results are used to inform decision-making (Standard 2; Requirement of Affiliation 7). A small team visit will follow submission of the monitoring report. Upon reaffirmation of accreditation, the next evaluation visit is scheduled for 2024-2025."

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INTRODUCTION

The United States Merchant Marine Academy (USMMA) is one of the five federal service academies. Its roots lie in the Merchant Marine Act of 1936, wherein Congress authorized a federal merchant marine cadet program to educate mariners who would serve the economic and strategic needs of the Nation. In 1947, the Academy began granting four-year Bachelor of Science degrees; in 1956, Congress made the Academy permanent. The Maritime Administration (MARAD), an agency of the United States Department of Transportation (DOT), operates the Academy. The current mission statement of USMMA is as follows:

To educate and graduate licensed Merchant Mariners and leaders of exemplary character who will serve America's marine transportation and defense needs in peace and war.

Academy graduates earn a baccalaureate degree, a U.S. Coast Guard Merchant Marine Credential (license) as a Deck or Engineering Officer, and accept a commission in the U.S. Navy Reserve or another uniformed service. On average, 70 percent of graduates sail as merchant mariners each year, 25 percent choose active duty, and five percent enter other MARAD-approved maritime-related careers. Alumni serve in leadership positions across every segment of the U.S. maritime industry, in all branches of the military, in numerous government agencies, and in the private sector.

The USMMA educational experience is composed of four fundamental pillars: Academics, Regiment, Physical Fitness, and Sea Year. During Sea Year, an experiential learning component of the curriculum, each Midshipman works and learns on board merchant ships or military and other Federal Government vessels for 300 to 330 days, depending on his or her academic major. As a result, the academic year is 11 months with 40 instructional weeks, which allows Midshipmen to meet graduation requirements in four years. Midshipmen are engaged in the USMMA experience year-round, whether through Sea Year, regimental obligations, required internships, or for some, summer school.

The Academy offers five majors within two academic departments. The Department of Marine Transportation (MT) offers degrees in Marine Transportation and Maritime Logistics and Security. The Department of Marine Engineering (ME) offers degrees in Marine Engineering, Marine Engineering Systems, and Marine Engineering and Shipyard Management.

REQUIREMENT OF AFFILIATION 7 – INSTITUTIONAL PLANNING
STANDARD 2 – PLANNING, RESOURCE ALLOCATION, AND INSTITUTIONAL RENEWAL

On June 22, 2017, the Middle States Commission on Higher Education acted to accept the monitoring report, to note the visit by the Commission's representatives, and to note that the institution is now in compliance with Standard 3 (Institutional Resources), Standard 4 (Leadership and Governance), Standard 5 (Administration), and Standard 9 (Student Support Services). To continue to warn the institution that its accreditation may be in jeopardy because of insufficient evidence that it is in compliance with Requirement of Affiliation 7 (Institutional Planning) and Standard 2 (Planning, Resources, and Institutional Renewal). This section of the report outlines the requirement as stated in the Visiting Team's Report and a brief summary of the actions taken to restore compliance with the Standard and Requirement of Affiliation.

Requirement:

The institution must demonstrate resource allocation decisions that are directly linked to mission and goal achievement at the institutional and unit level, including Human Resources, Financial, and Procurement.

Institutional Planning

The United States Merchant Marine Academy embarks on a collaborative journey to create its 2018-2023 Strategic Plan. In June 2017, the Academy teamed up with Innovation Partners International of the Southwest LLC (IPI Southwest), a consulting firm specializing in appreciative, strength-based approaches to strategic planning and building organizational capacity, to develop its next five-year strategic plan. The methodology used by Christine Whitney-Sanchez and Bill Scott, management consultants with IPI Southwest, involves Appreciative Inquiry (AI), which is a philosophical approach to working with people and organizations that emphasizes strengths. AI begins by identifying the organization's resident assets and strengths and connecting to it in ways that heighten energy and vision for change. According to Bill Scott, this process "focuses on rich qualitative data embedded in people's stories; and it respects and honors the past experiences of community members while exploring its most positive hopes and dreams for the future."

Appreciative approaches depend on system-wide involvement of all stakeholders-both internal and external. Organizational development practitioners that use an appreciative lens help their clients to value the best of the organization's past while imagining an even better future. With this information, the organization's people jointly determine what will be in the future and co-create the means for achieving their goals (Scott, 2012).

However, Appreciative Inquiry does not focus on the positive to the exclusion of addressing issues that arise in organizations. An appreciative approach emphasizes the positive aspects of

an organization while approaching challenges from a different perspective—one that puts emphasis on what organizations want rather than what they do not want (Bushe, 2007). AI evolved into an organizational development approach to change management that supports organizational transformation (Cooperrider, Whitney, & Stavros, 2008). The LMI Culture Audit provided assessment data indicating the Academy is in need of transformative change. To that end, the Academy will build on the efforts of the Culture Campaign to build its next strategic plan and further organizational transformation across the Academy. Strength-based strategic planning provides an ideal opportunity for the Academy to develop a strategic plan while deliberately shifting the cultural focus to one of appreciation, collaboration and transformation.

The Academy's strategic planning process will consist of five phases. Those phases, described in detail with timelines in the *Deliverables and Milestones* document (Appendix A), include:

Phase 1 - Scoping and Planning
Agreement on Project Scope by the Sponsorship Team; preparation of Core Planning Team (CPT) to plan, support and follow-up on the strategic planning Summit; preparation of interviewers/small group facilitators to collect data from Academy stakeholders; support of behavioral alignment with Appreciative Philosophy.
Phase 2 - Data Collection and Data Analysis
Completion of training of interviewers, small group facilitators, and members of the CPT to prepare them for the gathering of qualitative data from the Academy's stakeholders to inform Summit participants in strategic planning; development of and training in a web-based platform for the collection and analysis of data gathered through the interview process.
Phase 3 - Summit Preparations and Summit Facilitation
Preparation of the Summit, including the invitation of a wide-ranging and diverse representation of the Academy's stakeholders; facilitation of the Summit; outputs from the Summit to become the outline of the strategic plan. (Scheduled February 14-15, 2018)
Phase 4 - Post Summit Activities
Discussion of next steps with the CPT, meeting with Sponsorship Team to debrief and create communiqués; writing reviewing, and finalizing the strategic plan.
Phase 5 - Operationalizing the Strategic Plan
Building appreciative capacity at the Academy through: <ul style="list-style-type: none"> Facilitation of operational planning with Strategic Priority teams;

- Approval received for operational plans from CPT and Sponsorship Team;
- Delivery of final Strength-Based Strategic Plan document;
- Facilitation of selected participants through the Thriving Cultures™ learning lab;
- Creation and facilitation of a Strategic Collaboration™ Train-the-Trainer;
- Facilitation of behavioral alignment with new organizational culture.

The Office of Institutional Assessment assembled the Core Planning Team (CPT) to lead the strategic planning process. This team is composed of a diverse group of Academy employees representing many different departments and constituent groups. Several members of the CPT represent multiple constituent groups. For example, we have representation from the maritime industry, several branches of the military, alumni, parents of former Midshipmen, and some who have worked in more than one Academy division over the course of their tenure. The purposes of this peer-led team are to:

- 1) Represent the strategic planning process and its intended outcomes;
- 2) Communicate with campus constituents, internal and external, about the progress of the planning process;
- 3) Reach across the aisle to involve as many academy constituents as possible in the data collection and Summit phases of the project; and
- 4) Carry back the appreciative philosophy for operationalization within Academy departments during and after the strategic planning process. [*This is the primary impetus for using Appreciative Inquiry in the strategic planning process—creating immediate and future organizational capacity at the Academy.*]

The strategic planning process officially kicked off August 2-3, 2017, with a series of orientation workshops and introductory sessions (Appendix B). The consultants from IPI held sessions for the Core Planning Team, the Sponsorship Team, Academy department heads, and Midshipmen. During these sessions, the consultants introduced the principles of Appreciative Inquiry and laid the foundation for their Strategic Collaboration™ methodology. The consultants are on site at the Academy August 31-September 1 for training and planning sessions with the CPT and September 5-6 for interviewer training. The CPT keeps the momentum going since the orientation workshop with journaling exercises and practicing appreciative interview questions. These sessions will conclude Phase 1 of the strategic planning process.

Laying the foundation for the Academy's strategic planning process. The Academy's strategic plan will embody the following foundational elements:

Mission and Vision. The Academy will build its strategic plan on the institution's mission and vision for its graduates. The Academy's mission must be clear to include all facets of the Kings Point graduate. This includes the requirements to earn a bachelor's degree, the knowledge and leadership skills necessary to be a commissioned officer in the Navy Reserve or another branch

of the uniformed services, and the professional and technical skills required to earn a United States Coast Guard (USCG) license. Through the strategic planning process, the Academy will ensure that all of these parts are clearly identified in its mission and make adjustments to the language (not the intent) necessary to show appreciation for the Academy's many, equally important parts. Among many other things, Kings Point graduates are:

- Men and women of exemplary character;
- Mentally strong, physically tough, and morally sound;
- Capable decision makers, communicators, and critical thinkers (especially under pressure);
- Experts in their profession devoted to excellence in everything they do;
- Prepared to embrace the challenge and the privilege of leadership in the public and private sectors;
- Committed to serving the nation's marine transportation and defense needs in peace and war.

The strategic planning process will help the Academy capture these attributes in its mission and vision, establishing the basis upon which planning, resource allocation, assessment and institutional renewal will be conducted.

Guidance from the new Maritime Administrator. In August 2017, Secretary of Transportation Elaine Chao selected Rear Admiral Mark H. Buzby as the new Maritime Administrator. Administrator Buzby, a 1979 graduate of the Academy, was sworn in on August 16, 2017. Shortly after swearing in, Administrator Buzby promulgated a message to employees within MARAD and a document outlining his *Standards and Priorities* for the Maritime Administration (Appendix C). In this document, the Administrator articulated three principles to guide the MARAD community in carrying out its mission: *People First*, *Be a Professional*, and *Be a Good Shipmate*. The Academy will not only adhere to these principles as it carries out its mission, but also throughout the strategic planning process. Administrator Buzby has been very clear that the Academy is one of his top priorities and his vision is that it be the best institution of higher education that it can be.

Core Values. The LMI Culture Audit provided a wealth of assessment data about the Academy's institutional culture. One of the most resonant recommendations in the report was the need for the Academy to reemphasize its core values. The LMI Culture Audit in many ways provided assessment driven planning and kicked off the Academy's values and culture efforts. In August 2017, the Academy published Superintendent Instruction 2017-06 on *Academy Core Values* (Appendix D). The new core values of Respect, Honor and Service are a refresh of the Academy's former core values and originated through collaboration between Midshipmen, faculty and staff representing departments across the Academy during the planning phase of the Culture Campaign. The committee created and promulgated its *Guiding Document* to describe how the Academy defines these values and how the Academy community is expected

to embody them (Appendix E). Members of the Culture Campaign Committee visited all departments and provided a briefing on the proposed values in an effort to solicit feedback, create buy-in, and socialize the values prior to the Superintendent signing the Academy Core Values Superintendent Instruction. The Academy Core Values align with MARAD *Strategic Goal 2.4 – Facilitate an educational and workforce environment that is unbiased and safe from sexual harassment and sexual assault, as well as any other discriminatory practices or behaviors.*

MARAD's new strategic plan. In January 2017, MARAD published its 2017-2021 Strategic Plan: *Maritime Administration Strategic Plan: Navigating the Future* (Appendix F). The MARAD Strategic Plan aligns directly with the Department of Transportation Strategic Plan and has several goals that directly involve the Academy, as identified below. The Academy's strategic plan will align with both the MARAD and DOT plans.

- **Strategic Goal 2: Maintain and Modernize the Maritime Workforce** – Inspire, educate, and expand opportunities for the next generation of mariners, including maximizing the potential of the USMMA.

2.2 – Modernize the USMMA and State Maritime Academy (SMA) school ships, training and education facilities or facilitate other suitable alternative training opportunities that meet international requirements.

2.4 – Facilitate an educational and workforce environment that is unbiased and safe from sexual harassment and sexual assault, as well as any other discriminatory practices or behaviors.

- **Strategic Goal 5: Maritime Innovation-Drive innovation in the U.S. maritime industry.**

5.5 – Position the USMMA as a leader and partner in maritime research and innovation.

- **Strategic Goal 6: Organizational Excellence** – Embrace organizational excellence through strong leadership and workforce development.

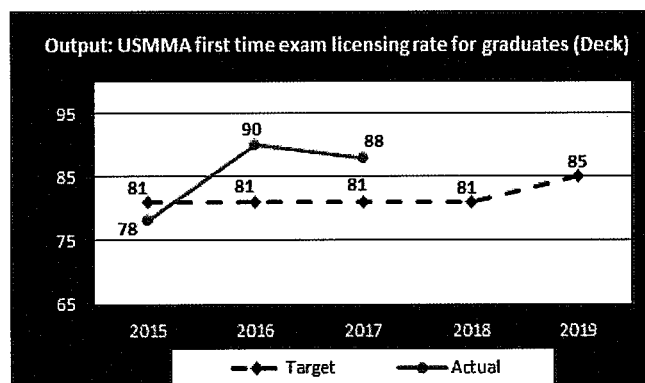
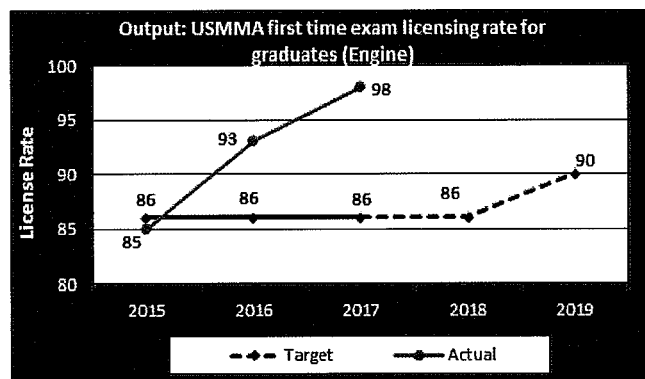
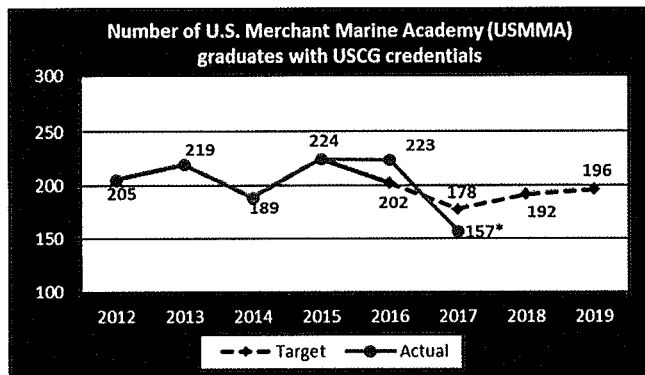
6.3 – Ensure execution of MARAD's and the USMMA's Information Technology Strategic Plans and Enterprise Architecture Transition Strategy and meet Federal Enterprise Architecture and other Federal mandates.

6.4 – Support the USMMA Strategic Planning process to ensure that the USMMA aligns with DOT objectives and meets its unique mission.

The Academy's new Strategic Plan will align with MARAD *Strategic Goal 6.4 – Support the USMMA Strategic Planning process to ensure that the USMMA aligns with DOT objectives and meets its unique mission.* The Academy is also integrating other layers of planning into the institutional Strategic Plan.

Human Capital Plan. As part of the human capital planning process, the Academy initiated a working group, which created a Human Capital Inventory (Appendix G). This thorough assessment provides a detailed view of the Academy's current human resources landscape. The Inventory will inform development of the Academy's Human Capital Plan. The Academy's human resource planning and Human Capital Plan align with MARAD *Strategic Goal 2 – Maintain and Modernize the Maritime Workforce.*

Enrollment Management Plan. The Academy and MARAD determined during the budget justification process for FY 2019 that several Key Performance Indicators (KPIs) for the Academy would accompany the performance measures included in the MARAD Strategic Plan. The selected KPIs are 1) the number of graduates each year, 2) first-time license pass rate for Marine Engineering majors, and 3) first-time license pass rate for Marine Transportation majors, which are depicted in the charts below with target and actual results.



It is essential that the Academy recruit and retain the most qualified Midshipmen in order to achieve MARAD *Strategic Goal 2 – Maintain and Modernize the Maritime Workforce*. The Office of Admissions initiated a working group to investigate and improve its ability to predict student success and set admission criteria that would allow the Academy to recruit a diverse student body and educate and graduate USCG licensed mariners.

Creation of Midshipman Data Set in the Office of Institutional Assessment. The Office of Institutional Assessment is working diligently on a comprehensive, centralized Midshipman data set, which will organize recruitment, retention, and student success data to allow for analysis and data-informed decision-making. The Office of Institutional Assessment is looking deeper into the relationship between entry characteristics and admission criteria, including non-competitive and prep school appointments, and student success and graduation rates (four-, five- and six-year rates). The Office of Institutional Assessment is working to ensure appropriate Key Performance Indicators (KPIs) are in place, benchmarked, and appropriately defined for longitudinal comparisons of Midshipman performance. This data set will improve the Academy's ability to use data to inform decisions related to recruitment and retention.

Technology Strategic Plan. As a component of the overall strategic plan, the Academy will develop a Technology Strategic Plan to deliver high quality instructional services to the campus using a shared set of higher-education appropriate technologies and provide a stable, secure, robust, and modern IT experience for Midshipmen, faculty and staff. This effort will be coordinated with and supported by MARAD/DOT. The Academy's Technology Strategic Plan aligns with MARAD *Strategic Goal 6.3 – Ensure execution of MARAD's and the USMMA's Information Technology Strategic Plans and Enterprise Architecture Transition Strategy and meet Federal Enterprise Architecture and other Federal mandates*.

Institutional Assessment

Since the last visit, the Academy made substantial progress toward its systematic, organized and sustainable assessment process.

Academy Policies Enacted. On August 21, 2017, the Academy finalized Superintendent Instruction 2017-07, *Institutional Effectiveness* (Appendix H). This policy governs the Academy's ongoing process of ensuring institutional effectiveness, guided by the Strategic Plan (under development), Strategy Execution and Assessment (SEA) Process (Appendix I), and *Assessment Framework* (Appendix J), in order to provide information necessary to effectively plan and allocate resources based on the institution's mission and goals. The Academy is committed to conducting ongoing planning and resource allocation processes based on its mission and goals, developing strategies to achieve them, and utilizing the results of assessment activities for institutional renewal and continuous improvement.

Campus Labs Platform for Institutional Effectiveness. In July 2017, the Academy joined over 1,000 institutions of higher education that use the Campus Labs Platform for Institutional Effectiveness. This multi-module, integrated software application will allow the Academy to implement a cohesive assessment strategy aimed at improving institutional effectiveness through use of assessment and data collection tools, resources, and best practices. Campus Labs delivers a comprehensive assessment solution that will provide the Academy with technology, resources, and expert consultation required to create an integrated, coordinated, and comprehensive assessment approach. The Campus Labs platform will allow the Academy to do the following:

- 1) Create and evaluate student learning outcomes in order to gain visibility into curricular alignment and performance across the institution and more effectively guide student learning;
- 2) Strengthen the quality of instruction through professional faculty development in partnership with IDEA, a nonprofit organization focused on research-based instruments for course evaluations;
- 3) Enhance and create a co-curricular student experience that is engaging, supportive, and success-oriented by centralizing, organizing, and increasing student involvement opportunities; and
- 4) Guide strategic planning, program review, and document compliance with accreditation standards for MSCHE and the Accreditation Board for Engineering and Technology (ABET).

Additional details on the functionality of the modules procured by the Academy are detailed in Appendix K.

Adoption of the Campus Labs platform signals an exciting turning point in the Academy's continued growth and success as an institution of academic rigor and service. Supported by the platform's advanced technology and the expertise of the Campus Labs team, the Academy will be better positioned to fulfill its mission and goals.

Implementation of Campus Labs. Coordinated by a dedicated Campus Labs consultant, the Academy began the implementation process in July 2017. There are four phases to implementation of the platform:

- 1) Discovery – understanding USMMA processes, policies, and procedures as well as strategic goals and directions. This phase will include decisions about priorities and the creation of an implementation timeline and associated responsibilities for faculty, staff, and administrators. This phase began with a two-day campus visit in July and is currently in progress. A *Goals and Priorities* roadmap is under construction and represents both the prioritized needs of the Academy and also the departments that are best positioned to implement the Campus Labs platform within their current business processes.

- 2) Technical implementation – working with the USMMA IT staff to ensure authentication and technical configuration. The Academy is working on authentication processes and core data mapping. This phase will be completed in the next several weeks.
- 3) Configuration – configuring the various toolsets to fit with USMMA practices and goals. This phase will begin as soon as authentication processes are complete.
- 4) Launch and user training – conducting administrator and end-user training for relevant staff, faculty, administrators, and students. Launch and user training plans will be created based on the implementation priorities and readiness of affected departments and staff.

The Office of Institutional Assessment created a Campus Labs Advisory Group with members representing many of the end-users and business processes that will utilize the Campus Labs platform directly. This group will begin meeting as soon as authentication processes are complete and continue in an advisory role until implementation is complete. The Campus Labs Advisory Group will commence its meetings in mid-September with an orientation to Campus Labs live webinar hosted by the Academy's dedicated Campus Labs consultant.

Assessment Planning. The Institutional Effectiveness Superintendent Instruction (Appendix H) and the Assessment Framework (Appendix J) lay the foundation for assessment processes at the Academy. The Office of Institutional Assessment finalized the Assessment Framework and the corresponding Committee Membership List (Appendix L) and the Institutional Effectiveness Steering Committee is set to meet in September to discuss rollout of the entire assessment and institutional effectiveness process. Although the strategic planning process just began, the Academy continues forward with the goals in its current strategic plan, its effort to allocate resources in a manner consistent with the mission and goals, and ongoing assessment of those goals. However, preparations are in place for department and program level assessment planning using the guides and materials provided by Campus Labs (Appendix M). This will lead up to the implementation of the strategic plan and assessment processes that will evaluate the success of the plan. This assessment data is critical to the Academy's ability to plan, allocate resources, determine effectiveness of the resource allocations and goals, and use the results for improvement and institutional renewal.

Learning Outcomes Assessment. Since the last team visit, the Learning Outcomes Assessment Committee has continued with course-level assessment as it has in previous years, while working on the transition from a focus on course-level assessment to program- and institutional-level learning outcomes assessment.

At the direction of the new Program Learning Outcomes Committee, all departments are focusing on assessment of student learning for three draft Institutional Learning Outcomes, which tie directly to the Academy's expectations for its graduates:

- 1) Professional Expertise (Experts in their profession devoted to excellence in everything they do);

- 2) Leadership (Prepared to embrace the challenge and the privilege of leadership in the public and private sectors;
- 3) Communication (Capable decision makers, communicators, and critical thinkers).

The General Education Committee and the Leadership Program Committee mapped their Program Learning Outcomes to the draft Institutional Learning Outcomes, and continue to map Course Learning Outcomes to their Program Learning Outcomes. Exemplars of this mapping from the Leadership Program Learning Outcomes Committee are available in Appendix N. Both the General Education and Leadership Programs have identified specific courses and activities as part of their Core and additional courses and activities that support or supplement their Core. The General Education and Leadership Programs are reviewing each of their Core courses and activities based on the guides developed by the Program Learning Outcomes Committee (Appendix O), with the intent of providing feedback to the academic departments for recommended changes and/or requests for more information.

The Program Learning Outcomes Committee, comprised of the Chair of the Academic Outcomes Assessment Committee, the Assistant Academic Dean, each of the four Program Committee Chairs, and a representative of the Office of Institutional Assessment, will meet in early September to discuss the Committee's progress. The Director of Institutional Assessment will present information on *How to Write Learning Outcomes* (Appendix P) and coordinate professional development opportunities to help faculty improve the structure of their learning outcomes. The process of ensuring that learning outcomes are written appropriately as the cognitive skills that students develop through classroom and co-curricular learning using Bloom's Taxonomy of Educational Objectives will help prepare for the implementation of the Campus Labs Outcomes module. The Office of Institutional Assessment will offer these professional development sessions in collaboration with the Academy's dedicated Campus Labs Campus Adoption consultant during September and October. The training materials and exercises will be available for the Visiting Team's review on September 21, 2017.

The Office of Institutional Assessment will use the *Rubric for Evaluating Institutional Student Learning Assessment Processes* as the benchmark for assessing the status of its assessment efforts in terms of Middle States' accreditation standards and expectations (Appendix Q).

Sexual Assault Response and Prevention. The Superintendent's highest strategic priority is the elimination of sexual assault, sexual harassment and gender discrimination at the Academy. Consequently, the Sexual Assault Prevention and Response Program has the most mature system of reviewing assessment findings, creating action plans to achieve program goals, and implementing program strategies.

Assessment Tools:

1. Office of People Analytics (OPA) (formerly Defense Manpower Data Center (DMDC)) Service Academy Gender Relations (SAGR) Survey and Focus Group Sessions – The Academy contracted with OPA (then DMDC) in 2012 to have the SAGR Survey

administered to Midshipmen and focus group sessions conducted with to Midshipmen, faculty and staff. The survey and focus groups alternate every other year. The survey results provide quantitative data, while the focus group sessions provide qualitative data.

2. Office of the Inspector General (OIG) Reports – The Academy’s SAPR Program has been audited twice, with a third audit currently in progress. The first audit was initiated by Representatives Elijah Cummings and Jackie Speier on 23 April 2013. The final report, *Better Program Management and Oversight are Required for USMMA’s Efforts to Address Sexual Assault and Harassment*, was issued on 23 October 2014. Congress ordered a follow-up audit via Senate Report 113-182, which accompanied the Consolidated and Further Continuing Appropriations Act of 2015, Pub. L. No. 113-235 (Dec. 16, 2014), which directed the OIG to assess the annual report and biennial survey information issued by the Maritime Administration (MARAD) in fiscal year 2015 to evaluate the Academy’s progress in addressing corrective actions. The results of that audit were delivered by letter to both Senatorial and House of Representatives members of the Subcommittee on Transportation, Housing and Urban Development on 11 August 2016. The National Defense Authorization Act for Fiscal Year 2017 mandated that the OIG conduct a third audit, with a report to be issued by March 31, 2018. That audit is ongoing.
3. Logistics Management Institute (LMI) Report – In August 2016, then-Secretary of Transportation Anthony Foxx directed that there would be an independent cultural assessment of the Academy in order to address the root causes of sexual assault, sexual harassment and other inappropriate behaviors that have persisted both on campus and during Sea Year. The final report, *Department of Transportation U.S. Merchant Marine Academy Culture Audit*, was issued in December 2016.
4. Defense Equal Opportunity Management Institute (DEOMI) Federal Equal Opportunity Climate Survey (FEOCS) – Administered to faculty and staff in winter of 2017, with the report received on April 10, 2017. Results of the survey depict the perceptions of the workforce that discriminatory behaviors are likely to occur in the office environment.
5. Department of Transportation (DOT) Physical Security and Risk Assessment Report dated July 2012 – Conducted by the DOT Office of Security (M40), the report contained a list of physical security upgrades necessary to bring the Academy into compliance with a federal physical security standard.

Action Plans:

1. The Academy Sexual Assault Resource Coordinator (SARC) has managed a Plan of Action for each Academic Year since 2011-2012. In Academic Year 2014-2015, this was codified by a process in which the academic year’s Plan of Action would be closed out after graduation and a new plan started for the following academic year. While the

Action Plan captures action items from all sources, its principle function is to list the deficiencies identified in the SAGR Survey or focus group sessions and to assign a Point of Contact (POC) who would remediate the deficiency. The POC need not be in the SARC Office, but the SARC would maintain the Plan of Action up-to-date.

2. USMMA Security Upgrade Project Plan managed by the Department of Public Safety (DPS). The project was broken into three phases and the Academy contracted with Volpe to accomplish the first two phases of the project.
3. LMI Corrective Action Plan (CAP) was developed by extracting recommendations from the LMI culture audit report. This report is maintained by the Risk Management Officer.

SAPR Framework Goals:

1. **Goal 1: Climate** – Objective is to create a culture intolerant of sexual assault and sexual harassment and of behaviors that enable such conduct.
2. **Goal 2: Prevention** – Objective is to deliver consistent and effective prevention methods and programs.
3. **Goal 3: Response** – Objectives are to improve the availability and quality of response support for sexual assault and sexual harassment victims, increase victim confidence, and lessen the stigma associated with reporting.
4. **Goal 4: Accountability** – Objectives are to achieve high competence in holding offenders appropriately accountable, improve capability and capacity for the reporting and investigation of sexual assault, appropriately discipline offenders, and elevate leadership engagement in response to sexual assault.
5. **Goal 5: Assessment** – Objective is to effectively standardize, measure, analyze, assess, and report program progress.

Strategy and Budget Implementation:

- FY 2013 - \$131,000.00
- FY 2014 - \$131,000.00
- FY 2015 - \$131,000.00
- FY 2016 - \$145,449.15
- FY 2017 - \$298,670.00
- FY 2018 - \$371,800.00
- FY 2019 (requested) - \$637,550.00

Use of assessment data to create action plans (involving budget) to meet goals:

- **Climate**
Action plans: 2015-2016, 2016-2017, 2017-2018, LMI CAP

- Resource allocation:* DEOMI FEOCS survey (Civil Rights budget); OPA SAGR Survey and focus group sessions (SAPRO budget); travel for Service Academy summit at the Air Force Academy in Colorado Springs (Office of Superintendent budget, Dean's budget); swag and speakers for Culture Campaign (Commandant's budget); LMI Culture Assessment (Department of Transportation budget); hire Student Activities Director (payroll); contracted with Homefront Foundation to provide reintegration service (Commandant budget)
- Benchmark:* Attendance at Culture Campaign educational and awareness activities. No cases of sexual assault, sexual harassment, or gender discrimination for Midshipmen, faculty and staff.
- Assessment:* DEOMI FEOCS survey, OPA SAGR survey
- **Prevention**

Action plans: 2012-2013, 2013-2014, 2014-2015, 2015-2016, 2016-2017, 2017-2018, USMMA Security Upgrade Project Plan

Resource allocation: Speakers, swag and printing for Sexual Assault Awareness Month (SAAM) (SAPRO budget); EverFi with alcohol.edu and Haven modules (SAPRO budget); Green Dot (Commandant and SAPRO budget); hire two Victim Advocate/Prevention Educators (VA/PEs) (payroll); hire Strategic Sealift Officer (SSO) (SAPRO budget); campus-wide emergency call boxes, barracks card access system, surveillance cameras (security enhancement budget)

Benchmark: Faculty and staff achieve 80% attendance rate at SAPR training and culture campaign events. Midshipmen achieve 100% attendance rate at SAPR training and can define basic SAPR terms. Phase I of Security Upgrade Project Plan completed on time and within budget.

Assessment: Event rosters, Midshipman quizzes, financial and project reports
 - **Response**

Action plans: 2012-2013, 2013-2014, 2014-2015, 2015-2016, 2016-2017, and 2017-2018

Resource allocation: Hire two Victim Advocate/Prevention Educators (payroll); hire Special Victim Advocate (lawyer) (payroll); send Director of DPS to trauma informed investigating course (DPS budget); contract with Rape, Abuse and Incest National Network (RAINN) for a 24/7 hotline (SAPRO budget); marketing materials to inform Midshipmen of SAPRO resources (SAPRO budget); OPA SAGR survey and focus group sessions (SAPRO budget); contracted with Homefront Foundation to provide reintegration service (Commandant budget); training for SARC and VA/PEs (SAPRO budget); purchase Midshipman communication devices (SAPRO budget); campus-wide emergency call boxes, surveillance cameras (security enhancement

- budget); business cards with hotline phone number (SAPRO budget).
- Benchmark:* Midshipmen know to whom they can report sexual assault and sexual harassment. Midshipmen report instances of sexual assault. Midshipmen returning from Sea Year achieve 100% attendance rate at reintegration.
- Assessment:* OPA SAGR Survey and focus group sessions, informal surveys
- **Accountability**

Action plans: 2016-2017, 2017-2018

Resource allocation: Send Director of DPS to trauma informed investigating course (DPS budget)

Benchmark: Annual Report to Congress submitted on time. Annual Security and Fire Safety Report submitted on time. Clery Act data submitted on time. Perpetrators given due process and are held accountable for committing acts of gender discrimination.

Assessment: OPA SAGR Survey and focus group sessions, informal surveys
 - **Assessment**

Action plans: 2012-2013, 2013-2014, 2014-2015, 2015-2016, 2016-2017, and 2017-2018

Resource allocation: DEOMI FEOCS survey (Civil Rights budget), OPA SAGR Survey and focus group sessions (SAPRO budget)

Benchmark: Measurable metrics established. Assessment conducted and changes recorded in the Plan of Action, with appropriate budget actions identified, if necessary.

Assessment: DEOMI FEOCS survey, OPA SAGR survey and Focus Group Sessions

Resource allocation decisions directly linked to mission and goal achievement: Continued Implementation of Strategy, Execution, and Assessment (SEA) Process

The Academy re-engineered its budget process by conducting a zero-based review of resource requirements to build its FY 2017 spend plan. The Academy implemented a new Strategy, Execution, and Assessment (SEA) process for planning and budget integration (Superintendent Instruction 2017-08, *Strategy Execution and Assessment Process*, Appendix I). To facilitate the SEA process, the Academy re-energized its Academy Financial Working Group (FWG), comprised of members from across the Academy to review and recommend-spending priorities based on campus-wide assessment of needs and institutional priorities (Superintendent Instruction 2017-05, *Academy Financial Working Group*, Appendix R). The FWG is the body responsible for assessing funding needs and justifications, aligning resource allocation requests with the

Academy's mission and goals, and recommending prioritized spend plans to the Superintendent's Cabinet.

FY 2017

The Academy achieved significant new authority over its resource decision-making in FY 2017. In December 2016, Congress removed the restrictions on the Academy's allotments and returned authority for allotment decisions to the Academy and MARAD from the Secretary of Transportation. This decision allowed for the Academy to more effectively allocate and adjust spending as needs and opportunities emerge. Congress also responded to the Academy's resource constraints under the CR due to the Sea Year stand-down by making additional MARAD resources available to the Academy to fund its Sea Year program on more expensive federal assets. By identifying this resource issue and taking the lead in its resolution, the Academy ensured that Midshipmen were able to get the sea days necessary for licensing and graduation.

FY 2017 funding decisions were based on available resources provided by Congress. The Academy implemented a staffing plan that prioritized faculty and staff hiring based on assessment of campus-wide needs and alignment with mission and goals ensuring resources were allocated to the most critical vacancies first. The final FY 2017 appropriation increased operating resources available to the Academy. Considering the additional resources allocated for FY 2017, and taking into account the President's FY 2018 budget proposal (released shortly after the FY 2017 appropriation was enacted), the Academy adjusted its multi-year fiscal planning to the new budget environment.

For example, the Academy accelerated the planned maintenance of the Training Vessel Kings Pointer scheduled for FY 2018 to FY 2017, to ensure the vessel is available for additional sea training days for Midshipmen in FY 2018. In addition, upon review of planned academic needs, the added funding allowed the Academy to re-prioritize its five-year capital improvement project plan. Consequently, the Academy intends to realign funding and revise the project schedule that re-scopes and prioritizes renovation and construction of the simulation center in Samuels Hall.

FY 2018

The Academy incorporated additional planning elements from the SEA process in its budget development for FY 2018. Annual planning guidance was coordinated with Academy leadership and distributed to the campus community for consideration in developing FY 2018 funding initiatives (*USMMA Annual Guidance Memorandum*, Appendix S). The Administration established top line funding targets for the various Federal agencies. Within that allowance, the Academy established a staffing budget and ceiling based on the staffing plan created for the FY 2017 spend plan. In addition, each of the Academy's departments and programs conducted a zero-based build of its funding requirements. While total requirements requested from

Academy departments and programs exceeded that funding allowance, the FWG prioritized the funding needs from the zero-based build and recommended a prioritized spend plan within the allowance that appropriately align resources with mission and goals. The Financial Working Group minutes will be available for review on site by the visiting team on September 21, 2017.

FY 2019

The FY 2019 budget is still under development within the Administration. In preparing its internal budget request, the Academy continues to expand on its implementation of the SEA process. The Superintendent's Annual Guidance Memorandum issued May 11, 2017, included direction for FY 2019 Resource Planning to ensure alignment of planning and budget integration with mission, goals, and institutional priorities (*USMMA Annual Guidance Memorandum*, Appendix S). Department and program budgets were prepared and reviewed based on the Superintendent's guidance memorandum. The FWG prioritized requested spending during the initial development of the Academy's request to MARAD and DOT. Upon receiving further budget guidance from MARAD and DOT that required making adjustments from the initial plan, the Academy was responsible for making the necessary re-prioritizing decisions. Having the responsibility over the reprioritization of its budget requests ensured that Academy priorities were protected within the top line funding target.

Future Planning, Resource Allocation, and Institutional Renewal

For future budget years, the Academy will incorporate its new multi-year strategic plan, currently under development, into the SEA process. The strategy, execution and assessment process will ensure the Academy integrates its resource decision-making with the goals and objectives of its strategic plan and assesses the success of the strategic plan to guide future resource allocation decision-making. As assessment results from FY 2017 goals and institutional priorities are evaluated, this data will be incorporated in future resource decision-making.

CONCLUSION

The faculty, staff and leadership of the United States Merchant Marine Academy continue to work tirelessly to ensure compliance in all Middle States Commission on Higher Education's Standards of Accreditation, particularly Standard 2 and Requirement of Affiliation 7. The Academy achieved many improvements since the Commission's June 2016 warning, but a significant amount of this work continues, as it should, in the spirit of continuous improvement.

Embracing the Academy's hybrid government agency/institution of higher education organizational structure, the Office of Academy Financial Management continues to lead Academy leadership and department heads through the new Strategy Execution and Assessment process. These processes ensure the Academy has the resources it needs to achieve the mission and desired outcomes, and demonstrate resource allocation decisions that link directly to goal achievement at the institution and department level.

The Academy's 2018-2023 Strategic Plan will be critical to creating a shared vision for Academy constituents. The Appreciative Inquiry framework for strategic planning using the *Strengths, Opportunities, Aspirations, and Results* (SOAR) methodology will lead to transformational change at the Academy. The Academy will more fully develop the ability to think and act strategically in order to improve its organizational capacity and the creation of the next strategic plan is the perfect opportunity to develop those skills across the organization. The collaborative strategic planning process is providing the opportunity to create buy-in for strategic goals that clearly align with the Academy's mission and develop actionable strategies and meaningful performance indicators to achieve those goals. The Academy is preparing to implement its new Institutional Effectiveness Plan with new institutional goals and has developed a process for evaluating the success of the new strategic plan and adjusting the plan accordingly to achieve ongoing institutional renewal and continuous improvement. The Academy has demonstrated the direct linkage between resource allocation decisions and mission and goals, but will continue to improve data-informed decision-making processes through the Strategy, Execution and Assessment.

REFERENCES

- Bushe, G. (2007). Appreciative inquiry is not (just) about the positive. *OD Practitioner*, 39(4), 30-35.
- Cooperrider, D. L., Whitney, D., & Stavros, J. M. (2008). *Appreciative inquiry handbook: For leaders of change* (2nd ed.). San Francisco, CA: Berrett-Koehler Publishers.



Deliverables and Milestones

Deliverables	Activities	Milestones
Phase I – Scoping and Planning		
Agreement on Project Scope by sponsorship team	<ul style="list-style-type: none"> • Meet with Contracting Officer's Representative • Meet with sponsorship team • Determine membership of the Core Planning Team 	By June 30, 2017 agree to: <ul style="list-style-type: none"> • The project scope and timeline, • Membership of Core Planning Team and • Identification of interviewers and small group facilitators
Preparation of Core Planning Team to plan, support and follow-up on the strategic planning Summit Scheduled: August 31 – September 1, 2017	<ul style="list-style-type: none"> • Meet with core planning team (CPT) • Train CPT members in Appreciative Philosophy and Strategic Collaboration™ method • Discuss and assign team roles • Determine Summit focus • Identify interviewers and small group facilitators 	By September 15, 2017 <ul style="list-style-type: none"> • Establish the project framework and timeline. • Complete training of Core Planning Team members and interviewers/small group facilitators.
Preparation of interviewers/small group facilitators to collect data from USMMA stakeholders Scheduled: September 5-6, 2017	<ul style="list-style-type: none"> • Orient team members to the Strategic Collaboration™ method • Train team members in appreciative interviewing and group facilitation techniques 	By September 15, 2017 <ul style="list-style-type: none"> • Complete training of interviewers/small group facilitators.
Support of behavioral alignment with Appreciative Philosophy	<ul style="list-style-type: none"> • Identify individuals for coaching • Initiate coaching for key stakeholders 	By September 30, 2017 <ul style="list-style-type: none"> • Initiate coaching and assist in the setting of self-managed next steps

Phase 2 - Data Collection and Data Analysis		
Development of web-based platform for data entry	<ul style="list-style-type: none"> • Create web-based portal for entry of data collected by interviewers/facilitators • Train data collectors in the use of virtual data collection platform • Collect data from identified stakeholders by trained interviewers/facilitators • Enter all data collected through the interview process into the web-based portal 	<p>By September 30, 2017</p> <ul style="list-style-type: none"> • Build portal for data entry <p>By November 8, 2017</p> <ul style="list-style-type: none"> • Complete data entry training of interviewers/small group facilitators. • Complete collection of all data and entry into the portal
Completion of training of interviewers/small group facilitators and CPT to analyze the data collected through interviews	<ul style="list-style-type: none"> • Analyze collected data • Identify qualitative themes evident in the data • Record themes for presentation at the Summit 	<p>By November 15, 2017</p> <ul style="list-style-type: none"> • Complete analysis of collected data • Prepare data for Summit presentation
Phase 3 - Summit Preparations and Summit Facilitation		
Preparation of the Summit	<ul style="list-style-type: none"> • Prepare agenda and needed materials for the Summit • Invite participants to the Summit • Complete Summit logistics 	<p>January 31, 2018</p> <ul style="list-style-type: none"> • Complete preparation of materials for facilitation of Summit • Receive notices of acceptance from Summit invitees • Finalize Summit logistics
Facilitation of the Summit Scheduled: February 14-15, 2018	<ul style="list-style-type: none"> • Complete all Summit activities • Record outputs generated at the Summit • Determine champions for each identified strategic priority 	<p>By February 15, 2018</p> <ul style="list-style-type: none"> • Facilitate all Summit activities • Compile all outputs generated by Summit participants • Identify champions for identified strategic priorities

Phase 4 – Post Summit Activities		
Discussion of next steps with the CPT team	<ul style="list-style-type: none"> Review Strategic Priorities developed at the Summit Identify participants for Phase 5 	<p>By February 16, 2018</p> <ul style="list-style-type: none"> Outline a timetable for operationalizing the strategic plan
Meeting with Sponsorship Team to debrief and create communiqués	<ul style="list-style-type: none"> Receive direction for Phase 5 deliverables Gain commitment for resourcing of Phase 5 activities 	<p>By February 16, 2018</p> <ul style="list-style-type: none"> Agree to deliverables and resources for Phase 5 Agree to communiqués that will be circulated to the USMMA stakeholders
Phase 5 – Operationalizing the Strategic Plan		
Facilitation of operational planning with Strategic Priority teams Approval received for operational plans from CPT or Sponsorship Team	<ul style="list-style-type: none"> Develop measurable operational objectives and tactical plans 	<p>By April 15, 2018</p> <ul style="list-style-type: none"> Agree to operational objectives and tactical plans
Delivery of final Strength-Based Strategic Plan document	<ul style="list-style-type: none"> Prepare strategic planning document to include: <ul style="list-style-type: none"> Executive Summary Values and Vision statements Strategic Priorities and Goals Measurable Action Plans Recommendations for ongoing work to establish a Thriving Culture 	<p>By April 30, 2018</p> <ul style="list-style-type: none"> Deliver final strategic planning document
Facilitation of selected participants through the Thriving Cultures™ learning lab Tentative: May 3-4, 2018	<ul style="list-style-type: none"> Facilitate the Thriving Cultures™ learning lab for selected participants. Create Cultural Alignment plans and agree to personal action commitments 	<p>By May 4, 2018</p> <ul style="list-style-type: none"> Participants will have identified and begun work on projects designed to align organizational culture

<p>Creation and Facilitation of a Strategic Collaboration™ Train-the-Trainer</p> <p>Tentative: May 7-8, 2018</p>	<ul style="list-style-type: none"> • Build appreciative capacity • Develop a plan for integration and alignment has been developed 	<p>By May 8, 2018</p> <ul style="list-style-type: none"> • Train selected team of individuals to provide internal training in appreciative processes.
<p>Facilitation of behavioral alignment with new organizational culture</p>	<ul style="list-style-type: none"> • Complete follow-on coaching for key stakeholders 	<p>By May 31, 2018</p> <ul style="list-style-type: none"> • Complete coaching and assist in the setting of self-managed next steps



Strategic Planning with Innovation Partners Orientation Workshops and Introductory Sessions **AGENDA**

Day 1 – Wednesday, August 2, 2017

7:30 a.m., Pick up at Vickery Gate	Lori and David
7:30 – 7:45 a.m., Melville Hall, Room Setup	Lori, Jamie, Bill, and Christine
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7:45 – 9:00 a.m., Breakfast Meeting, Seafarer Restaurant	Lori, Jamie, Bill, and Christine
9:00 – 9:30 a.m., Meet with RADM Helis, Lori's Office	Lori, Jamie, Bill, and Christine
10:00 a.m. – 12:00 p.m., Workshop with CPT, Melville Hall	Core Planning Team
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12:10 – 12:20 p.m., Strategic Planning Kickoff, Delano	Core Planning Team
12:20 – 1:15 p.m., Break/Lunch (on your own or with us in the Seafarer)	
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1:15 – 3:00 p.m., Workshop with CPT, Melville Hall	Core Planning Team
3:00 – 3:45 p.m., Debrief, Melville Hall	CPT Executive Committee
4:15 – 5:15 p.m., Midshipman Session, Melville Hall	Midshipmen
<hr/>	

Day 2 – Thursday, August 3, 2017

8:30 a.m., Pick up at Vickery Gate	Lori and David
9:00 a.m. – 12:30 p.m., Workshop with Sponsorship Team Melville Hall	Superintendent's Cabinet
12:30 – 2:00 p.m., Working Lunch, TBD	Lori, Jamie, Bill, and Christine
2:00 – 3:30 p.m., Strategic Planning Process Overview Melville Hall	Department Heads
3:30 – 5:00 p.m., Debrief and Planning, Melville Hall	CPT Executive Committee

A MESSAGE FROM THE MARITIME ADMINISTRATOR

The purpose of this memo and attached pdf is to provide a clear statement of the standards and priorities I expect to maintain in the Maritime Administration.

It is impractical for me to set forth in one all-encompassing document all of my thoughts on standards and priorities for this organization. What I can do is point out the “steering stars” that I would like each of you to steady up on as we in MARAD execute our daily mission in support of this Nation’s maritime interests. You must know what to expect from me, and in turn, what I will expect from you.

Simply put, MARAD exists to promote and maintain a national maritime industry – a web of ports, shipyards, waterways, shippers and carriers – sufficient to carry the Nation’s domestic waterborne commerce and critical elements of our international commerce. We also have a national security mission: to ensure the U.S. Flag Merchant Marine is able to function as a naval auxiliary in time of war or national emergency. That is why our flag says “In Peace and War.”

Part of that mission is to ensure that we have properly trained personnel sufficient to man our ships, and thus, the U.S. Merchant Marine Academy is part of our responsibility as well. As the Administrator, it is my duty to ensure that our organization is doing everything it can to support these important missions. As you read the attached statement of Standards and Priorities, please keep them in the forefront of all you do, as “steering stars,” and we will accomplish our mission.

Sincerely,

Rear Admiral Mark Buzby
Maritime Administrator

FROM THE MARITIME ADMINISTRATOR

STANDARDS AND PRIORITIES

The three principles outlined below were common virtues in all the most successful and competent men and women that I have ever served with, be it afloat or ashore, in the Merchant Marine, or in our Navy. I pledge to you that I will be the best "Captain" that I can be; I only ask that you be the very best Shipmate that you can be. Together we will take the Maritime Administration to new heights.

PEOPLE FIRST

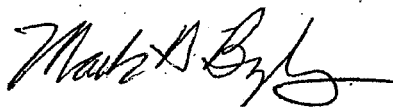
In accomplishing our mission, our people will always be the priority consideration in everything we do in MARAD. It is our people – both ashore and our mariners afloat – who make up the real strength of this organization. Our ships, equipment, and material aspects of MARAD are important, but they are nothing without skilled, motivated people bringing forth their full potential. Preparing, enabling, supporting, and challenging our people to *safely* carry their portion of the weight of our mission will be my #1 focus as your leader. Communicating clearly our needs and expectations is key to this. I ask you to do the same at your level of responsibility.

BE A PROFESSIONAL

Being a professional means that you dedicate yourself to being the very best at what it is you do. Whether you are someone with extensive responsibilities, or more modest ones, it matters not to me; true professionals immerse themselves in the details of their profession and always strive to advance and learn more. Here at MARAD, we are responsible for a very key part of our Nation's economic strength and national security. We are privileged to serve in an organization that is not profit driven, but service focused. For that service to be effective, it takes true professionals delivering their very best effort every day to make it all work. That's my "ask" of you: be that professional, own your part of the mission and don't be afraid to say so when you think we are not executing efficiently or effectively. In short, I am asking you to develop – or continue to build upon – an attitude of *ownership* for our organization which crosses all bounds. I depend upon Professionals!

BE A GOOD SHIPMATE

If you think of MARAD as a ship, and we all make up the crew, then we are all "Shipmates." Those of us who have been to sea know that it's a term that goes far beyond just "friends" or "co-workers" – it's much more than that. It connotes a commitment to place personal differences aside for the benefit of the team. "Take care of each other" – being a good shipmate boils down to just that. At sea, it is an appreciation that every person in that ship may be called upon to save a life, extinguish a fire, or defend their ship and crew. While not so finely focused for those of us who work ashore, the same mind set should apply: we must all work together to have any chance of success, and build a level of trust and respect that enables us to accomplish things well beyond our notional capability. Respect the rights and dignity of your co-workers. Be honest and forthright in all your actions. If you make a mistake (and we all will), have the fortitude to own up to it and accept the consequences if you are responsible, and then move on. All of you were born with 100% integrity. *You and you alone* control how much integrity you will retain and how much you will give away as you go through life dealing with others. Being a good Shipmate is what binds true Professionals together.



Mark H. Buzby
Maritime Administrator

SUPERINTENDENT INSTRUCTION 2017-06

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

17 August 2017

SUPERINTENDENT INSTRUCTION 2017-06

Subject: ACADEMY CORE VALUES

1. **Purpose:** To establish the core values of the United States Merchant Marine Academy.
2. **Applicability:** This policy applies to all Academy personnel, including Midshipmen, faculty, staff, and personnel of tenant agencies, whether Federal employees, military personnel or contract employees.
3. **Supersedes:** SI 2005-13, "Academy Core Values."
4. **Policy:** The Academy's core values serve as the guiding principles that help define who we are. They reflect the values we hold, and form the foundation on which we conduct business and ourselves on a daily basis. These core values serve as the foundation of our Academy culture.
5. **Procedure:**
 - a. The core values serve as the guiding principles by which Midshipmen, faculty and staff will conduct themselves in interactions with each other. The core values are as follows:
 - **Respect**
 - Promote an environment where inclusion, multiculturalism, and diversity are encouraged and valued
 - Communicate effectively and engage in healthy relationships
 - Maintain the highest level of professionalism as it relates to behavior and interpersonal skills
 - **Honor**
 - Be honest and trustworthy, and maintain the highest level of integrity

SUPERINTENDENT INSTRUCTION 2017-06

- Take responsibility and accountability for your actions and for those you lead
- Demonstrate courage and stand up for the honor of others
- **Service**
 - Generate the highest levels of trust, unity, and pride in all Academy undertakings
 - Consider the needs of others before your own self-interest
 - Engage in leadership opportunities that contribute to our Nation's maritime and military interests, and our community

b. The Academy core values statement is as follows:

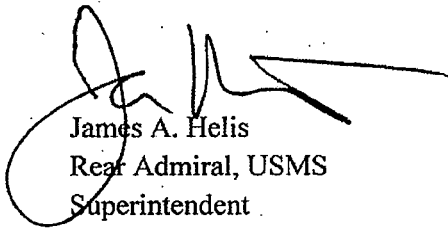
- By incorporating our core values, the Academy will educate students from diverse backgrounds in a professional and service-oriented environment. Midshipmen, faculty and staff will contribute to a student-centered academic community woven from all campus departments and entities.
- The Academy is committed to providing the best possible educational experience, both on campus and at sea, and will constantly strive to promote and maintain an optimal learning environment. The Academy will also provide a comprehensive internship program and extra-curricular experience including, but not limited to, service opportunities, engagement in the arts, clubs, and competitive athletic and recreational programs. In all their undertakings, each member of the Academy community will strive for the highest level of excellence.
- Our core values will be adopted by all members of the campus community to ensure the best possible educational and work experience while inspiring loyalty to the United States Merchant Marine Academy and its mission.

6. Responsibilities:

- a. **Superintendent:** Responsible for ensuring that all members of the Academy community are familiar with and understand the core values.
- b. **Academic Dean:** Responsible for ensuring faculty members incorporate core values into the educational program.
- c. **Commandant:** Responsible for ensuring the Regiment adopts the core values and that Regimental activities are framed around the core values.
- d. **All Academy personnel:** Responsible for using core values in daily operations and interactions.

SUPERINTENDENT INSTRUCTION 2017-06

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



James A. Helis
Rear Admiral, USMS
Superintendent

Dist. via Email

Responsible Official: Deputy Superintendent

USMMA CULTURE CAMPAIGN

Campaign Mission

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

Vision for the Academy

A campus community united in a culture that embodies respect, honor, and service.

Academy Values Statement

The Academy will educate students from diverse backgrounds in a professional and service-oriented environment in which our core values inform all that we do.

Midshipmen, Faculty and Staff will contribute to a student-centered learning community woven from all campus departments and entities.

The Academy is committed to providing the best possible educational experience both on campus and at sea and will constantly strive to promote and improve its learning environment. The Academy will also provide a comprehensive extra-curricular experience including but not limited to service opportunities, engagement in the arts, clubs, and competitive athletic and recreational programs. In all their undertakings, each member of the Academy community will strive for the highest level of excellence.

All members of the campus community will live and model our core values to ensure the best possible educational and work experience while inspiring loyalty to the United States Merchant Marine Academy and its Mission.

Core Values

RESPECT

- Promote an environment where Inclusion, Multiculturalism, and Diversity are encouraged and valued.
- Communicate Effectively and engage in Healthy Relationships.
- Maintain the highest level of Professionalism as it relates to Behavior, and Interpersonal Skills.

HONOR

- Be Honest and Trustworthy and maintain the highest level of Integrity.
- Take Responsibility and Accountability for your actions and for those under your leadership.
- Demonstrate moral courage and always choose the harder right over the easier wrong.

SERVICE

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



MARITIME ADMINISTRATION

Maritime Administration Strategic Plan

Navigating the Future

2017-2021

ACRONYMS USED IN THIS DOCUMENT

CRF	Capital Construction Fund
CCF	Construction Reserve Fund
CMTS	Committee on the Marine Transportation System
DOD	Department of Defense
DOT	Department of Transportation
ESA	Endangered Species Act
FAST Act	Fixing America's Surface Transportation Act of 2015
FASTLANE	Fostering Advancements in Shipping and Transportation for the Long-term Achievement of National Efficiencies
IMO	International Maritime Organization
ISO	International Organization for Standardization
ITS-JPO	Intelligent Transportation System Joint Program Office
MARAD	Maritime Administration
META	Maritime Environmental and Technical Assistance
MSP	Maritime Security Program
MTS	Marine Transportation System
MTSNAC	Marine Transportation System National Advisory Council
NDRF	National Defense Reserve Fleet
PEAR	Position Enrichment and Realignment
R&D	Research and Development
RRF	Ready Reserve Force
SMA	State Maritime Academies
TEU	Twenty-foot equivalent unit
TIGER	Transportation Investment Generating Economic Recovery
Title XI	Maritime Guaranteed Loan Program
TRB	Transportation Research Board
USMMA	United States Merchant Marine Academy
USCG	United States Coast Guard
VISA	Voluntary Intermodal Sealift Agreement

MESSAGE FROM THE MARITIME ADMINISTRATOR

I am pleased to present the Maritime Administration Strategic Plan for fiscal years 2017-2021. This Plan identifies the priorities and expected accomplishments of the Maritime Administration (MARAD) during a time of significant challenges and opportunities for the Agency, the maritime industry and the United States maritime transportation system.

MARAD is the only agency in the Department of Transportation that was created specifically to perform a national security mission. By law, and by Presidential directive, the U.S. military must rely on American mariners and the American commercial fleet, to meet our national defense needs. MARAD is charged with ensuring that the U.S. merchant marine – vessels and mariners – is large enough to meet the military's requirements.

Our mission is to improve, strengthen and promote the U.S. maritime transportation system to meet the economic, environmental and security needs of the Nation. In our work across the Government and the U.S. maritime industry, we support and advocate advancements in the business of shipping and maritime transportation, both domestically and internationally.

MARAD is responsible for ensuring that the U.S. maritime transportation system is up to the task of meeting these needs, now and in the future. The U.S. maritime transportation system continues to face significant challenges due to aging ships and infrastructure, and foreign competition making it difficult to retain the resources that meet the needs of our country.

The maritime transportation system of the United States—including waterborne transportation, landside infrastructure, the shipbuilding and repair industry, and labor—integrates our economy with a vast global network of systems that moves more than 90 percent of world trade tonnage, including consumer goods, agricultural products, energy and raw materials.¹ Of the goods that the U.S. imports and exports, approximately 72 percent by weight and 44 percent by value move by water transportation and through our national port system.²

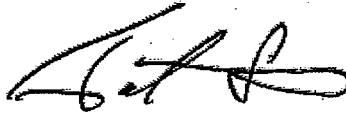
To meet the National policy mandate, our programs and advocacy of the U.S. maritime industry are founded on the broad objectives of education, jobs, economic competitiveness, safety, and environmental sustainability. MARAD programs encompass cargo development, international and domestic trading vessels, sealift and national security, the maritime workforce, ports and intermodal infrastructure, shipbuilding and ship repair, and maritime operational solutions. These programs are linked to help assure the National policy goal of a healthy U.S. maritime transportation system to support the Nation's economic and national security.

From around the country at our Gateway Offices, the U.S. Merchant Marine Academy, the Ready Reserve Force sites, and at our Headquarters, our workforce fully embraces its

¹ Source: United Nations, International Maritime Organization. <https://business.un.org/en/entities/13>

² DOT/Bureau of Transportation Statistics, Freight Facts and Figures 2015, Figure 2-9 U.S. International Merchandise Trade Value and Weight by Transportation Mode: 2014. http://www.rita.dot.gov/bts/sites/rita.dot.gov.bts/files/data_and_statistics/by_subject/freight/freight_facts_2015/chapter2/fig2_9

commitment to our mission and to our Strategic Plan goals. It is through our workforce's dedicated and determined commitment to organizational excellence that we will accomplish these vitally important goals. By doing so, we will help to ensure the strength of the U.S. economy, ensure our national security and readiness, achieve environmental sustainability, create new jobs, and inspire and educate the next generation of mariners.

A handwritten signature in black ink, appearing to read 'J. Szabat', with a stylized, flowing script.

JOEL SZABAT
Executive Director
in lieu of the Administrator

THE MARITIME ADMINISTRATION MISSION AND VISION

MISSION

To foster and promote the U.S. Merchant Marine and the American maritime industry to strengthen the maritime transportation system – including landside infrastructure, the shipbuilding and repair industry, and labor – to meet the economic and national security needs of our nation.

The Maritime Administration (MARAD) is charged with carrying out the National policies established by the Merchant Marine Act of 1936 (1936 Act), as amended, which provide for the U.S. government's support of the merchant marine.³ This statute declares it necessary for the national defense and the development of the domestic and foreign commerce of the United States to have a merchant marine:

- (1) sufficient to carry the waterborne domestic commerce and a substantial part of the waterborne export and import foreign commerce of the United States and to provide shipping service essential for maintaining the flow of the waterborne domestic and foreign commerce at all times;
- (2) capable of serving as a naval and military auxiliary in time of war or national emergency;
- (3) owned and operated as vessels of the United States by citizens of the United States;
- (4) composed of the best-equipped, safest, and most suitable types of vessels constructed in the United States and manned with a trained and efficient citizen personnel; and
- (5) supplemented by efficient facilities for building and repairing vessels.

For this reason, Congress declares in the statute that *"It is the policy of the United States to encourage and aid the development and maintenance of a merchant marine satisfying the objectives described."*

Since 1775, the marine transportation industry has met the needs of our Nation during times of peace and war. The U.S.-flag fleet, the maritime workforce, seaports and the nation's shipbuilding and repair capability continue to be critical components of the transportation infrastructure and military readiness.

VISION

An innovative, competitive U.S. maritime system that enhances our Nation's multimodal mobility and ensures our national and economic security in an increasingly globalized world.

³ 46 U.S. Code § 50101

ABOUT THE MARITIME ADMINISTRATION

MARAD is the agency within the U.S. Department of Transportation (DOT) that supports the United States maritime industry. Its programs promote the use of waterborne transportation, and its seamless integration with other modal components of the transportation system, and the viability of the U.S. Merchant Marine.

Commercial mariners, vessels, and intermodal facilities are vital for supporting national and economic security. MARAD is charged with maintaining the health of all U.S. maritime industry components, including ships and shipping, the U.S. Merchant Marine, shipbuilding and repair, education and workforce development, landside port infrastructure, waterways and intermodal connectors, maritime safety and security, environmental protection, port operations, vessel operations and national security.

MARAD also advocates for the maritime industry; manages assets in support of the Department of Defense (DOD), including maintaining a fleet of government-owned cargo vessels; administers and funds the Maritime Security Program (MSP); operates the U.S. Merchant Marine Academy (USMMA) at Kings Point, NY; provides training ships, funding and other support for the six State Maritime Academies (SMA) (Maine, Massachusetts, New York, Texas, California and Michigan); and administers the Federal Ship Financing Program (Title XI).⁴

To encourage a strong U.S. Merchant Marine for both national defense and economic security, the Jones Act (46 U.S.C. § 55101) requires that cargo being transported by water between U.S. points must travel in U.S.-built and U.S.-citizen owned and crewed vessels that are registered in the United States. MARAD strongly supports the Jones Act, the U.S. commercial fleet, and the highly trained mariners who crew those vessels.

As an advocacy organization, MARAD works with many valued partners including other Federal government agencies, port authorities, state, local and regional transportation planning organizations, schools and maritime academies, and others that own and operate key transportation infrastructure or provide transportation services. Other agencies of the Federal government have diverse responsibilities for maintaining infrastructure- such as navigation channels, shipping lanes, locks, and inland and other waterways. Our strategy seeks to strengthen coordination among government agencies and between the U.S. maritime industry and international organizations. Many of these organizations provide a service, capability, or requirement relevant to MARAD's mission, which necessitates strong partnerships as a vital factor to our success.

⁴ The Federal Ship Financing Program (commonly referred to as Title XI) was established by the Merchant Marine Act of 1936 (46 U.S.C. Chapter 537) and provides for a full faith and credit guarantee by the U.S. Government to promote the growth and modernization of the U.S. Merchant Marine and U.S. shipyards.

CHALLENGES FACING THE U.S. MARITIME INDUSTRY

The U.S. maritime industry, including operating companies, ports and waterways, shipbuilding, and maritime jobs has not kept pace in recent years with advances in global trade and technology. Even though the United States is the world's largest trading nation, growth in global trade has outpaced the ability of the U.S. maritime industry to efficiently meet increasing demand.

To meet the current and future needs of the Nation, the U.S. maritime industry and MARAD must address a host of challenges. These include:

- Maintaining U.S.-flag ships in international trade,
- Ensuring that ports and related infrastructure can accommodate the largest vessels operating in global trade,
- Maintaining a supply of qualified merchant marines to crew reserve ships for defense and emergency sealift,
- Maintaining capacity to build and repair large ships,
- Mitigating maritime transportation impact on the environment and communities,
- Supporting innovative and clean technology for ports and vessels, and
- Ensuring that MARAD can effectively carry on its mission into the future.
- Advocate for adequate landside and waterway infrastructure to support our nation's future maritime transportation needs.

To carry out its mission and statutory responsibilities, MARAD provides expert technical and professional skills for a variety of programs, including national security planning and operations, cargo movement, environmental compliance, safety, maritime security, vessel design and construction, infrastructure development, international and domestic vessel operations, and maritime finance. These programs are intended to foster a strong merchant marine, American jobs, and investment in the maritime transportation infrastructure. To meet these needs, MARAD has prepared this Strategic Plan with broad strategic goals, and strategic objectives to attain these goals.

In coordination with other DOT modes, MARAD addresses the most pressing issues facing the maritime transportation system, including the need for expanding the capacity of our Nation's seaports, landside infrastructure, and intermodal connections to accommodate larger ships and increased cargo volume. DOT/MARAD also mediates competing interests for transportation investments, forges working partnerships with both industry and other government agencies (at the Federal, State and local level), and administers Federal maritime related grants supporting Transportation Investment Generating Economic Recovery (TIGER), Fostering Advancements in Shipping and Transportation for the Long-term Achievement of National Efficiencies (FASTLANE), and America's Marine Highway projects.

The availability of a sufficient number of qualified U.S. mariners is a growing concern. In times of national emergency, mariners are needed on short notice to crew U.S. government-owned ships, while also maintaining domestic and international maritime commerce that is the lifeblood

of the U.S. economy. With the declining number of oceangoing ships in the U.S.-flag fleet, the supply of readily available qualified mariners is correspondingly in decline. This critically important issue is addressed in the Maritime Workforce Strategic Goal.

Stipends paid under the MSP and U.S.-flag carrier access to government-impelled preference cargoes serve to help compensate carriers for the operating cost differential between U.S.-flag and foreign-flag vessels. Most of the U.S.-flag ships operating in international trades receive a stipend under the MSP or rely on preference cargoes to remain profitable. Although the MSP stipend has been increased to cover inflation in recent years, reductions in Department of Defense (DOD) and other preference cargoes since 2012, and increasing operating costs, have caused many non-MSP ships to leave the U.S.-flag fleet.

The shipbuilding and repair industry is a vital part of this country's transportation system and is part of the strong industrial base that assists in meeting the DOD and Department of Homeland Security (U.S. Coast Guard (USCG)) shipbuilding and repair requirements. A recent MARAD economic study shows that shipbuilding activity extends to all 50 states, from vendor and supplier contributions to actual shipbuilding and repair operations.⁵ Although no new large oceangoing vessels for the international trades have been built in U.S. shipyards for more than two decades, U.S. shipyards are constructing limited numbers of state-of-the-art commercial vessels for domestic use. U.S. shipyards currently produce fewer than 5 large self-propelled commercial vessels per year, relative to world production of 1,440 such ships per year. The U.S. production rate is expected to continue this decline as demand for tanker construction is likely to fall off over the next decade.

The ability to sustain commercial shipbuilding is critical to the Nation's ability to expand production during national emergencies. In addition to adequate shipbuilding infrastructure, it is imperative to maintain a skilled shipyard labor force, which has regrettably declined in recent years due to U.S. shipyard closures, a decline in the U.S. vendor base, and low-cost international competition.

⁵ Maritime Administration, *The Economic Importance of the U.S. Shipbuilding and Repairing Industry*, November 2015.

THE STRATEGIC PLAN

As an operating administration within DOT, MARAD's strategic goals are aligned with the Department's strategic goals. A primary MARAD responsibility within DOT is to support and develop the Nation's maritime transportation system so that it can move sufficient foreign and domestic commerce to accommodate economic growth, and provide military sealift and humanitarian aid response during national emergencies. MARAD also connects with maritime industry stakeholders and partners to help support, advocate for, and focus public/private infrastructure investments on the national freight network and on multi-modal freight corridors.

DOT STRATEGIC PLAN (2014-2018)

The Department of Transportation Strategic Plan sets the direction for DOT to provide safe, efficient, convenient and sustainable transportation choices through five Strategic Goals;

- **Safety** – Improve public health and safety by reducing transportation-related fatalities and injuries for all users working toward no fatalities across all modes of travel;
- **State of Good Repair** – Ensure the U.S. proactively maintains critical transportation infrastructure in a state of good repair;
- **Economic Competitiveness** – Promote transportation policies and investments that create ladders of opportunity, support strong communities, and bring lasting and equitable economic benefits to the Nation and its citizens;
- **Quality of Life in Communities** – Foster quality of life in communities by integrating transportation policies, plans, and investments with coordinated housing and economic development policies to increase transportation choices and access to transportation service for all; and
- **Environmental Sustainability** – Advance environmentally sustainable policies and investments that reduce carbon and other harmful emissions from transportation sources, reduce our nation's dependence on foreign oil, improve air quality, and promote public health.

In addition to the five mission-aligned strategic goals listed above, DOT also includes other goals for **Organizational Excellence, Security, Preparedness, and Other Supporting Objectives**.

MARAD STRATEGIC GOALS

To support accomplishment of the DOT Strategic Goals and to achieve the MARAD mission in support of the U.S. maritime transportation system, the following MARAD Strategic Goals are established:

- I. **Support U.S. Maritime Capabilities** - strengthen and ensure the safety, security, and efficiency of maritime capabilities that are essential to U.S. economic and national security.

2. **Maintain and Modernize the Maritime workforce** – inspire, educate, and expand opportunities for the next generation of mariners, including maximizing the potential of the USMMA.
3. **Improve, Expand, and Protect Waterborne transportation** – improve and expand waterborne transportation to reduce landside congestion and increase mobility throughout the domestic transportation system and expand capacity of U.S. international gateway ports. Protect maritime and other transportation infrastructure from the growing adverse impacts of a changing climate.
4. **Environmental Impacts** – minimize adverse environmental impacts and maximize the public benefits of water transportation on communities.
5. **Maritime innovation** – drive innovation in the U.S. maritime industry.
6. **Organizational Excellence** – in parallel with the Department's goals, MARAD embraces Organizational Excellence through strong leadership and workforce development within available resources.

The following table shows the relationship between the Maritime Administration's and Department of Transportation's goals.

RELATIONSHIP BETWEEN DOT AND MARAD GOALS

STRATEGIC RELATIONSHIP BETWEEN THE DEPARTMENT OF TRANSPORTATION AND MARITIME ADMINISTRATION GOALS	
MARAD	DOT
Support U.S. Maritime Capabilities - strengthen safe, secure, and efficient maritime capabilities that are essential to economic and national security. Maritime workforce – inspire, educate, and expand opportunities for the next generation of mariners, including maximizing the potential of the USMMA.	Safety – Improve public health and safety by reducing transportation-related fatalities and injuries for all users working toward no fatalities across all modes of travel. Note: DOT does not have a specific strategic goal for security, but includes it as a supporting goal.
Improve, Expand and Protect Waterborne transportation – improve and expand waterborne transportation to reduce congestion and increase mobility throughout the domestic transportation system and expand capacity of U.S. international gateway ports. Protect maritime and other transportation infrastructure from the growing adverse impacts of a changing climate.	State of Good Repair – Ensure the U.S. proactively maintains critical transportation infrastructure in a state of good repair.

<p>Support U.S. Maritime Capabilities - strengthen safe and efficient maritime capabilities that are essential to economic and national security.</p> <p>Maritime Workforce – inspire, educate, and expand opportunities for the next generation of mariners, including maximizing the potential of the USMMA .</p> <p>Improve and Expand Waterborne Transportation – improve and expand waterborne transportation to reduce congestion and increase mobility throughout the domestic transportation system and expand capacity of U.S. international gateway ports. Protect maritime and other transportation infrastructure from the growing adverse impacts of a changing climate.</p> <p>Maritime Innovation – drive innovation in the U.S. maritime industry.</p>	<p>Economic Competitiveness – Promote transportation policies and investments that create ladders of opportunity, support strong communities, and bring lasting and equitable economic benefits to the Nation and its citizens.</p> <p>Note: DOT does not have a specific strategic goal for security, but includes it as a supporting goal.</p>
<p>Support U.S. Maritime Capabilities - strengthen maritime capabilities that are essential to economic and national security, including maritime education.</p> <p>Environmental Impacts – minimize the adverse environmental impacts and maximize the public benefits of water transportation on communities.</p>	<p>Quality of Life in Communities – Foster quality of life in communities by integrating transportation policies, plans, and investments with coordinated housing and economic development policies to increase transportation choices and access to transportation service for all.</p> <p>Note: DOT does not have a specific strategic goal for security, but includes it as a supporting goal.</p>
<p>Environmental Impacts – minimize the adverse environmental impacts and maximize the public benefits of water transportation on communities.</p>	<p>Environmental Sustainability – Advance environmentally sustainable policies and investments that reduce carbon and other harmful emissions from transportation sources, reduce our nation's dependence on foreign oil, improve air quality, and promote public health.</p>
<p>Organizational Excellence - Ensure that MARAD and the USMMA is best achieving the goals of the Department within available resources.</p>	<p>Organizational Excellence - develop an innovative, world-class organization to advance the U.S. Transportation system and serve the nation's long-term safety, social, Economic, security, and environmental needs.</p>

STRATEGIC GOAL 2: MAINTAIN AND MODERNIZE THE MARITIME WORKFORCE

Inspire, educate, and expand opportunities for the next generation of mariners, including maximizing the potential of the USMMA.

The United States maintains a workforce of highly qualified maritime professionals, reflecting a strong tradition of education and training. However, the maritime workforce qualified for blue ocean vessel operations has been declining in recent years to the point that it may be difficult in the future to activate and crew all government-owned sealift capacity during surge operations. An aging workforce, stricter credentialing and certification requirements, and importantly, the lack of mariner positions in the industry as U.S.-flag commercial vessels leave the fleet are the primary contributing factors to this pending shortage.

A critical component of the Nation's ability to respond to national emergencies and meet defense sealift requirements is the availability of a sufficient number of highly trained merchant marine officers to safely and efficiently operate our fleet. Although the number of ships and crew requirements have been in decline, as older mariners retire there remains consistent demand for U.S. citizen mariners who are skilled in the best practices and latest technologies used in marine transportation.

To respond to an emergency, a sufficient pool of mariners must be available for employment at any time. Because employment on reserve ships is completely voluntary, it is difficult to determine the number of qualified mariners that are actually available and willing to serve on short notice. A better method of identifying the supply of mariners who are qualified and available needs to be developed.

MARAD is a major contributor to the replenishment of the U.S. maritime workforce, ensuring that sufficient mariners are available for national security purposes through its support of the USMMA and the six SMAs (Maine, Massachusetts, New York, Texas, California and Michigan). Maritime Academy graduates who receive Federal assistance must satisfy an obligation to work in the maritime industry for a minimum number of years and also serve as naval reservists, or enter active military service.

Also critical to the Nation's ability to respond to global events and to participate in world trade is the ability to innovate and manage shipping services. The USMMA and the SMAs educate the next generation of shipping executives and leaders. Therefore, the USMMA and the SMAs must be capable of providing a first-rate education to our young people – an education that encourages innovation and is aligned with the global nature of international shipping.

The industry will also need to diversify if it is to attract the best talent. In order to diversify, the industry will need to increase diversity recruitment and update policies and introduce practices to make it a more welcoming environment for women and minorities. In a June, 2016 "Call to Action," ship owners and labor leaders committed to work with MARAD to address sexual assault and harassment issues in the maritime industry. MARAD will continue this work to ensure that the educational and workplace environment is safe from sexual harassment and

sexual assault and any other discriminatory practices as the workforce becomes more diverse.

Another challenge facing training of merchant mariners is the aging of government-owned reserve sealift and training ships. RRF vessels have an average age of 41 years, though many are now approaching 50 years old. Many of these vessels are outdated and inefficient to operate and require larger crews than modern ships. Similarly, the training ships supplied to the USMMA at Kings Point, NY and the six SMAs are also inadequate to train mariners to operate modern ocean-going vessels. For example, the New York Maritime Academy's training vessel EMPIRE STATE is now 54-years old (built 1962). In contrast, today's commercial vessels have a typical operational life of 20 to 25 years.

The marine transportation workforce includes those employed in the shipbuilding and repair industry. These highly skilled specialized workers are essential for operation of this industry. MARAD does not directly educate these workers but can act as a catalyst to train this workforce for shipyard jobs in construction and repair.

To make progress toward this goal, MARAD will take action on the following objectives:

Objective 2.1 Ensure that U.S. mariner requirements for economic and national security are identified and met.

Objective 2.2 Modernize the USMMA and SMA school ships, training and education facilities or facilitate other suitable alternative training opportunities that meet international requirements.

Objective 2.3 Standardize certification of shipyard job types to promote labor mobility among shipyards.

Objective 2.4 Facilitate an educational and workplace environment that is unbiased and safe from sexual harassment and sexual assault, as well as any other discriminatory practices or behavior

Objective 2.5 Engage the K-12 and post-secondary (non-maritime academy) institutions to promote Science, Technology, Engineering and Math (STEM) education and maritime career opportunities

STRATEGIC GOAL 5: MARITIME INNOVATION

Drive innovation in the U.S. maritime industry

Research and innovation have the potential to revitalize the maritime industry by providing mobility solutions, improved processes and next-generation technologies, which can spur employment opportunities for the industry and generate new spin-off industries. Some of these include investment to support maritime research and development (R&D), innovation in shipbuilding and design, identifying and supporting research and development needs for improved dredging techniques and dredged material placement options, and identifying and supporting training, research, and development for more effective oil spill prevention planning, and response.

MARAD will work within the framework established by the National Academies of Science/Transportation Research Board (TRB) and the Committee on the Marine Transportation System (CMTS), to encourage research and programs to develop tools that identify maritime-related bottlenecks and make reliable predictions to assist in evaluating strategic choices, setting priorities and justifying investments.¹²

In addition to its ongoing work to minimize environmental and community impacts, MARAD will work to expand its involvement with DOT's Intelligent Transportation System Joint Program Office (ITS-JPO), to identify strategies, best practices, and new operational and analytical tools that can be applied to the maritime industry.

To make progress toward this goal, MARAD will take action on the following objectives:

Objective 5.1 Leverage existing ITS technologies and innovations and applications to benefit maritime/intermodal transportation.

Objective 5.2 Leverage technologies to improve information flow for secure door-to-door tracking of cargoes including movements of cargoes on vessels, through ports, and on connecting surface transportations systems.

Objective 5.3 Leverage the development of innovative ship designs and business processes suitable for U.S. domestic carriers and shipyards.

Objective 5.4: Sustain progress in research, innovation, and deployment, including advanced technology for automation, ship design, shipyards, ports, and carriers.

¹² The CMTS is a Federal Cabinet-level, inter-departmental committee chaired by the Secretary of Transportation. The purpose of the CMTS is to create a partnership of all Federal departments and agencies with responsibility for the marine transportation system. The role of the CMTS is to ensure the development and implementation of national marine transportation system policies that are consistent with national needs and to report to the President its views and recommendations for improving the marine transportation system. Source: Committee on the Marine Transportation System website,

Objective 5.5: Position the USMMA as a leader and partner in maritime research and innovation.

STRATEGIC GOAL 6: ORGANIZATIONAL EXCELLENCE

Embrace Organizational Excellence through strong leadership and workforce development.

We must meet demands placed on MARAD to ensure the success of our mission through strong leadership, a well-trained and diverse workforce and achievement of our strategic goals. Working toward the goal of organizational excellence is a process of continuous improvement and adaptation to changing mission and organizational support needs of the Department.

To work towards this goal, MARAD optimizes and aligns personnel, financial and infrastructure resources to meet current and future strategic goals, as well as the priorities of both DOT and MARAD. Training and continuity of corporate knowledge to the future workforce is imperative.

MARAD has initiated a Knowledge Management Team to strengthen knowledge transfer among employees. MARAD has also established and is implementing a Position Enrichment and Realignment (PEAR) initiative to better position the organization for future mission requirements by building a highly effective pipeline for leadership positions. MARAD will continue to operate a robust training program, including internal and external training and tuition assistance, to further the skills of the workforce.

A modern, secure, and efficient information technology (IT) system is essential for the MARAD workforce to meet mission-essential program requirements and security priorities. Organizational excellence requires that MARAD meet Federal and Departmental guidance specific to digital services while increasing operational efficiency within available resources. To accomplish this, MARAD will continue to leverage new technologies and best practices to improve management and deliver timely, authoritative data for effective decision-making across all programs. Note: MARAD maintains a separate IT Strategic Plan with specific goals and objectives for its information technology infrastructure.

We must ensure that the USMMA meets and exceeds every requirement for maintaining its accreditation from the Middle States Commission on Higher Education. MARAD must ensure that the appropriate authorities for administration and governance are restored to the USMMA Superintendent. The problems of sexual assault and harassment must be addressed and overcome. The USMMA must be positioned to meet its mission in a manner fitting a unique National institution of higher education, maritime expertise, and military training.

To make progress toward this goal, MARAD will take action on the following objectives:

Objective 6.1 Maintain and improve a talented, dedicated, and diverse workforce that ensures that MARAD personnel remain well-trained, engaged and committed to achievement of the agency's annual and long term performance targets.

Objective 6.2 Maintain effective and efficient administrative support to meet DOT and MARAD strategic priorities and leadership imperatives.

Objective 6.3 Ensure execution of MARAD's and the USMMA's IT Strategic Plans and Enterprise Architecture Transition Strategy and meet Federal Enterprise Architecture and other Federal mandates.

Objective 6.4: Support the USMMA Strategic Planning process to ensure that the USMMA aligns with DOT objectives and meet its unique mission.



HUMAN CAPITAL INVENTORY

A Comprehensive Assessment and Analysis of The U.S. Merchant Marine Academy's Workforce



Detailed Findings - Strengths

USMMA has significant strengths to build upon for the future

- There are high levels of pride in the institution, which has been diminished only somewhat by recent setbacks
- Most faculty and staff demonstrate a strong commitment to the Academy and midshipmen
- USMMA has a compelling mission and history, and differentiates itself as the only Federal Maritime Academy
- Many faculty and staff across the Academy have significant institutional knowledge and subject matter expertise that will help support future succession planning needs



Detailed Findings – Staffing Levels

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- A number of areas may not have appropriate staffing levels to effectively support campus needs
 - HR is widely viewed as being understaffed relative to demand and need, and is not staffed at optimal industry standards (neither the higher education standard nor the federal standard)
 - DPW is significantly understaffed, and lack of funds prevents contracting out additional services (Federal guidelines suggest out-sourcing most facilities functions)
 - Advising (ACE) does not appear to have adequate professional staff to support midshipmen needs and expanded goals for academic rigor and student success
 - Just 1 dedicated professional serves an average of 700 on-campus midshipmen, below the industry standard of 1 to 350 (given the rigor of USMMA's curriculum, lower is probably needed)
 - Admissions has been experiencing high turnover, resulting in chronic understaffing
 - The IT department currently has no full-time Federal personnel for General Network needs. Hiring actions are underway for 2 personnel, but even this is likely inadequate



Detailed Findings – Staffing Levels

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- A number of areas may not have appropriate staffing levels to effectively support campus needs (cont.)
 - Areas within OAFM may not have sufficient staff to provide optimal levels of centralized services to the campus
 - Administrative services has numerous positions that have been defunded over the preceding number of years, resulting in significant capability gaps
 - Public Safety lacks personnel to have any after-hours presence, except by overtime
 - Historical staffing levels supporting the SARC program have recently been greatly expanded



Detailed Findings – Staffing Levels

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- Much of the workforce is aging, and significant turnover from retirements should be anticipated over the next 5 – 10 years
 - Currently, 23% of the faculty is retirement eligible
- There is no formal long-term hiring or succession plan to support anticipated retirements, placing future recruitment efforts and effective transfer of institutional knowledge at risk
- Inability to resolve long-term administrative issues and Worker's Comp claims results in extended vacancies in real terms, although positions remain nominally filled



Detailed Findings – Staffing Levels

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- There may be an imbalance in allocation and distribution of faculty across the Academy
 - Final decisions are pending the results of a curriculum review, but expectations are that there is a shortage of faculty in key growth areas such as general education and leadership development
 - Previously offered sub-specialties in the Marine Engineering Systems major are no longer available due to instructor unavailability
 - Heavy use of adjuncts remains a concern due to the lack of continuity in instruction for programs that are an established part of the curriculum



Detailed Findings – Organizational Structure

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- Current organizational structures may be a barrier to providing optimal services
 - The Sea Year Program is disjointed and lacks centralized authority and decision making
 - DPW and CIP are not connected in any meaningful organizational way
 - Administrative Services is nominally under the XO's authority, but has no staff in that department. Commandant's staff continues to perform the services, often in conjunction with other duties unrelated to the Commandant department's mission
 - HR, EEO (Civil Rights), and SAPRO are sub-optimally connected in ways to provide services to faculty and staff, as EEO and SAPRO exist largely to support midshipmen needs
 - Waterfront division relies heavily on high-cost contacted personnel, and the training vessel master has split responsibility between two departments with dysfunctional linkage
 - Athletics programs do not all reside within PE&A, reducing synergies, diluting funding and not optimizing subject matter expertise



Detailed Findings – Organizational Structure

The current organizational structure and staffing levels in key areas are not maximizing organizational effectiveness, efficiency and productivity

- The administrative/clerical staff structure supporting the academic enterprise is not consistently supporting the needs of academic departments and faculty
 - In many cases, administrative staff has been eliminated without a corresponding workload review to justify the manpower change
- Technical responsibility for instructional technology and A/V systems resides in three separate department without organizational linkage (IT, Dean's office, DPW)



Detailed Findings-Competency/Skill Gaps

Opportunities exist to build stronger workforce competencies and capabilities across a number of campus units

- There is a need for more strategic marketing and branding capabilities, and robust support for developing internal communications, creating marketing materials, and providing web support
- There is no dedicated resource addressing advocacy, government relations, Parent's Club activities or Alumni issues which is likely resulting in missed opportunities to expand funding and support across all stakeholders
- Admissions lacks dedicated social media and email marketing expertise
- Purchase card activities consume significant time for several departments, but program direction is directly from MARAD HQ, without any on-campus subject matter expertise
- The IT department lacks security expertise and experienced with applications unique to an institution of higher education



Detailed Findings-Competency/Skill Gaps

Opportunities exist to build stronger workforce competencies and capabilities across a number of campus units

- Academic capabilities must be strengthened across the institution
 - Full-time and adjunct faculty are not provided with strong development and mentoring support, which may be contributing to inconsistencies in the quality of teaching
 - Many new faculty come straight from industry and lack even basic instructional training



Detailed Findings-Diversity and Inclusion

Current efforts toward faculty and staff diversity and inclusion priorities are in need of improvement

- Challenges in achieving a diverse and inclusive work culture must be addressed in order to effectively support the Academy's strategic diversity priorities
 - No strategic diversity goals have been established for faculty and staff
 - Search and recruitment efforts are not producing a truly diverse workforce
 - The Academy lacks human capital strategies to support successful diversity and inclusion efforts (diversity recruitment plan, career paths, promotion strategies, mentoring programs, training and development that supports diversity and inclusion, and effective performance management strategies to address diversity concerns)
 - Promoting and supporting diversity and inclusion has not been established as a goal for faculty and staff
 - Historical investments in resources (human and financial) to support functions responsible for diversity and inclusion efforts have been lacking



Detailed Findings-Culture and Morale

Culture and morale challenges may serve as a barrier to achieving the Academy's vision and strategic priorities

- A "siloeed" culture is likely limiting levels of collaboration, collegiality, and engagement across the institution
- Divisions exist within and between faculty and staff
- Levels of accountability across the campus are reportedly inconsistent, with some faculty and staff exhibiting a "9 to 5" and/or "that's not my job" mentality
- Internal communications are insufficient in frequency and detail, and may be perceived as a lack of transparency in employee communications



Detailed Findings-Strategic HR

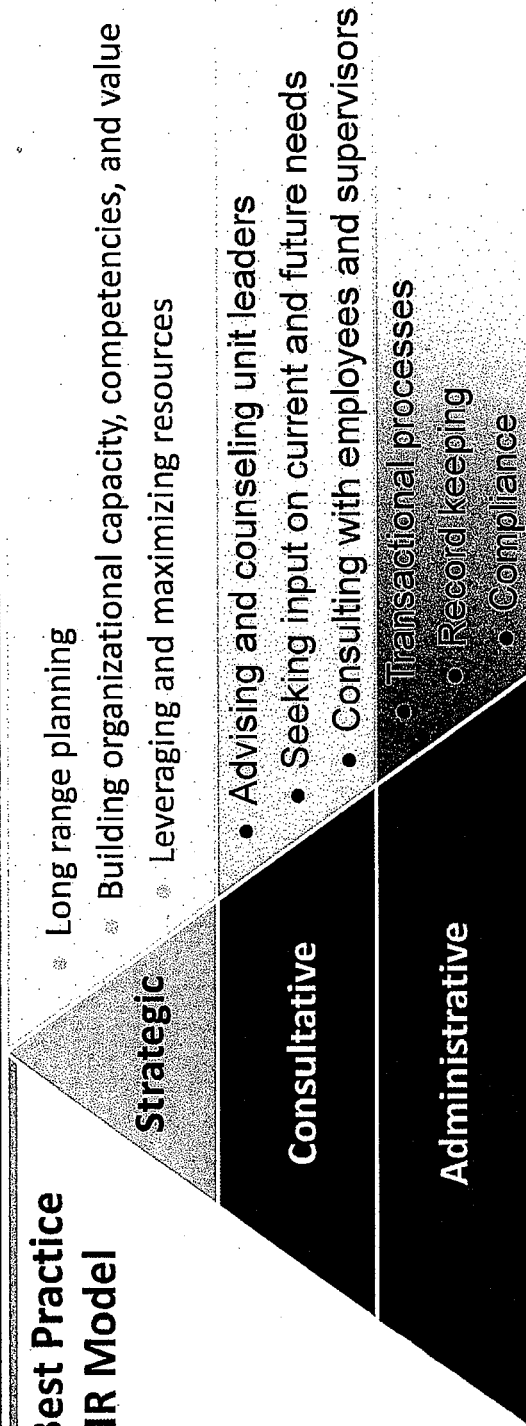
Strong human capital and workforce strategies and capabilities are lacking

- A higher service level and more strategic and value-added services are required from HR
 - HR is perceived as overwhelmed and not having the tools and resources to be more strategic
 - HR is viewed as transactional, and having limited capabilities to provide strategic services
 - Campus customers express frustration about what they view as bureaucratic and cumbersome HR processes
 - Faculty and staff report long turnaround times on HR matters
 - There is no on-campus capability to conduct supervisory training or employee discipline, function as an OMB examiner, or resolve Worker's Comp issues

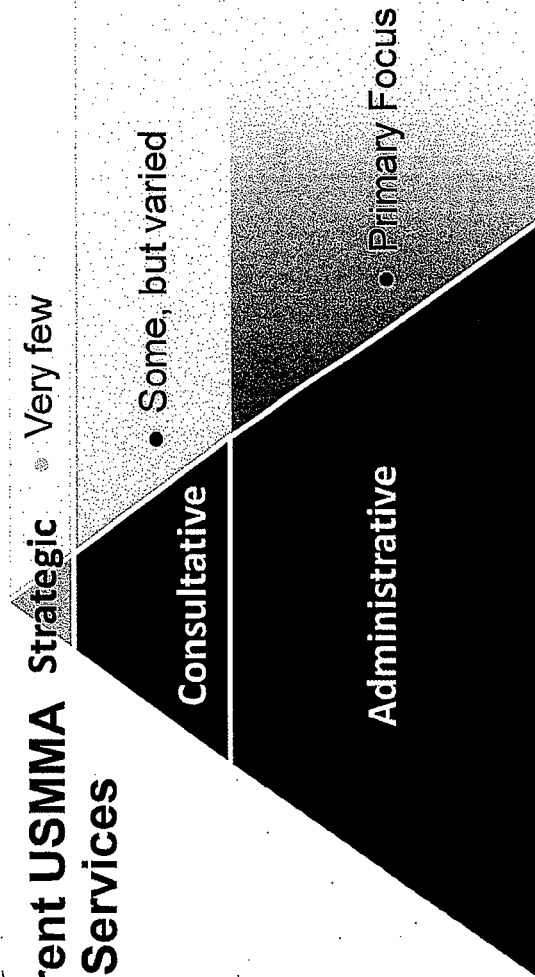


Detailed Findings-Strategic HR

Best Practice HR Model



Current USMMA HR Services





Detailed Findings-Strategic HR

Strong human capital and workforce strategies and capabilities are lacking

- HR has not been staffed to support more strategic and consultative programs and services, and existing staff are burdened with manual processes and transactional work
 - Current HR staffing levels are not on par with ideal industry staffing ratios for HR organizations
 - The 4 nominal professional level staff members have potential competencies to support more strategic HR functions, but they are spending significant time and energy on transactional activities, a problem compounded by consistent long-term staff absences
 - Technology has not been leveraged to streamline processes and reduce transactions in order to shift current HR FTE focus to more value-added work



Detailed Findings-Strategic HR

Strong human capital and workforce strategies and capabilities are lacking

- Current training and development efforts are reportedly not meeting the needs and demands of faculty
 - There is no comprehensive Chair training
 - Faculty mentoring is uneven
 - A more robust and comprehensive faculty orientation program that covers a broader range of topics and creates stronger networks among faculty is needed
 - Full-time and adjunct faculty are not provided with strong development and mentoring support, which may be contributing to inconsistencies in the quality of teaching
 - Many new faculty come straight from industry and lack even basic instructional training



Detailed Findings-Strategic HR

Strong human capital and workforce strategies and capabilities are lacking

- Training and professional development opportunities for staff are limited
 - There is no comprehensive leadership/supervisory training and development program, potentially limiting the effectiveness of managers and leaders
 - New employee orientation could be expanded to provide a broader and more dynamic welcome to the Academy and assimilation to its culture
 - IT/technology training is reportedly limited, resulting in underutilization of existing tools and technology to support higher levels of productivity



Detailed Findings-Strategic HR

Strong human capital and workforce strategies and capabilities are lacking

- The Academy lacks meaningful programs and strategies to adequately support future human capital needs
 - Recruitment of faculty and staff is largely transactional, and the Academy does not have a strategic recruitment plan to support hiring needs for the future
 - The HR processes for hiring and recruiting are perceived as manual, cumbersome and not adequately supporting departmental needs
 - Timelines to complete the recruitment and hiring process are reportedly too long, and may result in the loss of strong candidates

SUPERINTENDENT INSTRUCTION 2017-07

UNITED STATES MERCHANT MARINE ACADEMY
KINGS POINT, NY

August 21, 2017

SUPERINTENDENT INSTRUCTION 2017-07

Subject: **INSTITUTIONAL EFFECTIVENESS**

1. Purpose: To establish a policy governing the Academy's ongoing process of ensuring institutional effectiveness, guided by the Strategic Plan, Strategy Execution and Assessment (SEA) Process, and Assessment Framework, in order to provide information necessary to effectively plan and allocate resources based on the institution's mission and goals.
2. Background: The Academy is committed to conducting ongoing planning and resource allocation processes based on its mission and goals, developing strategies to achieve them, and utilizing the results of assessment activities for institutional renewal and continuous improvement. The Academy's Institutional Effectiveness Plan and its Assessment Framework provide a systematic and sustainable process for evaluating overall institutional effectiveness in achieving its mission and strategic goals. Implementation and subsequent evaluation of the success of the strategic plan, as well as strategic resource allocation, will support development and change necessary to improve overall excellence at the Academy.

The Academy's Strategic Plan is the basis for all educational and operational plans at the Academy. All Academy departments and programs will develop goals and desired outcomes based on the overarching institutional mission and goals. Each department and program will develop an assessment plan with strategies and meaningful metrics so that its outcomes and progress toward achieving departmental and institutional goals can be evaluated and adjusted as needed. The departments and programs will document assessment results, which will undergo interdisciplinary review before submission to the Academy's Institutional Effectiveness Steering Committee (IESC). The IESC will prepare an annual Institutional Effectiveness Report to provide guidance to departments and programs on institutional priorities for planning and budgeting.

3. Supersedes: Superintendent Instruction 2013-03, "*Institutional Effectiveness*."
4. Policy:
 - a. The mission and strategic goals set forth in the Academy's Strategic Plan shall provide the foundation for each department/program to establish their mission, goals and objectives.
 - b. The Academy will formalize the process of evaluating institutional effectiveness

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through the Assessment Framework. Assessment data will flow through the Framework to the IESC, which will generate an annual Institutional Effectiveness Report for the Superintendent and his or her Cabinet. The Institutional Effectiveness Report will provide recommendations for strategic resource allocation priorities and inform the Superintendent's Annual Guidance Memorandum.

- c. Each department/program will create an assessment plan to evaluate achievement of its goals and objectives. All department/program goals and outcomes will be compiled to create the Institutional Effectiveness Plan. The Institutional Effectiveness Plan will be shared widely with both internal and external constituents and real-time results from assessment activities will demonstrate progress toward achieving the Academy's mission and goals.
- d. Academy departments/programs will continually utilize assessment methods and track meaningful performance metrics to evaluate goal and outcome attainment. They will provide assessment data for interdisciplinary review as outlined in the Assessment Framework.
- e. The IESC will conduct periodic comprehensive program review of all Academy departments and programs in order to assure quality and alignment with mission and strategic goals. The Office of Institutional Assessment will establish a structured format and timetable for program reviews.

5. Procedures:

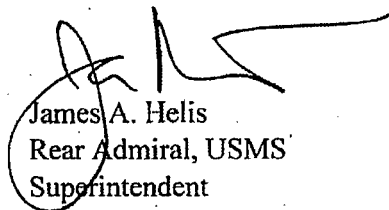
- a. The IESC shall be comprised of the following members:
 - i. Executive Officer (Chair)
 - ii. Academic Division Representative (Member)
 - iii. Commandant Division Representative (Member)
 - iv. At Large Representative (Member)
 - v. Director of Institutional Assessment (Member)
 - vi. Chair, Financial Working Group (Advisor)
- b. The Executive Officer shall chair the IESC. The Dean and Commandant will identify members to act as their division representatives. The Superintendent will appoint the at-large member. Members will be expected to be familiar with the operations of their respective divisions, and it is imperative that everyone act impartially to achieve the best possible outcomes for the institution.
- c. The Superintendent and Deputy Superintendent may participate in IESC meetings at any time.
- d. Division and department heads shall appoint representatives to committees as outlined in the Assessment Framework and corresponding Committee Membership list.

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- e. The Office of Institutional Assessment will do the following:
 - i. Create the Academy's Institutional Effectiveness Plan and ensure assessment data is shared widely and available for data-informed decision-making across the Academy;
 - ii. Assist departments/programs with developing goals, strategies, and assessment plans that are directly aligned with the Academy's mission and strategic goals;
 - iii. Assist departments/programs with developing meaningful performance metrics that will inform goal and outcome achievement and will provide valuable information for continuous improvement;
 - iv. Establish a timetable for the submission of assessment data within the Assessment Framework;
 - v. Plan, schedule and facilitate IESC meetings, and keep and distribute IESC meeting minutes;
 - vi. Establish a timetable for periodic comprehensive program reviews and assist department/program managers in conducting program reviews on a four-year cycle (two reviews per eight-year accreditation cycle); and
 - vii. Prepare the annual Institutional Effectiveness Report.
- f. Each department/program manager shall appoint an individual to coordinate periodic program reviews with the Office of Institutional Assessment.
- g. The IESC will meet as required to complete comprehensive department/program reviews. It will provide feedback to the department/program managers and communicate findings and recommendations to the Superintendent's Cabinet.
- h. The IESC will provide an annual Institutional Effectiveness Report to the Superintendent's Cabinet on the status of overall institutional effectiveness across Academy departments/programs, including recommendations for enhancing the Academy's institutional effectiveness.
- i. The Superintendent and his or her Cabinet will review the annual Institutional Effectiveness Report from the IESC and deliver annual guidance to departments/programs on changing institutional and resource allocation priorities based on assessment data (per the SEA Process as described in the Strategy Execution and Assessment Process SI 2017-08).

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6. Effective Date: This policy shall go into effect immediately, and shall remain in effect until superseded or rescinded.



James A. Helis
Rear Admiral, USMS
Superintendent

Dist. via E-mail

Responsible Official: Director of Institutional Assessment

SUPERINTENDENT INSTRUCTION 2017-08

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

21 August 2017

SUPERINTENDENT INSTRUCTION 2017-08

Subject: STRATEGY EXECUTION AND ASSESSMENT PROCESS

References: (a) MAO 25-1, Associate Administrator for Budget and Programs/Chief Financial Officer
(b) OMB Circular A-11 Preparation, Submission, and Execution of the Budget
(c) Superintendent Instruction 2017-07, Institutional Effectiveness
(d) Superintendent Instruction 2017-05, Academy Financial Working Group

1. **Purpose:** To establish Strategy, Execution, and Assessment (SEA) as the Academy's strategic planning and budget integration process, by doing the following:
 - a. Codifying a process for making well-reasoned, collaborative, transparent decisions that enable the Academy to achieve strategic objectives and annual priorities effectively within estimated funding levels;
 - b. Managing the Academy's performance toward its Strategic Plan goals and objectives; and
 - c. Authorizing the issuance of related guidance for implementation.
2. **Applicability:** This Policy applies to all Academy departments and offices.
3. **Background:** The Middle States Commission on Higher Education Accreditation Standard 2, Planning, Resource Allocation, and Institutional Renewal, requires that,

An institution conducts ongoing planning and resource allocation based on its mission and goals, develops objectives to achieve them, and utilizes the results of its assessment activities for institutional renewal. Implementation and subsequent evaluation of the success of the strategic plan and resource allocation support the development and change necessary to improve and to maintain institutional quality.

The Office of Management and Budget (OMB) Circular A-11 requires agencies to maintain a decision-making process that integrates analysis, planning, evaluation, and budgeting. MARAD Administrative Order (MAO) 25-1 requires the Office of Academy Financial Management lead the development of performance-based Academy budget requests.

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In response, the SEA process provides a framework for integrating the Academy's strategic planning and budget formulation and execution processes.

SEA will achieve the following:

- a. Improve performance management through a system of interdependent, Academy decision-making processes for planning, budgeting, execution and evaluation:
 - i. Planning: where the Academy determines what should and can be done within estimated funding levels to accomplish Academy strategic objectives and annual priorities, thereby providing clear direction for subsequent budgeting, execution, and evaluation;
 - ii. Budgeting: where the Academy applies the direction from planning to formulate programmatic and financial proposals, proposes performance targets based on a budget, and justifies the Academy's budget request;
 - iii. Execution: where the Academy allocates resources and executes planned activities to accomplish budgeted performance targets in accordance with Academy strategic objectives and annual priorities, as well as legal, administrative, and policy requirements;
 - iv. Assessment: where the Academy assesses how the Academy functions, develops measures of actual outputs and outcomes, and uses those measures to determine how well it performed relative to Academy strategy, fiscal realities, and other factors;
 - b. Strengthen the linkage between strategy and execution by assigning managers to be
 - a) directly accountable for leading the Academy's execution toward its strategic objectives and annual priorities, and b) responsible for associated coordination and integration required for execution;
 - c. Strengthen the linkage across departments and functional units by collaborating to plan, budget, execute, and evaluate Academy activities toward strategic objectives and annual priorities;
4. **Policy**: To achieve desired institutional outcomes, resource allocation decisions must be integrated with and support the Academy's strategic goals and objectives through a strategy-based performance management process that incorporates establishment of objectives, goal oriented resource decision-making, and continuous measurement and assessment. It is policy of the Academy to integrate its resource decision-making with its strategic planning goals and objectives.
 5. **Procedure**: The following are the guidelines for strategy-based performance management through the SEA process.

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- a. Strategic Planning. The Academy will develop or revise its strategic plan on a periodic basis - approximately every 5 years. The Strategic Plan establishes the Academy strategy: a mission and vision for the institution, as well as strategic goals and objectives. The Academy's strategy is based on the Academy's statutory duties, Administration priorities, Congressional oversight, the demands and concerns of internal and external stakeholders, and assessments of possible developments in the internal and external environment over the long-term, such as fiscal realities, trends, and predictions.
- b. Implementation Plans (IPs). Academy departments will develop IPs that align specific activities, performance expectations, and resource requirements with the Academy's strategic objectives, once a new or revised Strategic Plan is in place. The IP is the central link among planning, execution, and assessment. It is reviewed and revised annually and as necessary to adapt to changing circumstances and priorities. The IPs will support the Institutional Effectiveness Plan and Assessment Plans maintained by the Office of Institutional Assessment.
- c. Execution Planning. Planning identifies what will be done to achieve the Academy's strategic objectives based upon a strategic discussion of major policy, performance, managerial, or organizational changes. The Office of Academy Financial Management (OAFM) will coordinate the following steps in the planning process:
 - i. Development of the Annual Guidance Memorandum (AGM). The AGM will focus the Academy's attention on a select number of priorities within the strategic objectives (for the next year and out years) and set resource assumptions for this period;
 - ii. Updates to IPs and Annual Operating Plans (AOPs). With input from the annual Institutional Effectiveness Report, departments and programs will update performance expectations and resource requirements over the Strategic Plan timescale, based upon priorities and resource assumptions; and
 - iii. Academy's Performance Review (APR). The APR reassess the Academy's investment decisions, including performance expectations and resource requirements for the next year and out years, based upon Congressional appropriations.
- d. Budgeting. Budgeting builds on the Academy's preferred investment choices established in Planning. Budgeting includes the detailed resource requests that will be included in the Academy's annual budget submission that reflects the investment decisions, and develops justification documents to support the Academy's segment of the President's request. Budgeting provides a defensible financial plan and is conducted in two steps:

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- i. Budget Formulation. This step determines the resource requests that will be included in the Academy's budget request. The Academy Financial Working Group will conduct a detailed review of department and functional unit budget plans to ensure ability to execute, alignment with the Strategic Plan and annual priorities, and the results of multi-year execution planning; and will recommend funding priorities to the Superintendent's Cabinet. Budget formulation results in the Academy leadership resource allocation decisions and approval of those items that will be included in the Budget Request Submission to MARAD, DOT, OMB, and Congress.
- ii. Budget Justification. This step supports the President in meeting the legal requirement to submit a budget to Congress annually. OAFM, in coordination with Academy departments and programs, provides required and necessary information to all oversight bodies (DOT, OMB, and Congress) that review the budget request.
- e. Execution. Execution is critical to ensuring that the Academy satisfies its statutory mandates, and delivers the services that have been planned, budgeted, and approved through the budget justification process. Execution includes program performance monitoring, and resource management, including people, property, systems and funds. All Academy departments and programs are responsible for the following:
 - i. Performance Monitoring. This step consists of the responsible program managers ensuring that the Academy's strategic objectives are being met on schedule and on budget. Program performance is reviewed using metrics to assess activities relative to established targets. The outputs of performance reviews will be used during the assessment phase.
 - ii. Resource Management. This step consists of a) applying appropriate controls to make fiscal resources (e.g. people, property, systems and funds) available to executing officials, and b) annual financial program closeout activities, performed according to Federal and DOT requirements.
- f. Assessment. Assessment ensures that the Academy learns from execution experience. Assessment can take one of four forms: assessment of process, of outcome, of impact, and of benefits relative to costs. Through assessment, the Academy can predict, test, and verify causal attributions to see if programs work the way intended, identify unknown causes and unanticipated consequences, and make better decisions about whether to continue, halt, or change a program. Assessment will be conducted in accordance with the procedures outlined in the Superintendent's Instruction 2017-07 Institutional Effectiveness.
 - i. Program assessments are individual systematic studies conducted periodically or on an *ad hoc* basis to assess how well a program is working to achieve strategic objectives, based on performance and other contextual factors. Assessments use

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measures of program performance, along with other information, to learn the benefits of a program or how to improve it.

- ii. Performance measurement is the ongoing monitoring and reporting of program accomplishments, particularly progress toward strategic objectives. Performance measures may address the following:
 - (a) Process: the type or level of activities conducted;
 - (b) Outputs: the direct products and services delivered; or
 - (c) Outcomes: the results of those products and services.

Figure 1 depicts the major steps in the multi-annual SEA cycle and related deliverable/document.

Deliverable	SEA Phase	Purpose	Responsible Party
USMMA Strategic Plan (Approximately every 5 years)	Strategy	Provides strategic direction for USMMA	Office of the Superintendent, Dean, Commandant
Annual Guidance Memorandum (AGM) (Usually January of each year)	Strategy	Focuses planning on strategic priorities (for next year's budget); identifies fiscal constraints.	Office of the Superintendent, Dean, Commandant,
Strategic Budget Prioritization (Usually March-April of each year)	Strategy	Priorities spending proposals	Academy Financial Working Group
USMMA Budget Submission (Usually delivered to MARAD in May of each year)	Strategy	Justifies funding request to MARAD, DOT, OMB, and Congress.	Office of Academy Financial Management
Annual Operating Plans (AOPs) (Usually 90 days after appropriation is enacted)	Execution	States how programs will execute annual appropriation, aligns appropriations with strategic priorities in AGM.	Office of Academy Financial Management
Periodic Budget Reviews	Assessment	Tracks spending in a consistent way, flags financial management issues, ensures spending is consistent with AOPs	Office of Academy Financial Management, Program managers.

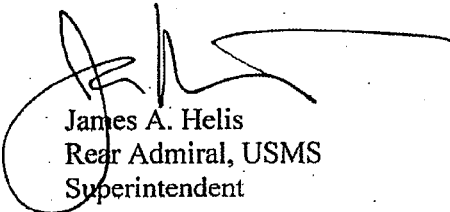
6. Supplemental Guidance:

- a. Written guidance on SEA deliverables, dates, and deadlines is issued annually by the Office of Academy Financial Management
- b. Written guidance on Institutional Effectiveness is issued as required by the Office of Institutional Assessment

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7. Responsibilities:

- a. Superintendent: approves the Strategic Plan, Annual Guidance Memorandum, and Budget Submission.
 - b. Superintendent's Cabinet: provides information and counsel to the Superintendent throughout the SEA process.
 - c. Deputy Superintendent: provides oversight for strategy development, planning, budgeting, execution, and assessment and issues guidance for annual operating plans.
 - d. Dean, Commandant, and Executive Officer: are accountable for supporting the requirements of this policy and leading planning, budgeting, execution, and assessment for strategic objectives.
 - e. Director, Office of Academy Financial Management: coordinates the budget formulation, development of annual operating plans, and periodic budget reviews.
 - f. Financial Working Group: reviews budget requests for alignment with strategic goals and makes recommendations to the Superintendent's Cabinet.
 - g. Director of Institutional Assessment: ensures the availability of quality assessment data for data-driven decision-making.
8. **Expiration**: This Superintendent Instruction goes into effect immediately and remains in effect until superseded or rescinded.



James A. Helis
Rear Admiral, USMS
Superintendent

Dist. via Email

Responsible Official: Director, OAFM

USMMA Mission
Strategic Plan

Superintendent

Review report/
recommend actions

Superintendent's
Cabinet (SC)

Annual IE report with
recommendations

Institutional
Effectiveness Steering
Committee (IESC)

Cumulative report on
selected ILOs

Institutional
Learning Outcomes
Committee (ILOC)

Program reports on
selected ILOs

Program Learning
Outcomes
Committee (PLOC)

Academic Dean
Academic Board

Faculty Forum

Institutional
Learning
Outcomes
(ILOs)

Program
Learning
Outcomes
(PLOs)

Course Learning Outcomes (CLOs) - Curricular
Student Learning Outcomes (SLOs) - Co-curricular

Faculty/Staff conduct Course-Level
Assessment for each term. Refer to
DM on course-level assessment.

Report on progress
by strategic goal

Strategic Goal
Assessment Teams

Cumulative report
on all goals

Institutional Effectiveness
Working Group (IEWG)

Departments conduct Unit-Level
Assessment for each term or as
determined in the assessment plan.

Institutional Strategic Goals

Unit (Department/Program) Goals

Institutional
Learning
Outcomes
(ILOs)

Program
Learning
Outcomes
(PLOs)

Course Learning Outcomes (CLOs) - Curricular
Student Learning Outcomes (SLOs) - Co-curricular

Faculty/Staff conduct Course-Level
Assessment for each term. Refer to
DM on course-level assessment.

Report on progress
by strategic goal

Strategic Goal
Assessment Teams

Cumulative report
on all goals

Institutional Effectiveness
Working Group (IEWG)

Departments conduct Unit-Level
Assessment for each term or as
determined in the assessment plan.

Institutional Strategic Goals

Unit (Department/Program) Goals



Through a partnership with IDEA, Campus Labs offers a comprehensive course evaluations solution that provides institutions with the ability to easily integrate evaluation data into program planning, decision-making, accreditation, and administrative review processes. Your institution can use IDEA *Student Ratings of Instruction*® instruments to collect data representative of student learning—not opinion—and also maximize response rates and create roll-up reports that allow deans, department and program chairs, or other academic administrators to aggregate student feedback data. Faculty will also gain access to organizational and reporting tools that allow them to view and manage their evaluation forms and associated data.

Benefits and Features:

- Collect evaluation data using the *Student Ratings of Instruction*® (SRI) instrument which is designed to control for extraneous circumstances (e.g., class size or student motivation), provide comparative scores, and provide actionable steps to improve learning
- Establish appropriate measures of student and faculty classroom performance using the *Diagnostic Feedback*, *Teaching Essentials*, and *Learning Essentials* instruments designed to collect summative and formative feedback about student progress on relevant course objectives, instructor teaching methods, and student impressions of their course experience
- Gather immediate student responses after each class or unit using an *Instant Feedback* instrument, delivered to students via their mobile devices, that shows faculty whether students understood instructional material delivered during a given session
- Integrate with your student information system (SIS) or enterprise resource planning (ERP) system through secure file transfer protocol (SFTP) or application programming interface (API) methods designed to securely transfer course, section, student enrollment, and instructor assignment information
- Import or allow faculty to choose appropriate learning objectives per course section
- Administer evaluations through secure login, a portal or learning management system (LMS), or e-mail
- Customize evaluation instruments by college, department, course, course type, or other attributes
- Run benchmark reports to compare data between courses and departments over time
- Automate the delivery of faculty electronic reports via e-mail or the web
- Produce one page summary reports for faculty promotion and tenure files
- View open-ended comments separate from quantitative responses
- Export results into a variety of formats for additional review or analysis
- Document assessment activities for each outcome statement including dates, assessment methods, analysis, and use of results or actions taken
- Use automatically-generated quality indicators to determine areas where outcome statements may not be well-formed or aligned to their intended measure



Guide strategic planning, program review, and preparation for accreditation.

Campus Labs offers a comprehensive institutional effectiveness solution that provides institutions with the ability to manage institutional research, planning, and accreditation needs. Your institution can use the Campus Labs platform to streamline the self-study process, document departmental progress, provide evidence of achievement, and organize information about courses and faculty for the purpose of accreditation reporting.

Benefits and Features:

- Produce strategic plans, annual reports, and action plans to document progress toward goals, objectives, and outcomes
- Customize information collection forms to match institution-specific workflow processes and terminology
- Centralize uploaded documents and automatically update references across all linked narratives
- Generate reports for senior administrators, trustees, or other audiences using roll-up reporting tools
- Input strategic goals at the institution or division level and outcomes assessments at the unit, program, and course level
- Provide quick access to role-based assignments using goal or project-specific dashboards
- Author and store narratives about achievements and improvements at the division, department, or program level
- Track review processes and manage workflow based on status, due date, or other data resources
- Deploy a branded portal for managing and publishing accreditation reports
- Utilize up-to-date and pre-loaded templates for regional, national, or program-specific accreditation agency submissions
- Provide accreditation agencies or evaluators with a CD/DVD or USB flash drive with archival copy of your report and all associated artifacts
- Promote the upkeep of internal standards by requiring departments to submit interim reports as a part of maintaining accreditation-required practices and procedures between renewal years
- Search for faculty members based on disciplines, degrees, certifications, experience, or tenure status—and access faculty profiles complete with transcripts, CVs, syllabi, publications, research or service activities, and other uploaded materials

Help faculty and administrators improve performance with targeted development using professional services and research-based instruments delivered through an efficient online process.



Learn from your outcomes and gain visibility into curricular alignment and performance across the institution in order to more effectively impact student learning.

Campus Labs offers a comprehensive learning outcome management solution that provides institutions with the ability to visualize clear opportunities for improvement related to general education, program delivery, and course-level achievement. Your institution can use the Campus Labs platform to see which outcomes are most or least effectively being achieved, where the curriculum is not properly aligned or sequenced, and how individual program areas are performing.

Benefits and Features:

- Integrate with your student information system (SIS) or enterprise resource planning (ERP) system through secure file transfer protocol (SFTP) or application programming interface (API) methods designed to securely transfer course, section, student enrollment, and instructor assignment information
- Programmatically import, retrieve, or remove outcome statements through an application programming interface (API) interface designed for integration with legacy or learning management systems (LMS)
- Define templates for collecting outcome statements across the institution
- Customize data collection fields to use terminology and vernacular specific to the institution
- Choose which data fields to make required or optional in order to adhere to existing assessment policies
- Edit the results scale (e.g., not met, partially met, met, etc.) used to gauge student performance
- Implement industry-standard outcome frameworks for collecting achievement data
- Capture evidence of student learning and link it to the reporting of outcome achievement
- Document and report on outcomes statements across the institution hierarchy
- Search for outcome statements across an institution-wide repository
- Roll-up student outcome achievement data from any level within the institution hierarchy
- Compare scales of achievement between related areas such as all courses or programs sponsored by a department, or all departments in a division
- Map outcomes to course offerings as part of a curriculum mapping process



Product and Licensing Information - Schedule B

Implement a cohesive assessment strategy aimed at improving institutional effectiveness through the use of assessment and data collection tools, resources, and best practices.

Campus Labs offers a comprehensive assessment solution that provides institutions with the technology, resources, and expert consultation required to create an integrated, coordinated, and comprehensive assessment approach. Your institution can use the Campus Labs platform to collect direct and indirect measures learning, benchmark with peers, inform strategic decisions, and improve programs and services.

Benefits and Features:

- Provide a centralized, accessible location for new assessment activities and data, or upload data from historical datasets, paper assessments, or past national studies
- Collect assessment data using robust online survey tools
- Gather direct measures of student learning, progress, and competency with rubrics
- Deploy in-class feedback tools for real-time collection and display of formative data
- Create peer groups based on enrollment, region, accreditation agency, or other characteristics
- Compare campus assessment results to national and peer averages
- Document change, trends, and progress over time by using pre- and post-tests
- View and export open-ended comments for content analysis
- Analyze data and summarize assessment findings including lessons learned and actions taken
- Display assessment findings or institutional data by creating performance indicators
- Use snapshot views of key areas to determine if programs and services are progressing as expected
- Turn data into a visually-appealing and exportable format through easy-to-use graphing tools
- Generate frequency tables including basic descriptive statistics such as means and standard deviations
- Filter data, saved customized data views, and export into a variety of electronic formats
- Improve reports to stakeholders and accrediting bodies with data charts, graphs, and tables
- Reveal relationships between datasets by looking at assessments with common respondents
- Link respondent demographic information with survey data
- Use results to inform planning and decision-making



Enhance your efforts to create a student experience that is engaging, supportive, and success-oriented by centralizing, organizing, and increasing student involvement opportunities.

Campus Labs offers a comprehensive student engagement solution that provides institutions with the ability to manage student co-curricular organizations, curriculums, programs, events, and services—all as a part of encouraging growth and development for students as they engage in these co-curricular activities. Your institution can also use the Campus Labs platform in areas across the entire institution in order to achieve a variety of needs related to the academic or co-curricular student experience.

Benefits and Features:

- Integrate with your student information system (SIS) or enterprise resource planning (ERP) system through secure file transfer protocol (SFTP) or application programming interface (API) methods designed to securely facilitate faculty and staff access to student and operational data
- Empower students to manage and grow their organizations through online tools that allow them to customize their organization profiles, manage rosters, store files and photos, and integrate with common social media platforms
- Enhance administrative processes with tools for carrying out online organization registration, conducting campus-wide elections, or collecting budgets and allocating student activities fee monies
- Broadcast communications and messages to a wider audience using communication tools for mass e-mailing, text messaging, and posting to news tickers, message boards, and a virtual flyer-board
- Spread awareness of opportunities through organization-specific or campus-wide event calendars
- Track program participation by sending out invitations, monitoring RSVP status, and collecting attendance data using card-swipe or barcode readers—or upload data from external systems or paper sign-in sheets
- Approve service hours completed by organization members and track the overall economic impact of student community engagement in your local area
- Automate the tracking of student progress across certification programs, curriculums, orientation task assignments, and other student affairs initiatives such as passport programs, first year experiences, and even campus-wide experience programs
- Produce co-curricular transcripts that showcase students' areas of involvement, learning experiences, or overall outstanding achievements
- Align involvement opportunities with institutional, divisional, or departmental learning outcomes
- Export reports for reference and assessment related to organization membership, student participation, service hour completion, financial transactions, event listings, and more



Beacon - Campus Labs offers a comprehensive retention and success solution that provides institutions with the ability to predict, alert, coordinate, and act on information vital to promoting positive student success trends. Your institution can use the Campus Labs platform to collect and report on student non-cognitive indicators, early academic performance data, professional observations, support program usage, co-curricular engagement levels, and student self-reflections.

Benefits and Features:

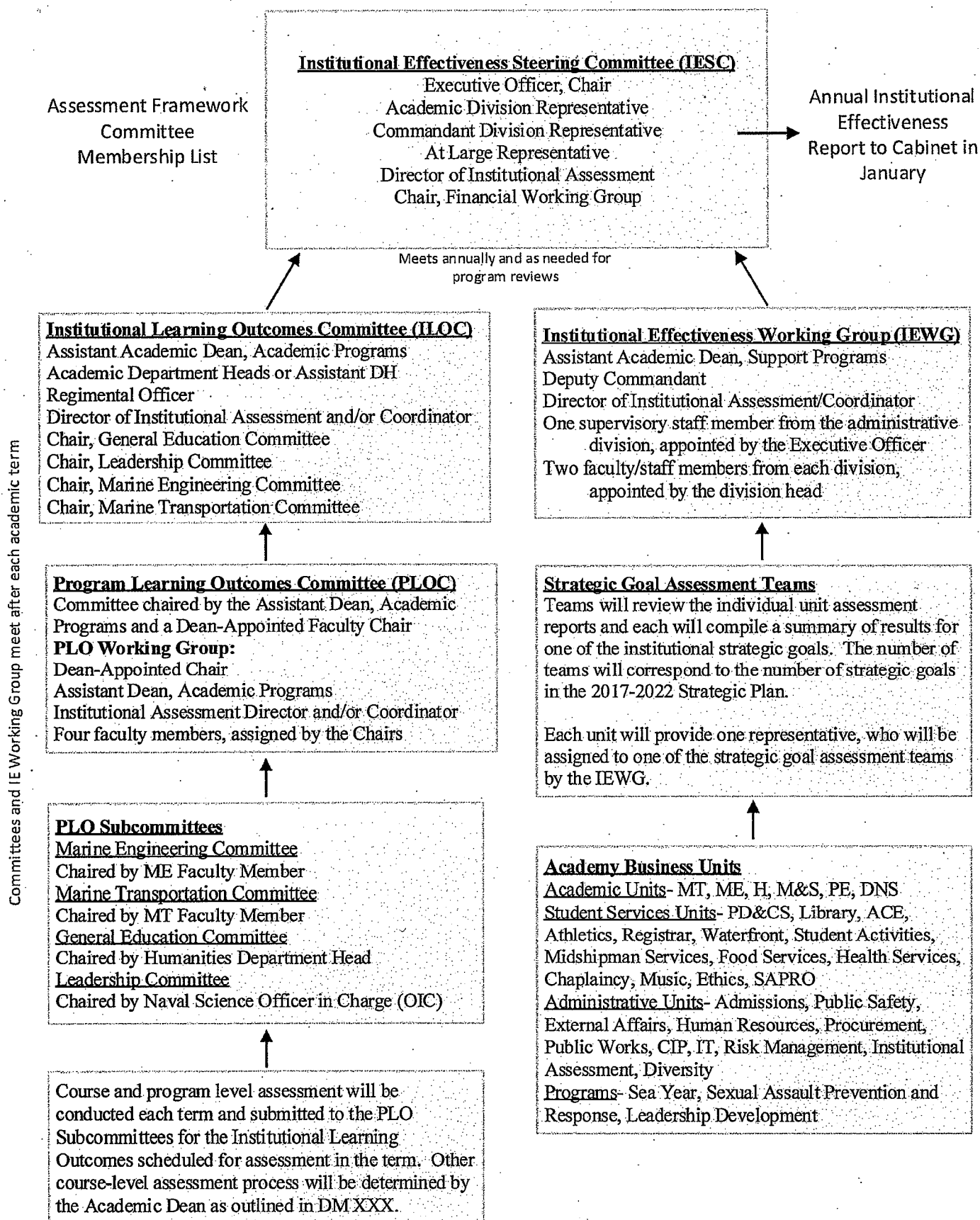
- Identify students who are at-risk or might not otherwise be identified as such using traditional risk assessment metrics
- Enable advisors and support staff to quickly get the full picture on a student's success story including information collected from inside and outside of the classroom
- Create targeted interventions by identifying students who might benefit from support programs such as career advising, tutoring, or remedial study skill training
- Carry out intervention activities and case management procedures with organizational and tracking tools
- Use data visualizations and reports to guide student programming and outreach
- Collect non-cognitive data by delivering the *Students Strengths Inventory® (SSI)*, an instrument designed to develop data-driven, evidence-based success solutions for first-generation students
- Support students after their first year of enrollment by delivering the *Continuing Student Assessment (CSA)*, an instrument designed to complement the SSI
- Provide students, faculty, and staff with scores and recommendations based on a variety of scales representing motivation factors known to influence student outcomes
- Help students identify their own strengths or weaknesses relative to their college transition and encourage them to avail themselves of support or opportunities for growth
- Integrate with your student information system (SIS) or enterprise resource planning (ERP) system through secure file transfer protocol (SFTP) or application programming interface (API) methods designed to securely facilitate advisor and support staff access to student demographic and academic data
- Allow faculty to view profiles or quickly create student updates, alerts, or encouragements (with options to notify others who support student as well) from within the learning management system (LMS)
- Aggregate data from multiple sources including existing or legacy systems, student assessments, or other Campus Labs tools



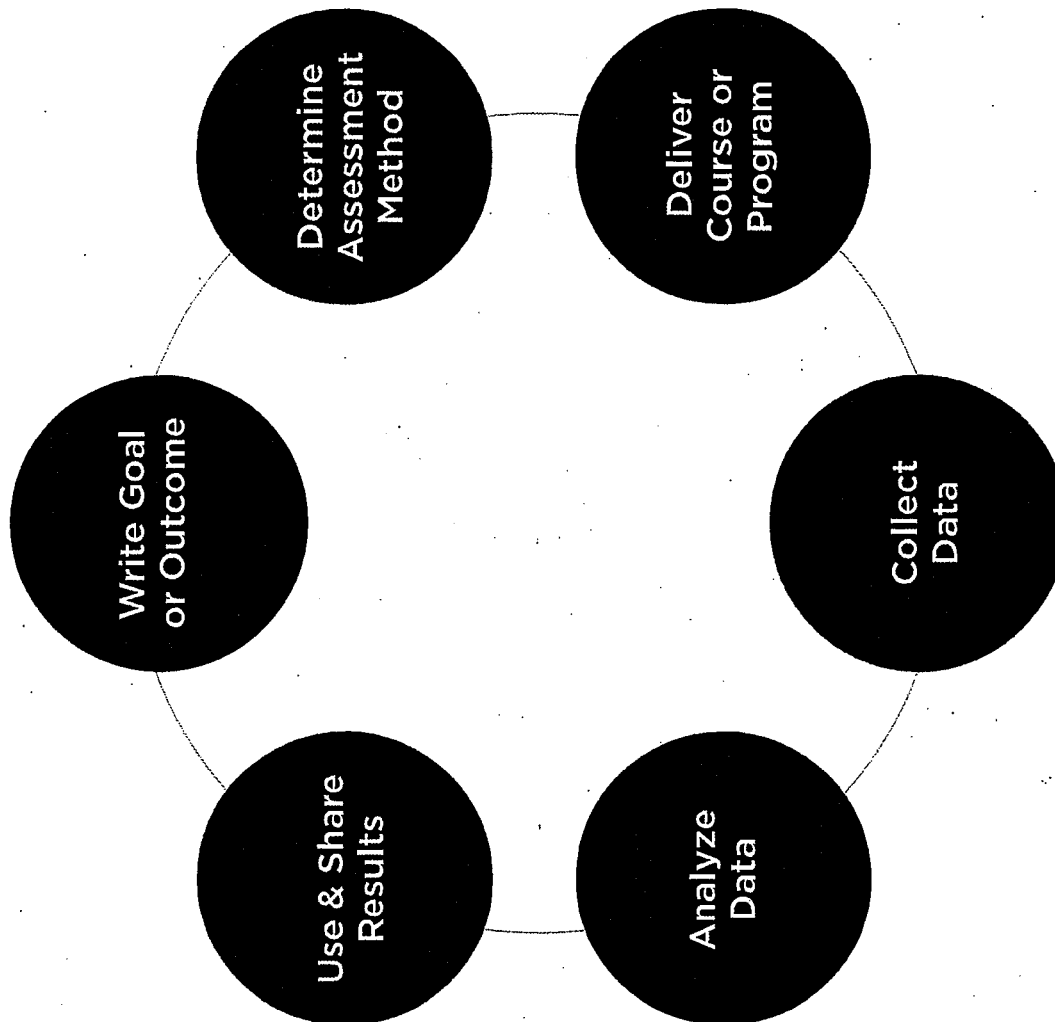
Insight - Campus Labs offers a comprehensive analytics and decision making solution that provides institutions with the ability to view campus-wide trends and the specific factors that impact them using a highly interactive data analysis, visualization, and self-service business intelligence tool. Your institution can use the Campus Labs platform to access robust data mining capabilities powered by pre-built data models and a portfolio of pre-set analytics designed to address departmental, divisional, and institutional goals.

Benefits and Features:

- Promote effective data governance and management by centralizing business intelligence functions
- Combine both transactional and experiential data from across campus into one comprehensive data set
- Incorporate data from enterprise resource planning (ERP) and learning management systems (LMS)
- Utilize data models that are built around both structured and unstructured data
- Use data mining tools to help users recognize patterns and their causes
- View metrics data and track progress through customizable dashboards
- Generate customized reports which bring together campus-wide information
- Add context to reports with a narrative authoring tool that includes the ability to embed data visualizations
- Define context-specific filters for existing data visualizations to create tailored, report-specific views
- Create cohesive stories for dashboards and narratives with built-in presentation deck generator
- Share interactive, web-based versions of decks with executive leadership and other stakeholders
- Enable users to view progress on key measures from any Campus Labs solution
- Monitor progress toward institution goals by importing dashboards into Campus Labs Compliance Assist
- Grant user-specific permissions to control access to campus-wide data
- Provide access to data analytics and visualizations tools on both desktop and mobile devices



Assessment Planning



Tips

Identify (and use) data that already exists. No need to do the same work twice!

Find or plan to collect baseline data so you can document change.

Keep it simple! Choose a method that is manageable so you can complete the project.

Build up your assessment toolbox by getting experience with different methods and knowing when it is appropriate to use them.

Consider both formative and summative assessment and choose those that best meet your needs.

Start with the ideal design for your assessment and then work backwards to what is possible. There is always more than one way to collect the data—use what works best for you, knowing that you can add on other methods later.

Look for opportunities to collaborate with other divisions and units.

Include stakeholders from the beginning; this builds credibility in your methods and assessment results.

Reflect on the process and results of assessment and do not be afraid to change your method. Assessment is an ongoing process.

Share your results—let others know about and learn from the work you've done.

Assessment Planning

Assessment Purpose

The purpose of this assessment is to _____

by assessing _____

(POPULATION)

using _____

(PURPOSE)

(METHOD)

so I can _____

(USE OF RESULTS)

Success Criteria

What is your target?
How will you know if the goal or outcome is met?

Students will be able to:

Additional Notes

Method Bank

Existing Data	Focus Groups	Visual Methods
Mobile Surveys	Interviews	Case Studies
Web Surveys	Portfolios	Document Analysis
Rubrics	Observations	Quick Assessments

Behavior words from Bloom's Taxonomy:

REMEMBERING
describe - recognize
list - recall - repeat
label - identify

UNDERSTANDING
describe - discuss
explain - report - give
example - paraphrase
summarize

APPLYING
choose - demonstrate
employ - illustrate
create - sketch
solve - use - show

ANALYZING
categorize - compare
contrast - differentiate
discriminate
distinguish - question

EVALUATING
appraise - argue
criticize - defend
judge - recommend
select - support

CREATING
assemble - construct
create - compose - design
develop - formulate
hypothesize - invent
plan - produce

Project Timeline

Start Date

End Date

Mapping of Naval Science Courses to Leadership Program Learning Outcomes and Institutional Learning Outcomes

Course/Unit Name	LPLO1	LPLO2	LPLO3	LPLO4	LPLO5	LPLO6	LPLO7	LPLO8	LPLO9	LPLO10	LPLO11	LPLO12	LPLO13
NASC 100/ Intro to NS	x	x	x			x	x				x		
NASC 200/ NS for SSO	x	x	x			x	x						
NASC 400/ Leadership & Ethics	x	x	x			x							
NASC 410/ SSO Senior Seminar	x	x	x			x							

Leadership Program Learning Outcomes (Draft)													
LPLO1.	Demonstrate continued commitment to service within the Regiment and social contexts (ILO1)												
LPLO2.	Demonstrate understanding of how the Merchant Marine and SSOP support National Defense and Transportation needs. (ILO2)												
LPLO3.	Show technical Competency/Professional Expertise (ILO3)												
LPLO4.	Effect Climate in the organization (ILO4/ILO8)												
LPLO5.	Demonstrate team-building, motivation and counselling skills (ILO5)												
LPLO6.	Understand Leadership theories and traits (ILO5)												
LPLO7.	Demonstrate leadership traits (ILO5)												
LPLO8.	Demonstrate initiative and the ability to self-start (ILO6)												
LPLO9.	Practice self-assessment (ILO6)												
LPLO10.	Demonstrate Character and Ethical Decision making (ILO7)												
LPLO11.	Communicate Mission, Vision, Values and Goals both verbally and in writing (ILO9)												
LPLO12.	Solve problems (ILO10)												
LPLO13.	Demonstrate Critical thinking and decision making in planning and execution (ILO10/ILO11)												

Mapping of Student Activities to Leadership Program Learning Outcomes and Institutional Learning Outcomes

Course/Unit Name	LPLO1	LPLO2	LPLO3	LPLO4	LPLO5	LPLO6	LPLO7	LPLO8	LPLO9	LPLO10	LPLO11	LPLO12	LPLO13
Cultural Excursions			X	X				X	X		X		
Diversity Training Events/Celebrations	X		X	X	X	X	X		X	X			
Campus Activities Board Positions	X		X	X	X	X	X	X	X	X	X	X	X
Regimental Morale Officers (program)	X	X	X	X	X	X	X	X	X	X	X	X	X
Organization - Membership	X		X	X	X	X			X				
Organization- leadership	X		X	X	X	X	X	X	X	X	X	X	X
Sponsorship Program		X		X	X				X				
Midshipmen Employment Opportunities			X	X	X	X	X	X	X	X		X	X
Pier 142 Management/Pub Management	X	X		X	X	X	X	X	X	X	X	X	X
Etiquette Training	X	X	X	X		X			X		X		

Leadership Program Learning Outcomes (Draft)

LPO1.	Demonstrate continued commitment to service within the Regiment and social contexts (ILO1)
LPO2.	Demonstrate understanding of how the Merchant Marine and SSOP support National Defense and Transportation needs. (ILO2)
LPO3.	Show technical Competency/Professional Expertise (ILO3)
LPO4.	Effect Climate in the organization (ILO4/ILO8)
LPO5.	Demonstrate team-building, motivation and counselling skills (ILO5)
LPO6.	Understand Leadership theories and traits (ILO5)
LPO7.	Demonstrate leadership traits (ILO5)
LPO8.	Demonstrate initiative and the ability to self-start (ILO6)
LPO9.	Practice self-assessment (ILO6)
LPO10.	Demonstrate Character and Ethical Decision making (ILO7)
LPO11.	Communicate Mission, Vision, Values and Goals both verbally and in writing (ILO9)
LPO12.	Solve problems (ILO10)
LPO13.	Demonstrate Critical thinking and decision making in planning and execution (ILO10/ILO11)

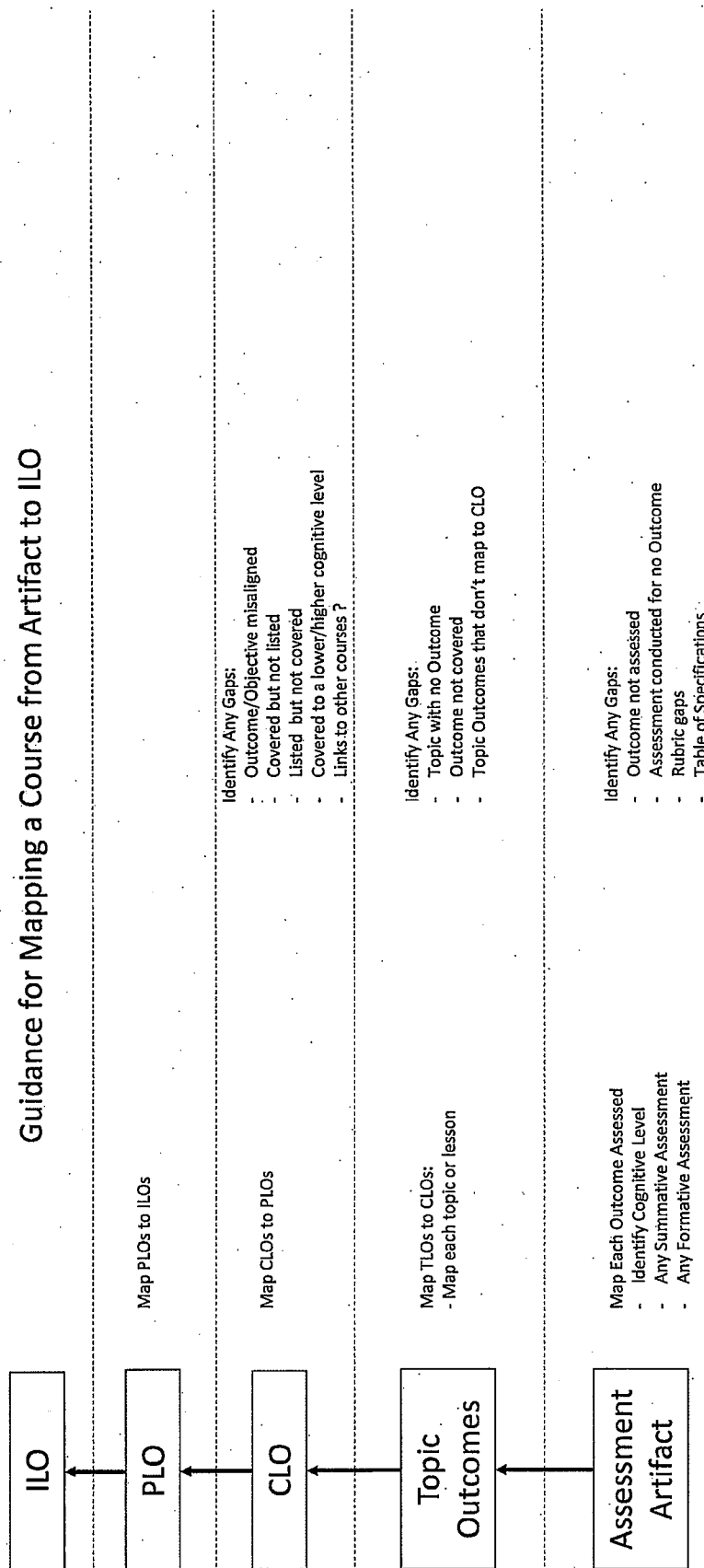
Mapping of Physical Education Courses to Leadership Program Learning Outcomes and Institutional Learning Outcomes

Course/Unit Name	LPLO1	LPLO2	LPLO3	LPLO4	LPLO5	LPLO6	LPLO7	LPLO8	LPLO9	LPLO10	LPLO11	LPLO12	LPLO13
PE 110 - Swimming			X							X		X	X
PE 120 - 1st Aid			X		X	X	X		X			X	X
PE 125 - Self Defense			X		X		X		X	X	X	X	X
PE 130 - Aquatic Survival			X		X		X			X		X	X
PE 200 - Medical Care Provider			X		X	X	X			X		X	X
PE 401 - Lifeguard			X		X		X	X	X		X	X	X
PE 410 - SRS Fit			X			X	X	X	X			X	
PE 420 - Lifetime Activities			X	X	X		X		X	X		X	X
PE 440 - Health/Wellness			X		X	X	X				X	X	X
PE 470 - Combatives			X		X		X		X	X	X	X	X
PE 480 - Mental Skills					X		X		X	X	X	X	X

Leadership Program Learning Outcomes (Draft)

LPO1.	Demonstrate continued commitment to service within the Regiment and social contexts (ILO1)
LPO2.	Demonstrate understanding of how the Merchant Marine and SSOP support National Defense and Transportation needs (ILO2)
LPO3.	Show technical Competency/Professional Expertise (ILO3)
LPO4.	Effect Climate in the organization (ILO4/ILO8)
LPO5.	Demonstrate team-building, motivation and counselling skills (ILO5)
LPO6.	Understand Leadership theories and traits (ILO5)
LPO7.	Demonstrate leadership traits (ILO5)
LPO8.	Demonstrate initiative and the ability to self-start (ILO6)
LPO9.	Practice self-assessment (ILO6)
LPO10.	Demonstrate Character and Ethical Decision making (ILO7)
LPO11.	Communicate Mission, Vision, Values and Goals both verbally and in writing (ILO9)
LPO12.	Solve problems (ILO10)
LPO13.	Demonstrate Critical thinking and decision making in planning and execution (ILO10/ILO11)

Guidance for Mapping a Course from Artifact to ILO



Course Level Assessment Questions: Course

Assessment of CLOs:

1. How did we assess them?
2. How did they map to higher level Outcomes?
3. Do we have a table of specifications?

Assessment of CLOs related to selected ILOs:

1. Leadership, What is our assessment artifact?
2. Prof Expertise in specific to area (MT, ME, DNS, etc.), What is our assessment artifact?
3. Communication, What is our assessment artifact?
4. Evaluate the workload, Is it too much/too little?
5. What are your recommendations?

How to Write Learning Outcomes

Activity #1: Distinguishing Between Program and Learning Outcomes

Activity #2: Learning Outcome Components Exercise

Activity #3: Writing Outcomes - Practice Makes Perfect!

How to Write Learning Outcomes

Program outcomes examine what a program or process is to do, achieve, or accomplish for its own improvement and/or in support of institutional or divisional goals; generally numbers, needs, or satisfaction-driven.

Learning outcomes examine cognitive skills that students develop through department interactions; related to measurable, transferable skill development. They are statements indicating what a participant (usually students) will know, think, or be able to do as a result of an event, activity, program, etc.

ABCD Structure of a Learning Outcome

A udience	Who does the outcome pertain to?
B ehavior	What do you expect the audience to know/be able to do? (This needs to include an action verb to describe the learning, chosen from the Bloom's Taxonomy word bank on page 2.)
C ondition	Under what conditions or circumstances will the learning occur?
D egree	How much will be accomplished, how well will the behavior need to be performed, and to what level?

EXAMPLE Students who attend advising sessions will choose courses that fulfill their chosen degree requirements.

Outcome Writing – The 3 Ms:

Check your outcome against these criteria:

1. **Meaningful:** How does the outcome support the departmental mission or goal?
2. **Manageable:** What is needed to foster the achievement of the outcome? Is the outcome realistic?
3. **Measurable:** How will you know if the outcome is achieved? What is the assessment method?

Common Challenges When Writing Learning Outcomes:

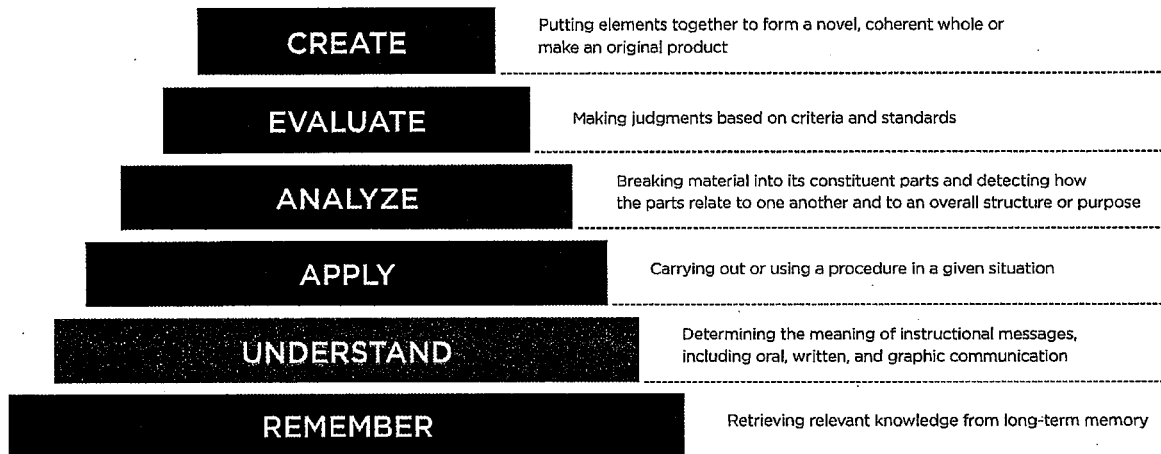
- Describe program outcomes, rather than learning outcomes
- People don't use Bloom's taxonomy verbs and instead use vague terms like: appreciate, become aware of/familiar with, know, learn, value, use, understand
- Too vast/complex, too wordy
- Multiple outcomes in one learning outcome statement (the word "and" is usually a clue!)
- Not specific enough (e.g., effective communication skills)

EXAMPLE To improve this learning outcome statement:
"RAs will be more self-aware as leaders", you could change it to:

"As a result of attending RA training, RAs will be able to accurately assess the strengths and weaknesses of their leadership skills."

Bloom's Taxonomy: Cognitive Domain

The cognitive domain of Bloom's Taxonomy of Educational Objectives offers a framework for classifying learning outcomes. The framework is hierarchical in nature, beginning with a foundational layer (*Remember*) and accelerating in a stepwise manner (from *Understand* to *Apply* to *Analyze* to *Evaluate* and on to *Create*). Select from this word bank when writing your learning outcome statements.



Adapted from A Taxonomy for Learning, Teaching, and Assessing: A Revision of Bloom's Taxonomy of Educational Objectives (Anderson, L.W. (Ed.), et al., 2001)

REMEMBER	UNDERSTAND	APPLY	ANALYZE	EVALUATE	CREATE
Cite	Articulate	Compute	Calculate	Argue	Act
Define	Ask	Construct	Categorize	Assess	Arrange
Find	Characterize	Demonstrate	Compare	Check	Assemble
Identify	Clarify	Employ	Contrast	Convince	Build
Indicate	Classify	Exercise	Correlate	Critique	Compose
Label	Describe	Illustrate	Deconstruct	Debate	Construct
List	Discuss	Make	Detect	Decide	Create
Locate	Elaborate	Model	Diagram	Defend	Design
Match	Estimate	Operate	Differentiate	Determine	Develop
Memorize	Explain	Perform	Distinguish	Judge	Formulate
Name	Infer	Plot	Examine	Justify	Generate
Outline	Interpret	Practice	Experiment	Measure	Improve
Quote	Paraphrase	Present	Graph	Predict	Invent
Recall	Recognize	Produce	Integrate	Prioritize	Modify
Recite	Report	Provide	Order	Rank	Plan
Recognize	Restate	Show	Organize	Rate	Prepare
Repeat	Summarize	Sketch	Select	Recommend	Revise
Reproduce	Translate	Solve	Sequence	Reflect	Synthesize
State	Visualize	Use	Solve	Relate	Write

Rubric for Evaluating Institutional Student Learning Assessment Processes

This is intended for institutions to use as a tool to help them assess the status of their current assessment efforts in terms of Middle States' accreditation standards and expectations. This tool is **not** intended to be used by any evaluators or to prescribe specific Commission actions regarding the institution.

- No plans = **No documented evidence that the institution has plans** to do this.
 No evidence = The institution appears to be aware that it should do this, but there is **no documented evidence that this is happening**.
 A few areas = The institution has documented evidence that this is happening **in just a few areas** (for example, only in programs with specialized accreditation).
 Some areas = The institution has documented evidence—not just assurances—that this is happening **in some but not most areas** (for example, in a number of academic programs but not yet in general education)
 Most areas = The institution has documented evidence—not just assurances—that this is happening **in most but not all areas**.
 Everywhere = The institution has documented evidence—not just assurances—that this is happening **everywhere**.

	<i>For academic programs, the general education curriculum, and institutional goals articulated in the mission statement, vision statement, or elsewhere:</i>	No plans	No evidence	A few areas	Some areas	Most areas	Everywhere
1	Institutional leaders demonstrate sustained—not just one-time or periodic—support for promoting an ongoing culture of assessment and for efforts to improve teaching.						
2	Clear statements of expected learning outcomes at the institutional, unit, program, and course levels have been developed and have appropriate interrelationships.						
3	Those with a vested interest in the learning outcomes of the institution, program, or curriculum are involved in developing, articulating, and assessing them.						
4	Statements of program-level expected learning outcomes are made available to current and prospective students.						
5	Course syllabi include statements of expected learning outcomes.						
6	Targets or benchmarks for determining whether student learning outcomes have been achieved have been established and justified; the justifications demonstrate that the targets are of appropriate college-level rigor and are appropriate given the institution's mission.						
7	Multiple measures of student learning, including direct evidence, have been collected and are of sufficient quality that they can be used with confidence to make appropriate decisions.						
8	The evidence of student learning that has been collected is clearly linked to expected learning outcomes.						
9	Student learning assessment results have been shared in useful forms and discussed with appropriate constituents, including those who can effect change.						
10	Student learning assessment results have been used to improve teaching and by institutional leaders to inform planning and budgeting decisions.						
11	In any areas in which the above are not yet happening, concrete, feasible, and timely plans are in place.						
12	Assessment processes have been reviewed and changes have been made to improve their effectiveness and/or efficiency, as appropriate.						
13	There is sufficient engagement, momentum, and simplicity in current assessment practices to provide assurance that assessment processes will be sustained indefinitely.						

SUPERINTENDENT INSTRUCTION 2017-05

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

10 AUGUST 2017

SUPERINTENDENT INSTRUCTION 2017-05

Subject: ACADEMY FINANCIAL WORKING GROUP

1. **Purpose:** To establish an Academy Financial Working Group (FWG) comprised of representatives from across the Academy who can review Academy spending proposals, recommend spending priorities and funding levels, and advise the Superintendent's Cabinet (Cabinet) on Academy-wide budget and financial matters.
2. **Supersedes:** Superintendent Instruction 2014-03 "Academy Financial Working Group."
3. **Applicability:** This policy applies to all Academy personnel.
4. **Policy:** Management of public resources requires ongoing oversight to ensure good stewardship of taxpayer dollars. The FWG was established to ensure a standard process is used to coordinate budgetary resource requirements and to insure sound decision making that addresses the Academy's strategic priorities. The FWG will evaluate and prioritize departmental resource requests in order to make sound recommendations to the Cabinet. The Cabinet will make final recommendations to the Superintendent for final decision-making.
5. **Procedure:**
 - a. The FWG will review resource requirements and make recommendations to the Cabinet for the all phases of the Academy's budget cycle, which includes budget formulation, spend plan development, reallocations and/or reprogramming, unfunded requirements, year-end funding redistribution, and any other resource issues for Academy-wide consideration. The FWG will consist of the following individuals:
 - i. Director, Office of Academy Financial Management (OAFM) (Chairperson)
 - ii. Representative-Academic Dean (Member)
 - iii. Representative-Commandant (Member)
 - iv. Representative - Executive Officer (Member)
 - v. Representative - At-Large (Member)
 - vi. Chief of Academy Procurement (Advisor)

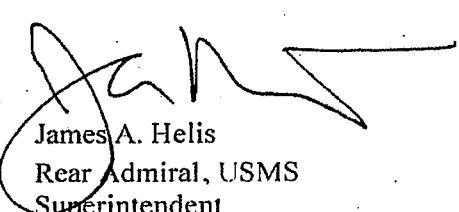
SUPERINTENDENT INSTRUCTION 2017-05

- b. The Academic Dean, Commandant and Executive Officer will identify members to act as their division representatives. The Superintendent will appoint an at-large member. Members will be expected to be familiar with the operations of their respective divisions. All members will be identified in writing by the relevant division head to the Director, OAFM, for an indefinite term. It is imperative that everyone act impartially for the group to achieve the best possible outcomes for the institution.
- c. The Superintendent and Deputy Superintendent may participate in FWG meetings at any time.
- d. The FWG will meet as necessary, but at least once a quarter. Meeting minutes will be prepared and provided to members and kept for 7 years.

6. Responsibilities:

- a. **Director, Office of Academy Financial Management:** Responsible for requesting the submission of required information from Academy departments, scheduling meetings, preparing and maintaining meeting minutes, and preparing materials for Cabinet review.
- b. **Academic Dean, Commandant and Executive Officer:** Identify members in writing to the Director, OAFM. The Director, OAFM, should also be notified in writing of any changes to membership over time.
- c. **Members/Advisors:** Provide impartial and active participation in the process that results in achieving the Academy's strategic priorities.

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



James A. Helis
Rear Admiral, USMS
Superintendent

Dist. via Email

Responsible Official: Director, OAFM



U. S. Department
of Transportation

Maritime
Administration

Memorandum

U. S. Merchant Marine Academy

Subj: USMMA Annual Guidance Memorandum

Date: May 11, 2017

From: RADM James A. Helis
Superintendent

To: Deputy Superintendent
Acting Academic Dean
Commandant
Executive Officer
Heads of All Departments and Programs

Our Mission

To educate and graduate licensed merchant mariners and leaders of exemplary character who will serve America's marine transportation and defense needs in peace and war.

This inaugural Annual Guidance Memorandum (AGM) represents the first step toward implementing the Academy's Strategy, Execution, and Assessment (SEA) process to integrate our strategic planning with our resource decision-making. While the Academy is engaged in developing its FY 2018 – FY 2021 Strategic Plan, for near term planning departments and programs are to consider the mission objectives in the Strategic Plan 2012 – 2017 in their resource allocation decisions. In preparing the FY 2017 final spend plan and the FY 2018 President's Budget request for the Academy, departments and programs should emphasize the following priorities within the Strategic Plan 2012 – 2017 focus areas:

Cutting-Edge Programs

- Continue to work with MARAD to make VORF funds available to invest in replacement engine and bridge simulators.
- Invest in staff and faculty continuing education opportunities through the academic enhancement and tuition assistance programs.
- Continue to invest in learning software (tutor.com, Lapware, etc.).
- Continue to invest in instructional technology that enhances the teaching and learning environment.

Sound Leadership

- Invest in additional management capacity through effective hiring.
- Invest in training that improves or increase core competencies.

Dynamic Campus Culture

- Invest in and sustain a Sexual Assault Prevention and Response Office with additional staffing.
- Resource a Sea Year Reintegration program.
- Support student co-curricular activities.
- Invest in recruitment strategies to increase student diversity.

First Class Infrastructure

- Complete the re-design and begin renovation of Samuels Hall as a state of the art teaching and simulation center.
- Complete the design and initiate the renovation of Gibbs Hall.
- Dry dock and inspection of the T/V Kings Pointer.
- Upgrade the facilities at Tomb field.
- Work with our Alumni to redevelop the Lower Roosevelt Field into premier athletic facility.
- Improve the campus security posture.

Meaningful Communications and Partnerships

- Continue to work with industry to eliminate sexual assault and harassment during Sea Year.
- Invest resources in the Shipboard Climate Compliance Team (SCCT).
- Work with our alumni partners to provide opportunities for the Midshipmen to participate in relevant industry events such as Women on the Water and the International Workboat Show.

FY 2019 Resource Planning

For FY 2019 planning, all departments and programs should:

- Continue to review the objectives in the Strategic Plan 2012 – 2017 as well as ensuring that corrective actions identified in response to meeting Middle States Commission on Higher Education (MSCHE) accreditation standards and LMI report findings are considered in your resource proposals.
- Review project plans to ensure that project proposals, particularly capital projects, reflect the resources necessary to deliver fully functional facilities and systems and are consistent with the Academy's Capital Improvement Program Plan.
- Assume a Midshipmen population as follows:
 - Class of 2022 280 Midshipmen
 - Class of 2021 280 Midshipmen
 - Class of 2019 269 Midshipmen
 - Class of 2018 218 Midshipmen
- Assume for planning purposes an Academy Operations funding level consistent with the FY 2017 enacted level of \$69 million, an increase of \$2.6 million above the FY 2018 President's Budget level.

Next Steps

Over the next several weeks, resource requests will be collected by the Office of Academy Financial Management which will present the consolidated Academy request reflecting all department and program proposals to the Academy Financial Working Group (AFWG). The AFWG will prioritize the funding proposals and make recommendations based on the priorities laid out in this memorandum incorporating any fiscal guidance from the Administration.