

Report on the AAU Campus Climate Survey on Sexual Assault and Misconduct

California Institute of Technology

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1. Introduction

This report describes the results of the 2019 *Campus Climate Survey on Sexual Assault and Misconduct (Campus Climate Survey)* administered at California Institute of Technology. Student responses to *Campus Climate Survey* items provide data that will inform efforts to prevent and respond to sexual assault and other misconduct at California Institute of Technology. There were six goals of the survey that were intended to provide information to schools on their efforts to prevent and respond to sexual assault and other misconduct:

1. Estimate the prevalence of sexual assault and other misconduct.
2. Describe the circumstances, student responses and consequences associated with instances of sexual assault and other misconduct.
3. Assess student perceptions surrounding sexual assault and other misconduct.
4. Assess student knowledge of school resources and procedures when responding to instances of sexual assault and other misconduct.
5. Assess how bystanders react in different situations related to sexual assault and other misconduct.
6. Describe how the prevalence of nonconsensual sexual contact, and perceptions and knowledge of school policies and procedures have changed since the 2015 survey.¹

California Institute of Technology participated in the *Campus Climate Survey* as part of a consortium of 33 colleges and universities organized by the Association of American Universities (AAU). California Institute of Technology participated in a similar survey organized by AAU in 2015.

This report summarizes the survey's findings and also provides background about the survey's design.

¹ Comparisons between results for 2015 and 2019 surveys are made for some but not all survey items that remained the same between administrations. Comparisons are provided in Tables 7.1 and 7.2. When making other comparisons, the reader should consult Appendix 2 for questions that did not change between the two surveys.

2. Methodology

2.1 Designing the 2019 Instrument

The 2019 *Campus Climate Survey* is a revised version of the survey administered in 2015.² Content development for the 2015 survey and refinement for the 2019 survey were joint collaborations between Westat and the AAU Survey Design Team (SDT). (For a list of SDT members who supported refinement of the 2019 survey, see Table A1, Appendix 1.) The design process began by the release of a request for proposal (RFP) asking interested organizations to submit a bid to implement the 2019 survey. The RFP was released by AAU, which worked with a committee composed of representatives from schools interested in implementing another survey in 2019. Westat, a research organization based in Rockville, Maryland, was awarded the contract in May of 2018.

To design the 2019 survey instrument, the Westat team worked closely with the SDT and participating schools. The SDT was composed of a multi-disciplinary team of college and university professors, administrators, and student service providers from participating schools with expertise in survey design and issues related to sexual assault and other misconduct on campus. Starting in June of 2018, Westat met with the SDT weekly, sometimes twice weekly, to discuss revisions to the survey. The Westat principal investigators (Drs. David Cantor and Bonnie Fisher) and SDT co-chairs (Drs. Lily Svensen and Christina Morell) set the agenda for the meetings.

The 2019 survey design started with the 2015 survey. Revisions were based on multiple sources of information. When making changes, some priority was given to maintaining the measures of selected items on student opinions and nonconsensual sexual contact. Some of the changes made to the 2019 survey reflect revisions to definitions of key concepts since 2015. For example, the definition of stalking was updated to reflect changes in legal standards established by the U.S. Department of Justice. Other changes were made based on feedback from the SDT, the schools, and findings from the 2015 survey. For example, changes were made to the sexual harassment section to reflect recommendations made after analysis of the 2015 survey. Changes were made on the section that collected details about nonconsensual sexual contact

² For additional information on the 2015 *Campus Climate Survey*, including survey development processes, please see <https://www.aau.edu/sites/default/files/AAU-Files/Key-Issues/Campus-Safety/AAU-Campus-Climate-Survey-FINAL-10-20-17.pdf>.

to reduce respondent burden. Similarly, the section on bystander behavior was revised to reflect feedback on the utility of the 2015 items.

Input from participating schools was solicited by asking them to comment on the 2015 survey. These comments were considered as revisions were made. Once a draft of the 2019 survey was developed, it was circulated to the participating schools for comment. The SDT reviewed all comments from schools and made final decisions on changes to the questions. The survey was finalized after conducting a series of one-on-one interviews (cognitive interviews) with college students, obtaining feedback from students at selected participating schools, and conducting a pilot with college students attending a school that was not participating in the survey.

2.2 Survey Content and Mode of Administration

The survey comprises 12 sections (A-J). A core set of 54 questions was asked of every respondent, in each of the following sections: Background (A), General Perceptions of Campus (BB), Perceptions of Risk (B), Knowledge of Resources (C), Sexual Harassment (D), Stalking (E), Intimate Partner Violence (F), Sexual Assault/Other Misconduct (G), Opinions of Program Services (HH), Sexual Misconduct Prevention Training (H), Perceptions of Responses to Reporting (I), and Bystander Behavior (J).

Respondents who had been in a partnered relationship since enrolling at the school were asked questions about Intimate Partner Violence (F). Additional questions were administered if respondents reported being victimized. For Sexual Harassment, Stalking, and Intimate Partner Violence (sections D, E, and F, respectively), follow-up questions were asked across all reported incidents for each form of victimization. For example, if someone was a victim of Intimate Partner Violence by two different partners, the follow-up questions asked for information for both partners. For nonconsensual or unwanted sexual contact since enrolling at the school (section G), follow-up questions (up to four) were asked for each incident. That is, respondents who reported that they experienced at least one incident were prompted to provide more detailed information in the Detailed Incident Form (DIF; Attachment 2) about the incident(s) that impacted or affected them the most. (For the complete survey, with annotations, see Appendix 1.)

While the 2019 survey instrument was based on the 2015 survey instrument, quite a few changes were made for the 2019 instrument. When appropriate, this report compares results

between 2015 and 2019. Appendix 2 provides a comparison of survey items that composed the 2015 and 2019 surveys.

The *Campus Climate Survey* was administered as a web survey. Each page of the web survey included links to general and school-specific frequently asked questions (FAQs) and resources (e.g., national rape crisis hotline number). (For FAQs and resources, see Appendix 3.) Web survey pages also included the Help Desk number to assist students who needed either technical assistance or additional resources.

2.3 Sample

California Institute of Technology conducted a census survey that included 2,171 enrolled students. To encourage participation, the undergraduate house with the highest percentage completion rate was offered a \$1,000 fund to go toward the purchase of house equipment, and the division with the highest completion rate by graduate students was offered a graduate student division party. Students were notified of this incentive program in the invitation and reminder emails.

2.4 Survey Procedures

The *Campus Climate Survey* was launched at California Institute of Technology on February 18, 2019. Email invitations to participate in the survey were sent to students' school email addresses through a Westat email address on the first day of data collection. An email from April Castañeda, Assistant Vice President, Equity & Equity Investigations, Title IX Coordinator was sent prior to the first e-mail notifying students about the survey. Each subsequent email included a unique link to the student's online survey and was signed by April Castañeda, Assistant Vice President, Equity & Equity Investigations, Title IX Coordinator. To prompt completion of the survey before the deadline, Westat sent reminder emails. California Institute of Technology's *Campus Climate Survey* closed on March 15, 2019. (For email invitations and reminders, see Appendix 4.)

2.5 Response Rates

At the close of data collection, the percentage of students at California Institute of Technology who provided data for at least some of the survey items is 45.6 percent. The school

had an overall response rate of 40.4 percent; this response rate is based on those students who provided enough information to conduct the analyses described in this report (Table 1).

Table 1. Response rates¹

N = 2,171	Woman			Man			Total		
	n	resp	%	n	resp	%	n	resp	%
Undergraduates	419	260	62.1%	511	241	47.2%	930	501	53.9%
Graduates/Professional	361	137	38.0%	880	239	27.2%	1,241	376	30.3%
Total	780	397	50.9%	1,391	480	34.5%	2,171	877	40.4%

¹The response rates use total counts from administrative data as the denominator, which only has ‘man’ and ‘woman’ as gender categories. For purposes of the response rate calculation, those who identified themselves in another category were imputed into one of these two categories.

A completed survey was defined by two criteria:

- It took the student at least 5 minutes to complete the survey. This criterion was applied to students who went through the entire survey and it was possible to measure the amount of time to complete.³
- The student answered at least one question in each of the following sections: sexual harassment (D), stalking (E), and sexual assault/other misconduct (G).

The first criterion was established to exclude those students who went through the survey so quickly that they could not possibly read and answer the questions.⁴ The second criterion is relevant to cases in which the respondent did not click the “submit” button at the end of the survey but did provide responses to most of the survey items. The victimization sections were used to define a “complete” survey because of the importance of these items to the survey’s goals.⁵

³ Timing data were not available for respondents who: 1) did not advance through the survey in its entirety and click the “submit” button, or 2) exited and re-entered the survey one or more times.

⁴ When pilot testing the survey, we asked testers to go through the survey as quickly as possible (e.g., skimming the questions and not reading the introduction or instructions). Based on these findings, 5 minutes was chosen as a cutoff point, below which the survey was not counted as complete.

⁵ This criterion could not be used for Intimate Partner Violence (section F) because of the skip pattern embedded in this section (i.e., student had to have been in a partnered relationship since enrolling at the school).

2.6 Brief Description of the Weighting Procedure for California Institute of Technology

The initial step in the weighting procedure was to create a base-weight for each respondent. A census was conducted at California Institute of Technology, and a base weight of one was assigned to each respondent. The base weight was adjusted to reflect non-response. This adjustment consisted of a statistical raking procedure that adjusted the base weight to the demographic data available on the sample frame (Deming & Stephen, 1940; Deville, Särndal, & Sautory, 1993; Cervantes & Brick, 2008). The variables used in the statistical raking procedure are shown in Table 2:

Table 2. Variables used in the statistical raking procedure

Variable	Description	Variable Value
Gender	Two-category gender variable (woman/man). The frame data only had two categories (woman and man), whereas the survey data had eight categories. To make the frame and the survey data compatible, the survey responses to a non-woman/man category were imputed to a woman or man category. Transgender woman/man cases are coded as woman/man, respectively.	1: Woman 2: Man
Age Group	Student's age was grouped into four categories: 18-20, 21-23, 24-26, and 27+.	1: 18-20 2: 21-23 3: 24-26 4: 27+
Year in School	This is a combined variable of student affiliation (Undergraduate/Graduate/Professional) and year of study or year in program. The survey had separate questions on year of study for undergraduates (freshman, sophomore, junior, senior) and graduate/professional students (1 st , 2 nd , ...,5+).	1: First-year undergraduate 2: Second-year undergraduate 3: Third-year undergraduate 4: Fourth-year or higher undergraduate 5: Graduate/Professional years 1 & 2 6: Graduate/Professional years 3 & 4 7: Graduate/Professional years 5+
Race/Ethnicity	This variable has five categories: Hispanic, White, Black, Other race, and Nonresident alien. The frame race/ethnicity categories are grouped this way, and the survey race/ethnicity variables were coded to conform to this categorization.	1: Hispanic 2: White 3: Black 4: Other race 5: Nonresident alien

Some raking cells cause too large or small weights because they are too small or their response rates are very different from those of other cells. This unduly increases the variance of estimates. To avoid this situation, cells 3 and 4 for raking variable "Race_Ethnicity_RC" are collapsed, which helped stabilize the final weights.

Missing values in demographic variables in the survey data were imputed using a hot-deck procedure that randomly allocated responses in the same proportion as those answered within each imputation class. On average, 0.44 percent of survey respondents had to be imputed in this way.

The statistical raking procedure adjusts the base weight so that the sum of adjusted weights of the survey respondents for a subgroup is equal to the sample frame total for that subgroup. Subgroups are defined by each variable used in the statistical raking procedure. Algebraically, this can be expressed as

$$\sum_{k=1}^n I_{gk} w_k = N_g$$

where n is the respondent sample size (877), I_{gk} is an indicator variable having 1 if respondent k belongs to subgroup g , 0 otherwise, w_k is the adjusted weight for respondent k , and N_g is the frame count of subgroup g .

For example, the weight total for all survey respondents who are women is equal to the total count of women in the sample frame (780). The same is true for subgroups defined by each variable listed in the above table.

3. Survey Results

This chapter describes the results of the survey for the following seven topics:

1. Student perceptions and knowledge of sexual assault and other misconduct on campus.
2. Student knowledge and opinions about resources related to sexual assault and other misconduct.
3. The prevalence and nature of nonconsensual sexual contact by physical force, and inability to consent or stop what was happening.
4. The prevalence and nature of nonconsensual sexual contact involving coercion or without active, ongoing voluntary agreement.⁶
5. The prevalence and nature of sexual harassment, intimate partner violence, and stalking.
6. Change in the prevalence of nonconsensual sexual contact between 2015 and 2019.
7. Change in student perceptions of risk and knowledge of resources between 2015 and 2019.

Most of the discussion and tables contain rates by gender and student affiliation. For gender, students were asked to self-identify into one of eight categories.⁷ For rates described below, students were classified into one of three groups: 1) woman, 2) man, and 3) trans man or woman, genderqueer or nonbinary, questioning, or not listed (TGQN).⁸ Student affiliation was divided into two groups: 1) undergraduate and 2) graduate/professional.

Collapsing groups into the TGQN category helps to maintain an adequate sample to generate estimates. Prior surveys have shown that TGQN students and women have significantly higher rates of victimization than men. However, very few campus surveys have produced statistically reliable estimates for students that identify as TGQN. A very

⁶ In the 2015 survey, “without active, ongoing voluntary agreement” was referred to as “absence of affirmative consent.” The measurement of this tactic did not change between surveys.

⁷ These eight categories are: man, woman, trans man, trans woman, genderqueer or nonbinary, questioning, not listed, and decline to state.

⁸ Those who declined to state their gender were randomly allocated using a hot-deck imputation procedure to the man, woman, or TGQN categories. Approximately 1.0 percent of respondents declined to state their gender.

small percentage of the student population identifies as TGQN and because of this, the number of students completing the surveys is small. Approximately 2.6 percent of the students selected one of the TGQN categories (Table A). This is an inadequate number of respondents to generate reliable estimates if the data are disaggregated by student affiliation (undergraduate and graduate/professional categories). Separating by affiliation will result in many cells being suppressed because of small sample, especially for graduate and professional students. In the interest of including as many results as possible for this group, this report combines data across student affiliation categories for TGQN students.

When interpreting the tables, please note the following:

1. An uppercase letter 'S' indicates the cell was suppressed for confidentiality reasons (when that cell had fewer than three cases).
2. The symbol '-' indicates there was no data for that cell.

The study team compared findings for some, but not all, subgroups to determine if there are statistically significant differences between groups. The results of these significance tests are reported below. A two-tailed z-test at the 5 percent level was used.

The report also compares TGQN students to undergraduate women in order to provide the reader with some point of comparison, even though it does not account for TGQN student affiliation. Based on prior research, undergraduate TGQN students do differ from graduate and professional TGQN students. For example, undergraduate TGQN students have higher victimization rates than graduate and professional TGQN students (Cantor et al., 2017). However, for the reasons given above, the results in this report do not disaggregate TGQN students by affiliation. Undergraduate women were used as a comparison group because their rates are closest with respect to victimization and climate measures to TGQN students. For example, with respect to victimization rates, the 2019 AAU survey found that across all 33 schools participating in the survey, the rates of nonconsensual sexual contact by force or inability to consent for TGQN students were either the same or slightly lower when compared to undergraduate women.⁹ When comparing the rates for TGQN students to the other groups discussed in this report (i.e., undergraduate men, graduate/professional men and women) the rates are between 2 to 7 times higher. The reader is referred to the 2015 and 2019 AAU

⁹ The estimates for nonconsensual penetration by physical force or inability to consent were virtually identical (10.9% vs. 10.7%). The rates for nonconsensual touching were higher for undergraduate women (19.6% vs. 14.8%).

aggregate reports that summarize across all schools, which have much larger samples, for analyses of TGQN students by affiliation status (Cantor et al., 2017; 2019).

3.1 General Perceptions of Campus and Bystander Behavior Around Sexual Assault and Other Misconduct

Students reported on several topics related to their perceptions and knowledge of school policies and practices, and on bystander behavior related to sexual assault and other misconduct. They were asked about their expectations regarding the response from the school if they were to report a sexual assault or misconduct; whether they had ever witnessed an incident and whether they intervened; whether they perceived sexual assault or other misconduct as a problem on campus; and the likelihood that they would be victimized.

Response to a Report of Sexual Assault or Other Misconduct

Students were asked how campus officials would respond to a report of sexual assault or other misconduct at California Institute of Technology (Table 1.1). Overall, 73.6 percent perceived that it is very or extremely likely that campus officials would take the report seriously. Among undergraduates, 69.7 percent of women and 75.1 percent of men perceived that it is very or extremely likely. There is not a statistical difference between undergraduate women and men. Among graduate/professional students, 63.2 percent of women and 79.2 percent of men perceived that it is very or extremely likely. There is a statistical difference between graduate/professional women and men. Among TGQN students, 61.7 percent perceived that it is very or extremely likely. There is not a statistical difference between TGQN students and undergraduate women.

Students were asked if they believe that campus officials would conduct a fair investigation in response to a report of sexual assault or other misconduct. Overall, 54.5 percent indicated that it is very or extremely likely that the investigation would be fair. Among undergraduates, 49.6 percent of women and 50.8 percent of men perceived that it is very or extremely likely. There is not a statistical difference between undergraduate women and men. Among graduate/professional students, 47.0 percent of women and 61.9 percent of men perceived that it is very or extremely likely. There is a statistical difference between graduate/professional women and men. Among TGQN students, 50.8 percent perceived that it is very or extremely likely. There is not a statistical difference between TGQN students and undergraduate women.

Bystander Behavior

The survey included questions about four different situations students may have witnessed related to sexual assault or other misconduct since they have been students at the school and how they reacted to them (Table 1.2). Student responses about the extent to which they took direct action in response to four different scenarios are described below. “Direct” was defined as either “directly intervened or interrupted the situation in the moment” or “confronted or expressed concern to the person engaging in the behavior.”¹⁰

Did the student notice someone acting in a way they believed was making others feel uncomfortable or offended? Overall, 25.3 percent of students indicated they noticed this type of incident. Among those who witnessed this type of incident, 72.0 percent took some type of action,¹¹ with 41.5 percent who directly intervened or interrupted the situation, or confronted or expressed concern to the person engaging in the behavior.

Did the student witness a pattern of sexual comments or behaviors that made them concerned that a fellow student was experiencing sexual harassment? Overall, 9.1 percent of students indicated they witnessed this type of incident. Among those who witnessed this type of incident, 74.2 percent took some type of action,¹² with 18.6 percent who directly intervened or interrupted the situation, or confronted or expressed concern to the person engaging in the behavior.

Did the student witness someone behaving in a controlling or abusive way towards a dating or sexual partner? Overall, 10.2 percent of students indicated that they witnessed such an incident. Among those who witnessed this type of incident, 57.6 percent took some type of action,¹³ with 15.3 percent who directly intervened or interrupted the situation, or confronted or expressed concern to the person engaging in the behavior.

Did the student witness a situation that they believed could have led to a sexual assault? Overall, 9.8 percent of students indicated that they witnessed such an incident. Among those who witnessed this type of incident, 72.0 percent took some type of action,¹⁴ with

¹⁰Percentages in the table related to student responses after witnessing each situation may not sum to 100 as students could select multiple responses.

¹¹The percentages in this sentence are not included in the table.

¹²Ibid.

¹³Ibid.

¹⁴Ibid.

42.2 percent who directly intervened or interrupted the situation, or confronted or expressed concern to the person engaging in the behavior.

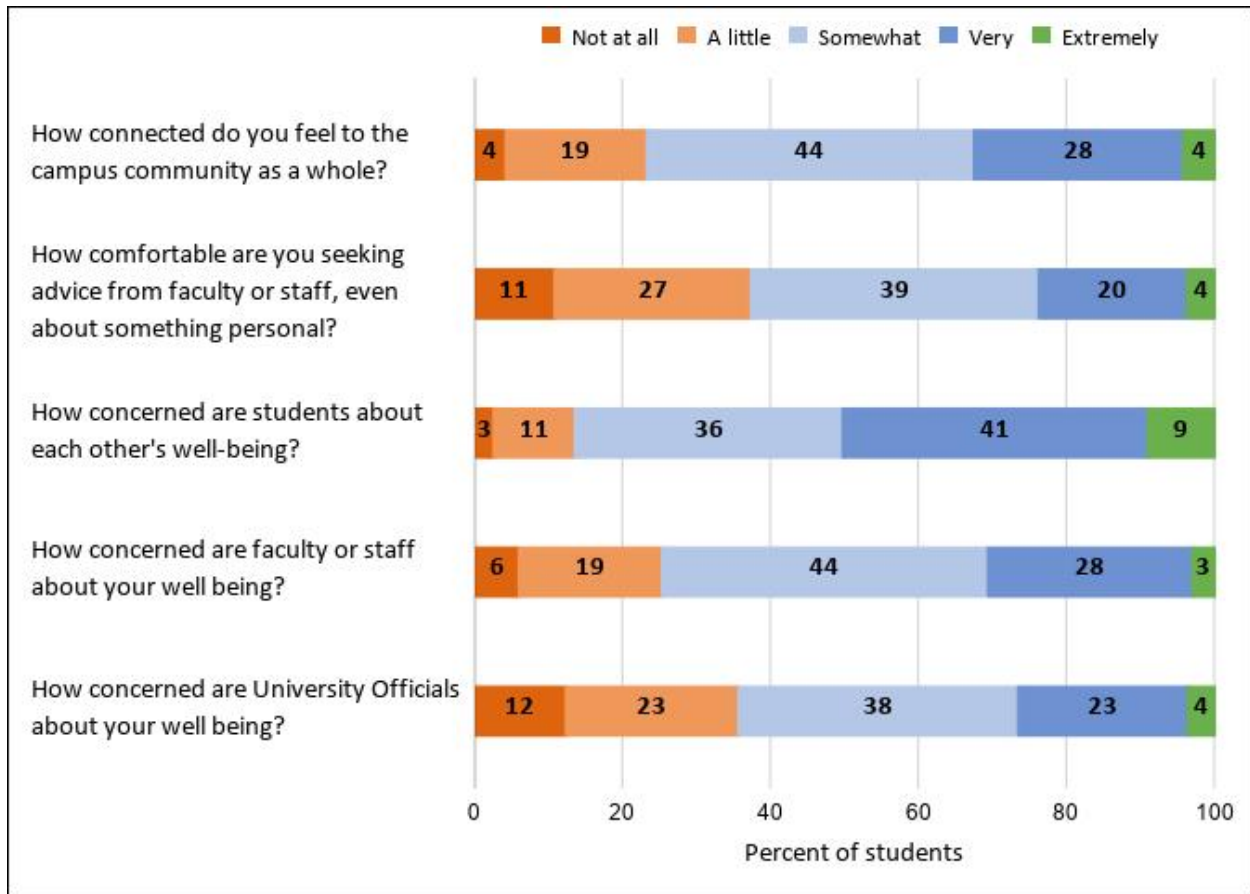
Perceptions Related to Personal Risk

When asked how problematic sexual assault or other misconduct is at California Institute of Technology, 8.2 percent of students reported that it is very or extremely problematic (Table 1.3). Among undergraduates, 9.5 percent of women and 6.2 percent of men had this perception. Among graduate/professional students, 12.8 percent of women and 7.1 percent of men had this perception.

Overall, 2.2 percent of students thought it was very or extremely likely that they will experience sexual assault or other misconduct in the future while enrolled at California Institute of Technology. Among undergraduates, 3.7 percent of women perceived this as very or extremely likely. Among graduate/professional students, 8.8 percent of women perceived this as very or extremely likely.

Students were also asked to report about their overall experience with the campus community at California Institute of Technology (Table 1.4; see also Figure 1). Overall, 32.5 percent feel very or extremely connected to the campus community. Among women, 38.9 percent of undergraduates and 20.2 percent of graduate/professional students reported they feel this way. There is a statistical difference between undergraduate women and graduate/professional women. Among men, 43.1 percent of undergraduates and 27.8 percent of graduate/professionals reported feeling very or extremely connected to the campus community. There is a statistical difference between undergraduates and graduate/professional students. Among TGQN students, 45.3 percent feel very or extremely connected to the campus community. There is not a statistical difference between TGQN students and undergraduate women.

Figure 1. Student Feeling About the Campus Community¹⁵



The survey included several other questions on the campus community, such as how comfortable students feel seeking advice from faculty and staff, even about something personal, at California Institute of Technology. Overall, 23.8 percent of students reported being very or extremely comfortable seeking advice from faculty or staff at the school. Respondents were asked whether students are concerned for each other’s well-being. Overall, 50.2 percent perceive that students are very or extremely concerned about each other’s well-being. Students were asked if they feel faculty or staff at California Institute of Technology are concerned about their well-being. Overall, 30.6 percent perceive that faculty or staff at California Institute of Technology are very or extremely concerned about their well-being. Finally, students were asked if officials at California Institute of Technology are concerned about their well-being. Overall, 26.6 percent perceive that school officials are very or extremely concerned about their well-being.

¹⁵Numbers are rounded to the next integer. Percentages may not sum to 100 due to rounding.

3.2 Resources Related to Sexual Assault and Other Misconduct

This section presents findings on student knowledge of resources at California Institute of Technology related to sexual assault and other misconduct. The students were first asked if they were aware of a specific list of services and resources the school provided. They were then asked about their knowledge of different policies and procedures related to sexual assault and other misconduct at California Institute of Technology. Students were also asked whether they completed training modules or information sessions about sexual assault or other misconduct and, if so, the topics the training included.

Awareness of Services and Resources

Table 2.1 presents findings on the extent to which students are aware of specific services and resources the school and local community provide for victims of sexual assault or other misconduct. Overall, 1.7 percent were not aware of any of the services and resources presented on the survey. Among the specific services and resources available, students' awareness ranged from 4.6 percent for Peace Over Violence to 92.8 percent for Title IX Coordinator and/or Deputies.

Knowledgeable about School's Sexual Assault Policies and Procedures

Questions were included on the survey about student knowledge of school policies and resources. The percentage of students who reported they were very or extremely knowledgeable about how California Institute of Technology defines sexual assault and other misconduct is 31.3 percent (Table 2.2). Among undergraduates, 36.0 percent of women and 32.2 percent of men reported that they are very or extremely knowledgeable. There is not a statistical difference between undergraduate women and men. Among graduate/professional students, 28.8 percent of women and 27.6 percent of men reported they are very or extremely knowledgeable. There is not a statistical difference between graduate/professional women and men. Among TGQN students, 68.4 percent reported they are very or extremely knowledgeable. There is a statistical difference between TGQN students and undergraduate women.

When asked how knowledgeable they were on where to get help at the school if they or a friend are victims of sexual assault or other misconduct, 43.0 percent of students reported they were very or extremely knowledgeable about where to find help. Among women, 50.0 percent of undergraduates and 41.1 percent of graduate/professional students reported they were very

or extremely knowledgeable. There is a statistical difference between undergraduate women and graduate/professional women. Among men, 42.2 percent of undergraduates and 39.2 percent of graduate/professionals reported they were very or extremely knowledgeable. There is not a statistical difference between undergraduate and graduate/professional men students. Among TGQN students, 78.2 percent reported being very or extremely knowledgeable. There is a statistical difference between TGQN students and undergraduate women.

Two other questions were asked about student knowledge of procedures at the school related to reports of sexual assault or other misconduct. One asked how knowledgeable they were about where to make a report of sexual assault or other misconduct. Among all students, 37.3 percent reported being very or extremely knowledgeable about where to make a report. The other question asked about knowledge of what happens when a student reports an incident of sexual assault or other misconduct. In response to this question, 19.6 percent of students reported being very or extremely knowledgeable about what happens after an incident has been reported.

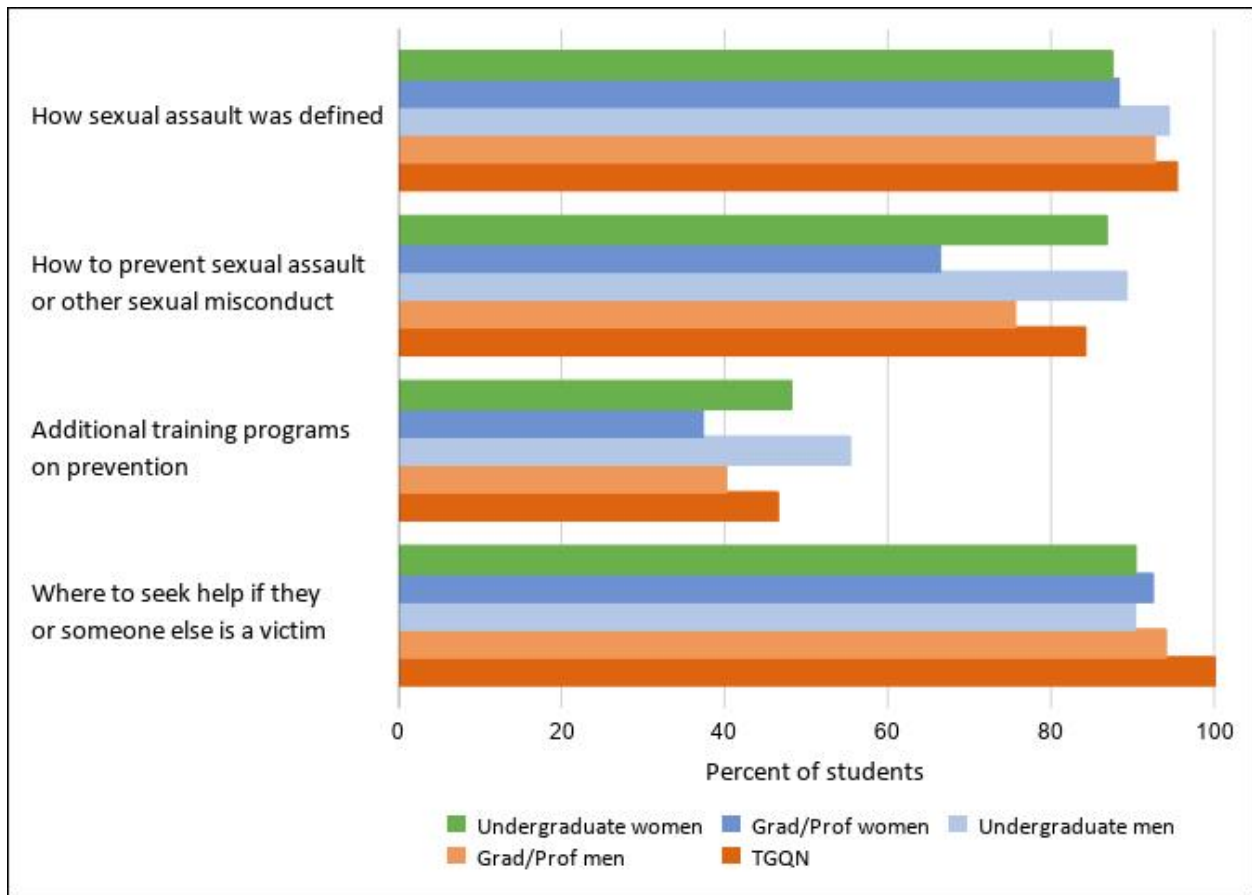
Attending Trainings on Sexual Assault and Other Misconduct

Both incoming students (initial enrollment at the school during the current academic year) and returning students (initial enrollment at the school prior to the current academic year) answered questions about attendance at a training or information session since enrolling at California Institute of Technology. Overall, 90.0 percent of the incoming students indicated that they completed at least one training or session about sexual assault and other misconduct, while 67.0 percent of the returning students reported that they completed at least one since arriving at the school.

Among the incoming students who completed a session or training, topics included how sexual assault or other misconduct is defined on campus (94.9%), how to prevent sexual assault or other misconduct (94.6%), additional training programs on prevention (65.3%), and where to seek help if they or someone else experienced sexual assault or other misconduct (93.4%).

Among the returning students who completed a session or training, topics included how sexual assault or other misconduct is defined on campus (91.4%), how to prevent sexual assault or other sexual misconduct (80.2%), additional training programs on prevention (45.3%), and where to seek help if they or someone else experienced sexual assault or other misconduct (92.3%) (Figure 2).

Figure 2. Percent of Returning Students Who Completed a Session or Training on Different Issues Related To Sexual Assault and Other Misconduct, By Gender and Student Affiliation



3.3 Nonconsensual Sexual Contact by Physical Force or Inability to Consent or Stop What Was Happening

Students were asked about a number of different types of nonconsensual sexual contact. This section describes the prevalence and characteristics of incidents that occurred as a result of either physical force or the inability to consent or stop what was happening (hereafter referred to as “inability to consent”). To be counted as a victim of this type of incident, the respondent had to answer “yes” to one of five different questions that asked about two different types of sexual contact—penetration and sexual touching. The survey defined each of these as:

Penetration:

- Putting a penis, finger, or object inside someone else’s vagina or anus

- When someone’s mouth or tongue makes contact with someone else’s genitals

Sexual Touching:

- Kissing
- Touching someone’s breast, chest, crotch, groin, or buttocks
- Grabbing, groping, or rubbing against the other in a sexual way, even if the touching is over the other’s clothes

The prevalence rates in this section refer to sexual contact that occurred because the perpetrator used physical force or threats of physical force (survey items G1 to G3) or the respondent was unable to consent (survey items G4 and G5).¹⁶

Physical force was defined on the survey as:

...someone holding you down with his or her body weight, pinning your arms, hitting or kicking you, or using or threatening to use a weapon against you.

The inability to consent or stop what was happening was defined with the following introduction:

The next questions ask about incidents when you were unable to consent or stop what was happening because you were passed out, asleep, or incapacitated due to drugs or alcohol. Please include incidents even if you are not sure what happened.

If the student reported both penetration and sexual touching in the same incident, the penetration was counted in the estimates described below. This hierarchy rule conforms to the counting rules established by the Federal Bureau of Investigation’s Uniform Crime Reporting Program (U.S. Department of Justice, 2013) and used by schools in disclosing the annual crime statistics required under the Clery Act.¹⁷

The questions used to measure these types of victimizations were not changed for the 2019 survey, with two exceptions. First, the introductory text for survey items in section G was modified to emphasize that the behaviors described could be performed on the victim or the victim could be forced to perform the behaviors on someone else. A second change was to add

¹⁶In 2015 “inability to consent” was referred to as “incapacitation.” This was measured the same way in 2015 and 2019. The label describing this tactic was changed to indicate the measure incorporated more than incapacitation.

¹⁷Clery Act Hierarchy Rule: 34 CFR 668.469(c)(9)

a sentence emphasizing the perpetrator could be anyone, whether or not the person was associated with the school. The changes to the introduction are shown in italics below.

This next section asks about nonconsensual or unwanted sexual contact you may have experienced while attending [University].

The sexual behavior may have been performed on you or you may have been made to perform the sexual behaviors on another person. The person with whom you had the nonconsensual or unwanted contact could have been someone you know, such as someone you are currently or were in a relationship with, a co-worker, a professor, or a family member. Or it could be someone you do not know.

Please consider anyone who did this, whether or not the person was associated with (University).

The following questions separately ask about contact that occurred because of physical force, incapacitation due to alcohol and/or drugs, and other types of pressure.

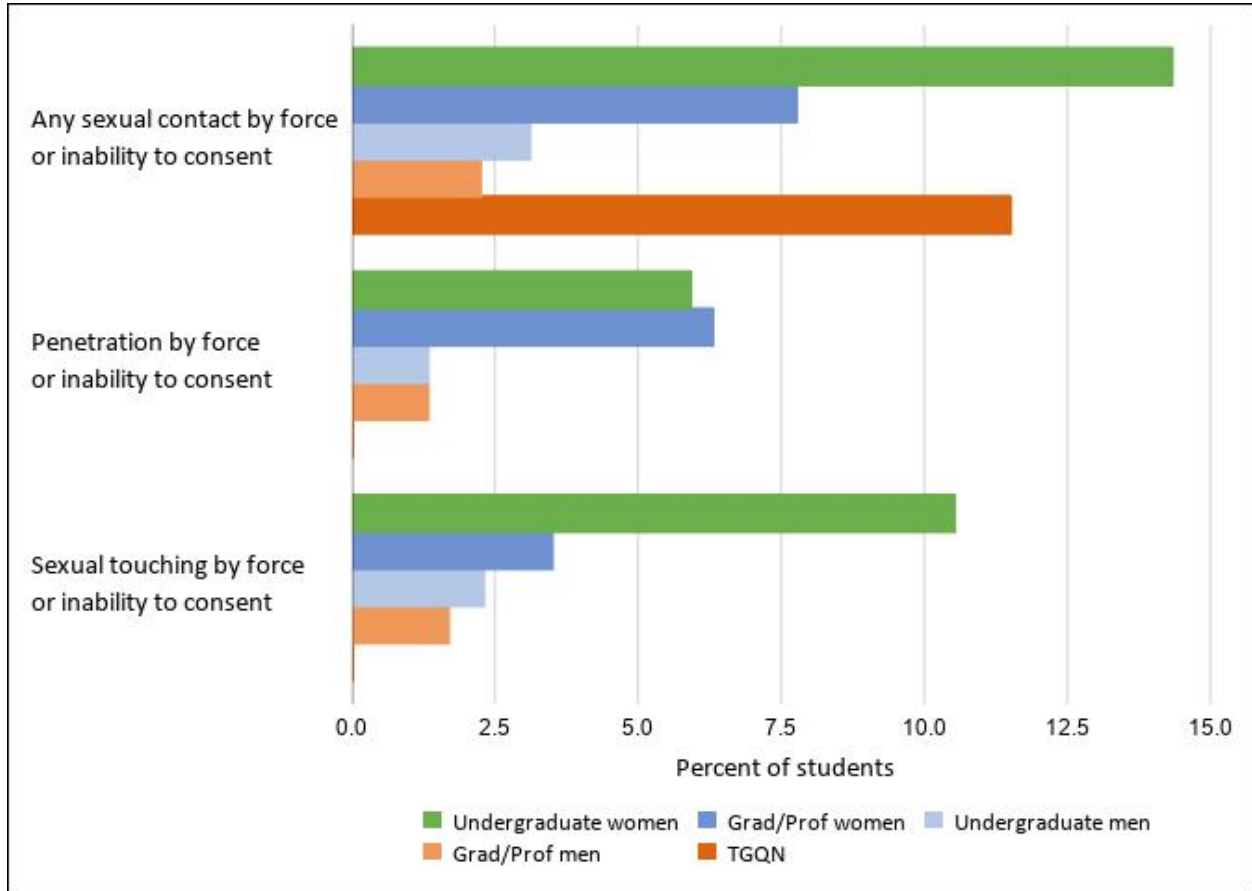
Comparisons of the estimates reported in this section to the 2015 survey are provided in section 3.7.

Prevalence of Nonconsensual Sexual Contact Involving Physical Force or Inability to Consent

Nonconsensual sexual contact by physical force or inability to consent since entering the school.¹⁸ Prevalence is estimated by counting the number of individuals that have been a victim at least once over the time period of interest. Figure 3 provides the rates of nonconsensual sexual contact by physical force or inability to consent since entering California Institute of Technology for the five different gender and affiliation groups (see Tables 3.1 to 3.5). Among undergraduates, 14.3 percent of women and 3.1 percent of men reported this type of victimization. There is a statistical difference between undergraduate women and men. Among graduate/professional students, 7.8 percent of women and 2.2 percent of men reported they were this type of victim. There is a statistical difference between graduate/professional women and men. Among TGQN students, 11.5 percent reported they were a victim. There is not a statistical difference between TGQN students and undergraduate women.

¹⁸Unless otherwise indicated, percentages related to penetration include completed and attempted incidents.

Figure 3. Percent of Students Who Experienced Penetration or Sexual Touching Involving Physical Force and/or Inability to Consent or Stop What Was Happening Since Entering California Institute of Technology, By Gender, Student Affiliation, and Behavior



Penetration by physical force or inability to consent. Focusing on incidents of penetration since entering California Institute of Technology, among undergraduates, 5.9 percent of women and 1.3 percent of men reported this type of victimization. There is a statistical difference between undergraduate women and men. Among graduate/professional students, 6.3 percent of women and 1.3 percent of men reported they experienced this type of victimization. There is a statistical difference between graduate/professional women and men.

Focusing on penetration for the two different types of tactics (physical force, inability to consent), among undergraduate women, 2.0 percent reported penetration by physical force, and 3.7 percent reported penetration because of an inability to consent. Among undergraduate men, 1.3 percent reported the incident occurred because of an inability to consent. Among graduate/professional women, 3.7 percent reported penetration by physical force and 3.2 percent reported by inability to consent.

Sexual touching by physical force or inability to consent. Among undergraduates, 10.5 percent of women and 2.3 percent of men reported nonconsensual sexual touching by physical force or inability to consent. There is a statistical difference between undergraduate women and men. Among graduate/professional students, 3.5 percent of women and 1.7 percent of men reported they experienced this type of victimization. There is not a statistical difference between graduate/professional women and men.

Focusing on rates for specific tactics (physical force or inability to consent), among undergraduate women, 5.6 percent reported sexual touching by physical force and 6.4 percent reported sexual touching occurred because they were unable to consent. Among undergraduate men, 1.2 percent reported sexual touching occurred because they were unable to consent. Among graduate/professional women, 2.1 percent reported sexual touching by physical force. Among graduate/professional men, 1.2 percent reported sexual touching when they were unable to consent.

Prevalence Rates of Nonconsensual Sexual Contact Involving Physical Force or Inability to Consent by Student Characteristics

The rates of nonconsensual sexual contact vary across students with different backgrounds. Non-heterosexual students (gay or lesbian, other or multiple categories) had a prevalence rate of 9.9 percent¹⁹ and heterosexual students had a rate of 4.8 percent. These rates are statistically different. Among Hispanic or Latino students, 6.8 percent reported experiencing nonconsensual sexual contact involving physical force or inability to consent, compared to 5.7 percent of non-Hispanic or Latino students. This is not statistically different. With respect to race, the rates are 6.7 percent for White students, 5.2 percent for Asian students, and 4.4 percent for students in Other and Multi Race groups. Students who indicated they have a disability had a prevalence rate of 14.3 percent, while 3.4 percent of respondents who did not identify as a student with a disability reported being victimized. These rates are statistically different. Overall, 6.3 percent of students who are not married reported experiencing penetration or sexual assault involving physical force or inability to consent.

Prevalence rates: since entering school. The measure “since entering” school provides a cumulative picture of the victimization experience of the student. With each year in school, the student has a longer time period when an incident could occur. Among undergraduate women, the percentage that reported at least one victimization was 14.2 percent of second-year

¹⁹The percentage is not included in the table.

students, 18.8 percent of third year students, and 20.0 percent of students in their fourth year or higher. Estimates for the group of students in their fourth year or higher represent the cumulative risk of victimization students experience over the entire span of their college career.

Number of Times Assaulted

As noted in the introduction to this section, the *Campus Climate Survey* includes questions that count the number of times each type of victimization incident occurred, including instances involving more than one type of behavior or tactic (Table 3.7). This provides a picture of how many people have been victimized more than one time. Since entering college, 3.5 percent of women reported experiencing penetration by physical force or inability to consent one time and 2.6 percent reported two or more times. For sexual touching by physical force or inability to consent, 4.5 percent of women reported experiencing this type of victimization one time and 2.8 percent reported two or more times.

Contacting an Organization and Reasons for Not Contacting

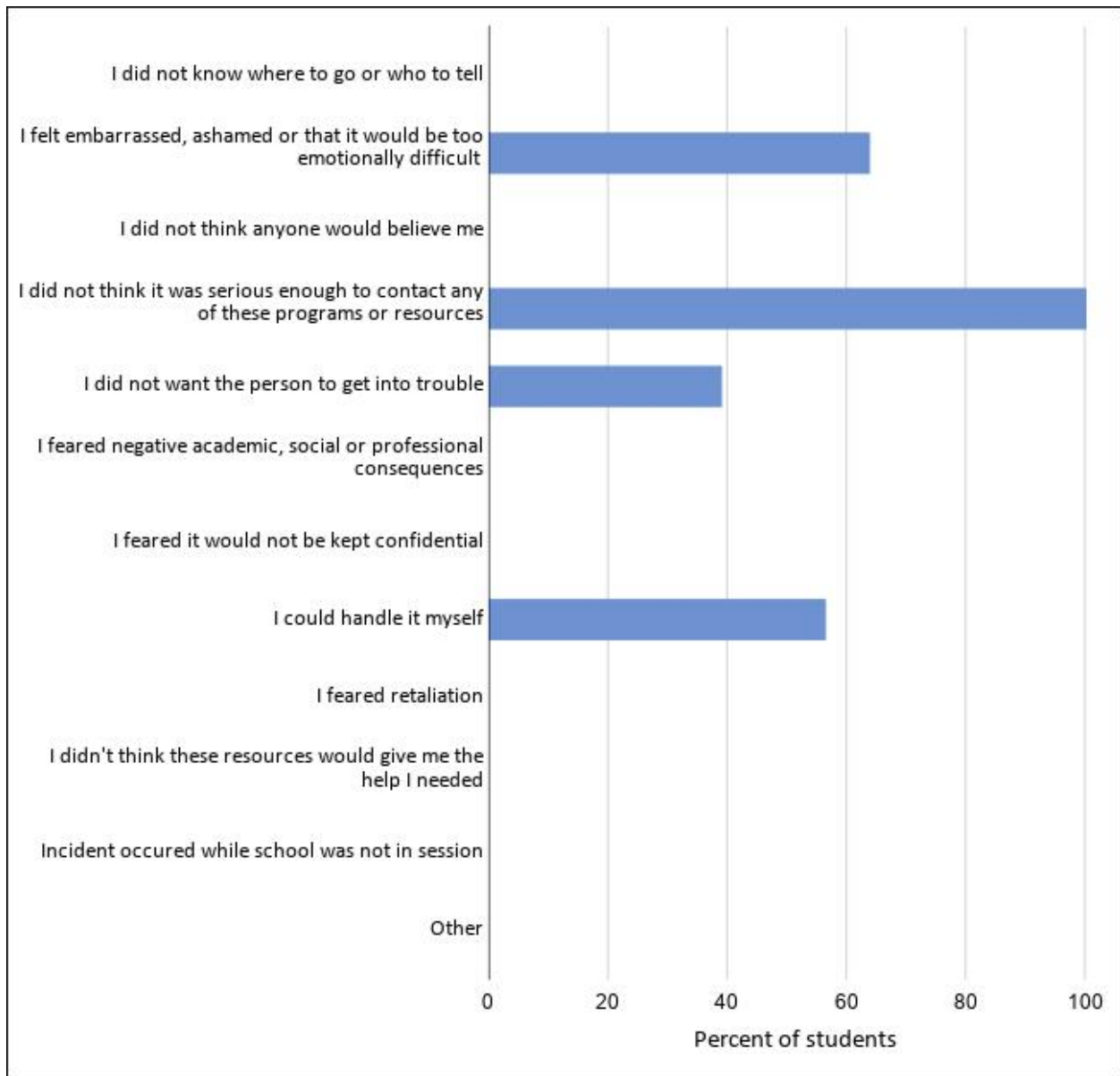
Students who reported an incident of nonconsensual sexual contact involving physical force or inability to consent were asked for details about the incident. Students that reported more than one incident were asked to first report on the incident that "...impacted or affected them the most." Students were asked to report on up to four incidents using this criterion. In this portion of the survey, students were presented with a list of programs and resources available at California Institute of Technology. The student could mark one or more programs or resources that were contacted. If they did not contact a program or resource, students were asked why they did not make contact. This differs from how these data were collected on the 2015 survey. Because of this difference, the data from this section of the 2015 and 2019 surveys cannot be compared directly.

Overall, for 65.6 percent of incidents involving women, victims made contact with a program or resource as a result of penetration involving physical force or inability to consent (Table 3.14). As one might expect, the percentage reported is different for sexual touching by physical force or inability to consent. For these incidents, 35.5 percent of women contacted a program or resource.

Several follow-up questions were asked on why the respondent did not contact a program or resource (Table 3.14). For women who experienced nonconsensual penetration,

among the reasons for not contacting an agency or resource (Figure 4), 56.3 percent of respondents reported they could handle it themselves, 100.0 percent reported the incident was not serious enough, 63.7 percent reported being embarrassed, ashamed, or that it would be too emotionally difficult, and 38.9 percent reported that they did not want to get the perpetrator in trouble (38.9%). After incidents involving sexual touching, 71.3 percent of women did not contact a program or resource because they could handle it themselves, 61.4 percent reported it was not serious enough, and 47.8 percent reported they did not want to get the perpetrator in trouble.

Figure 4. Reasons for Not Contacting a Program or Resource for Women Who Experienced Penetration by Physical Force or Inability to Consent or Stop What Was Happening

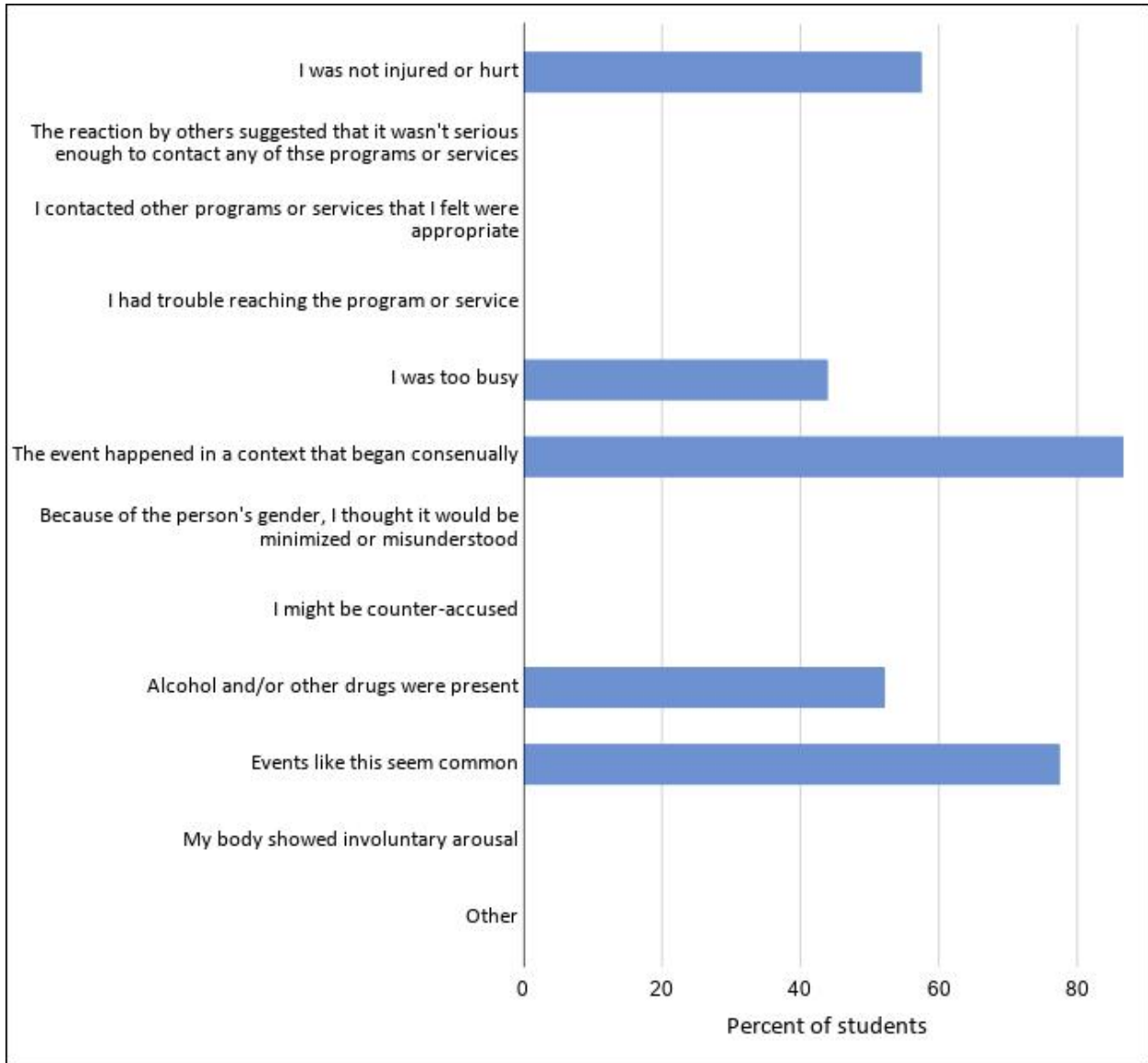


A common reason students gave for not contacting a program or resource was that the incident was “not serious enough.” This has also been true on other surveys that ask about sexual assault and misconduct, including the 2015 *Campus Climate Survey*. However, the meaning of this response is somewhat ambiguous. It may be that the student did not feel the incident was serious enough to be considered a violation of the school’s code of conduct. But it may also be a judgment that the perceived consequences of contacting a program are greater than the consequences of the incident itself. For example, many sexual assault victims do not

report incidents to law enforcement because they do not want to get the perpetrator in trouble or go through an investigation.

To examine this line of reasoning more carefully, students who reported that they did not contact a program or resource because the incident was “not serious enough” or for an “other reason” were asked if there were better descriptors of why they did not contact a resource or program (Figure 5, Table 3.14). Among the women who reported nonconsensual penetration and were asked this follow-up item, 57.3 percent reported they did not make contact because they were not injured or hurt, 86.4 percent reported the incident began consensually, 52.0 percent reported alcohol or drugs were involved, and 43.7 percent reported they were too busy.

Figure 5. Reasons for Not Contacting a Program or Resource When Initial Response Was “Not Serious Enough” or “Other” For Women Who Experienced Penetration by Physical Force or Inability to Consent or Stop What Was Happening



In comparison to contacting a program or service, it is much more common for victims of nonconsensual sexual contact to tell another person about the incident (Table 3.15). Among women who experienced nonconsensual penetration by physical force or inability to consent, 77.7 percent told at least one other person including a friend (71.3%) and a family member (24.7%). Among men who experienced penetration by physical force or inability to consent, 100.0 percent told at least one other person including a friend (100.0%).

3.4 Nonconsensual Sexual Contact by Coercion and Without Active, Ongoing Voluntary Agreement

This section summarizes the prevalence of nonconsensual sexual contact that was the result of coercion and that occurred without active, ongoing voluntary agreement at California Institute of Technology.

Coercion

For purposes of the survey, coercion was defined as:

... threatening serious non-physical harm or promising rewards such that you felt you must comply(.) Examples include:

- Threatening to give you bad grades or cause trouble for you at work
- Promising good grades or a promotion at work
- Threatening to share damaging information about you with your family, friends or authority figures
- Threatening to post damaging information about you online.

The questions that were used to measure these events are survey items G6 and G7.²⁰ If a respondent reported that the incident was part of a previously reported incident involving physical force or inability to consent, the event was not counted as coercion.

Overall, the rates for coercion were the lowest among the other forms of nonconsensual sexual contact. Because they are low, the data are combined across the two forms of sexual contact (penetration and sexual touching) (Table 4.1).

²⁰With the exception of the change in the introduction to this section of the survey (see discussion at the beginning of section 3.3), the questions and methods used to measure these incidents are the same as used in the 2015 AAU Survey.

Without Active, Ongoing Voluntary Agreement

A fourth form of nonconsensual sexual contact measured on the survey were incidents that occurred without active, ongoing voluntary agreement.²¹ These items were developed to capture school regulations that make it a violation if both partners in a sexual encounter do not explicitly consent. To develop the questions, the study team for the 2015 *Campus Climate Survey* reviewed policies on voluntary agreement from schools affiliated with AAU and the Consortium on Financing Higher Education. For the purposes of both surveys (2015 and 2019), these were defined as incidents that occur:

...without your active, ongoing voluntary agreement(.) Examples include someone:

- initiating sexual activity despite your refusal
- ignoring your cues to stop or slow down
- went ahead without checking in or while you were still deciding
- otherwise failed to obtain your consent.

The questions used to collect these data are survey items G8 and G9. If this type of incident occurred as part of a previously reported incident involving physical force, inability to consent, or coercion, the event was not counted in the prevalence rate.

The rates of penetration and sexual touching without active, ongoing voluntary agreement are much higher than for coercion (Table 4.1). Overall, 4.5 percent of students reported that incidents occurred without active, ongoing voluntary agreement since entering California Institute of Technology, with 2.1 percent indicating the incidents involved penetration and 3.5 percent indicating they involved sexual touching. Among undergraduates, 10.5 percent of women and 3.4 percent of men reported this type of victimization. There is a statistical difference between undergraduate women and men. Among graduate/professional students, 5.6 percent of women and 1.5 percent of men reported they experienced this type of victimization. There is a statistical difference between graduate/professional women and men. Among TGQN students, 14.3 percent reported they experienced this type of victimization. There is not a statistical difference between TGQN students and undergraduate women.

²¹In 2015 this tactic was referred to “absence of affirmative consent.” As noted below, the methods used to measure this tactic are the same for the 2015 and 2019 surveys.

Number of Times without Active, Ongoing Voluntary Agreement

Table 4.2 contains estimates for the number of times students were victimized without active, ongoing voluntary agreement. Many of the victims experienced this more than one time. Overall, 2.1 percent of students experienced penetration or sexual touching involving this tactic two or more times since entering the school. Among undergraduates, 5.2 percent of women were victimized two or more times since entering the school. Among graduate/professional students, the percent victimized two or more times was 3.2 percent among women.

Prevalence of Incidents without Active, Ongoing Voluntary Agreement, by Student Characteristics²²

The rates of nonconsensual sexual contact without active, ongoing voluntary agreement varied across students with different backgrounds (Table 4.3). Overall, heterosexual students had a victimization rate of 2.2 percent and non-heterosexual students (gay or lesbian, other or multiple categories) had a rate of 13.5 percent.²³ The difference between heterosexual and non-heterosexual students is statistically significant. Among Hispanic or Latino students, 6.7 percent reported experiencing penetration or sexual touching without voluntary agreement, compared to 4.3 percent of non-Hispanic or Latino students. This is not statistically different. With respect to race, the rates are 6.2 percent for White students, 2.5 percent for Asian students, and 5.8 percent for students in Other and Multi Race groups. Students who indicated they have a disability had a prevalence rate of 10.7 percent, while 2.7 percent of students without a disability reported being victimized. There is a statistical difference between these two groups of students.

The prevalence rates of victimization without voluntary agreement for these same characteristics for women are presented in Table 4.4 for the two types of behaviors (penetration, sexual touching). For all women, non-heterosexual students had a victimization rate of 8.3 percent.²⁴ Among Hispanic or Latino women, 8.1 percent reported experiencing penetration or sexual touching without voluntary agreement, compared to 8.3 percent of non-Hispanic or Latino women. With respect to race, the rates are 12.5 percent for White women,

²²Estimates for coercion by victim characteristics were not estimated because of the low prevalence of this type of nonconsensual sexual contact.

²³ The percentage for non-heterosexual students combines across categories that are listed in the table.

²⁴ Ibid.

4.7 percent for Asian women, and 9.0 percent for those in Other and Multi Race groups. Women who indicated they have a disability had a prevalence rate of 16.1 percent, while 5.1 percent of women without a disability reported being victimized.

3.5 Total Experience with Nonconsensual Sexual Contact

To assess the overall risk of nonconsensual sexual contact, prevalence rates were calculated that combine the two behaviors that constitute sexual contact (penetration and sexual touching) and the four tactics discussed above (physical force or threat of physical force; inability to consent or stop what was happening; coercion; and without active, ongoing voluntary agreement) in several different ways. These rates were calculated for the period since enrolling in school.

The first two sets of estimates include two of the four tactics (i.e., physical force and inability to consent or stop what was happening) for the two behaviors (i.e., penetration and sexual touching). The remaining estimates add in the other types of tactics discussed above.

Overall, 5.7 percent of students reported nonconsensual sexual contact (penetration or sexual touching) since enrolling in the school because of physical force or inability to consent or stop what was happening (Table 4.6). This estimate excludes attempted, but not completed, penetration. With attempts included, the estimate goes up slightly to 5.8 percent. When the other two tactics measured on the survey (i.e., coercion and without active, ongoing voluntary agreement) are included, 8.9 percent of students reported at least one incident occurring since enrolling at California Institute of Technology. These rates vary considerably by both gender and affiliation (Tables 4.7 and 4.8). Among undergraduates, 21.3 percent of women and 5.7 percent of men reported some type of nonconsensual sexual contact. There is a statistical difference between undergraduate women and men. Among graduate/professional students, 11.4 percent of women and 3.2 percent of men reported nonconsensual sexual contact. There is a statistical difference between graduate/professional women and men. Among TGQN students, 22.3 percent reported nonconsensual sexual contact. There is not a statistical difference between TGQN students and undergraduate women.

Most of the estimates discussed in prior sections were for the time period since entering California Institute of Technology. This mixes students who have been at the school for different periods of time. To standardize for the time period and get an overall picture of the risk for a student's entire time at the school on campus, estimates are provided for

undergraduate students in their fourth year or higher (Table 4.9). This provides the prevalence rate for the period while attending California Institute of Technology, which for many is a four-year period.²⁵ The rates of completed nonconsensual contact (penetration or sexual touching) by force or inability to consent are 20.0 percent for women and 6.3 percent for men.²⁶ When also including coercion and without active, ongoing voluntary agreement (and attempted penetration), the rates are 23.2 percent and 10.2 percent for women and men, respectively.

3.6 Frequency and Nature of Sexual Harassment, Intimate Partner Violence, and Stalking

The survey included measures of three other forms of misconduct: sexual harassment, stalking, and intimate partner violence (IPV). This section reviews the prevalence and characteristics associated with each of these types of behaviors.

Prevalence of Sexual Harassment

Harassment is defined as a series of behaviors that:

- interfered with the victim’s academic or professional performance,
- limited the victim’s ability to participate in an academic program, or
- created an intimidating, hostile, or offensive social, academic, or work environment.

This definition is consistent with the U.S. Equal Employment Opportunity Commission and the U.S. Department of Education’s definitions of “hostile environment.”²⁷

²⁵The exception is those that transferred to the college or university after their first year.

²⁶The TGQN group did not have adequate sample sizes to estimate a reliable rate.

²⁷For the EEOC definition, see http://www.eeoc.gov/laws/types/sexual_harassment.cfm. For the U.S. Department of Education definition, see http://www2.ed.gov/about/offices/list/ocr/docs/ocrshpam.html#_t1a.

The specific behaviors referenced on the survey were taken from several different scales measuring harassment. The respondent was asked if:

... a student, or someone employed by or otherwise associated with [University] did the following:

- made sexual remarks or told jokes or sexual stories that were insulting or offensive to you?
- made inappropriate or offensive comments about your or someone else's body, appearance, or sexual activities?
- said crude or gross sexual things to you or tried to get you to talk about sexual matters when you did not want to?
- used social or online media to send offensive sexual remarks, jokes, stories, pictures, or videos to you or about you that you did not want?
- continued to ask you to go out, get dinner, have drinks, or have sex even though you said "no?"

Respondents who answered "yes" to one or more of these items were then asked whether these behaviors led to any of the following consequences:

- Interfered with your academic or professional performance,
- Limited your ability to participate in an academic program, or
- Created an intimidating, hostile or offensive social, academic, or work environment.

This approach is different from the one taken in the 2015 *Campus Climate Survey*. In 2015, students were asked, in the same question, about harassing behaviors that had an impact on their academic or professional environment. As noted above, in 2019, students were first asked about experiencing harassing behavior. They were then asked a follow-up question that determined if the experience impacted their academic or professional environment. The change was made in 2019 based on evaluation of the 2015 data (Cantor, Townsend, & Sun, 2016).

Overall, 36.4 percent of students indicated that they had experienced at least one type of harassing behavior since entering school (Table 5.1). With respect to specific behaviors, 23.5 percent heard insulting or offensive sexual remarks or jokes; 28.0 percent heard inappropriate comments about their or someone else's body, appearance, or sexual activities;

12.0 percent heard sexual things or someone wanted them to talk about sexual matters when they didn't want to; 3.5 percent were subjected to offensive sexual remarks to or about them through social or on-line media; and 6.1 percent had someone continually ask them out or to have sex even after saying "no."

To be considered harassment, respondents must have experienced at least one of the aforementioned behaviors and reported that the behavior interfered with their academic or professional performance, limited their ability to participate in an academic program, or created an intimidating, hostile, or offensive environment. Among all students, 16.6 percent experienced harassment. Among women, 26.6 percent of undergraduates and 29.5 percent of graduate/professional students reported harassment; this difference is not statistically different. Among men, 11.3 percent of undergraduates and 8.4 percent of graduate/professional students reported harassment. This difference is not statistically different. Among TGQN students, 46.4 percent reported harassment. This estimate is not statistically different from the estimate for undergraduate women.

Perpetrators Engaging in Sexually Harassing Behavior

Students who reported any type of harassing behavior since the beginning of the Fall 2018 term were asked how the individual(s) that engaged in the behavior were associated with California Institute of Technology. The highest percentage of students reported 'Student' (87.8%) (Table 5.4). Among women, 3.8 percent of undergraduates said faculty or an instructor was the offender, while 23.4 percent of those in graduate/professional school reported this association. The estimates are statistically different.

Students were asked about their relationship to the perpetrator across all of their experiences with harassing behavior. Among all students who experienced harassing behavior, 39.5 percent said that the person was a friend, 38.2 percent said it was a classmate, 36.2 percent said it was someone they recognized (but not a friend), and 6.2 percent said it was someone they did not know or recognize. Among women, 5.6 percent of undergraduates reported the person was a teacher, advisor, boss, supervisor, or co-worker compared to 53.2 percent of graduate/professional students.²⁸ There is a statistical difference between

²⁸Respondents could select multiple offender types. The percentage in the report is based on number of respondents who selected at least one offender type (unduplicated counts of respondents). Therefore, the sum of percentages for the offender types in the table may differ from the percentage in the report.

these two groups. Among men, 45.0 percent of graduate/professional students said it was a teacher, advisor, boss, supervisor, or co-worker.

Intimate Partner Violence

Intimate partner violence (IPV) refers to non-sexual violence among intimate partners. The section of the survey used to measure IPV was administered to students who said they had been in a partnered relationship since entering California Institute of Technology. “Partnered relationship” was defined as including (survey item A13):

- marriage or civil union
- domestic partnership or cohabitation
- steady or serious relationship
- other ongoing relationship involving physical or sexual contact

The section of the survey on IPV (section F) included a series of items asking about different forms of non-sexual violence. To be classified as a victim, respondents had to say that a partner had done one of the following:

- controlled or tried to control you. Examples could be when someone:
 - kept you from going to classes or pursuing your educational goals
 - did not allow you to see or talk with friends or family
 - made decisions for you, such as where you go or what you wear or eat
 - threatened to “out” you to others
- threatened to physically harm you, someone you love, or him- or herself
- used any kind of physical force against you or otherwise physically hurt or injured you. Examples could be when someone:
 - bent your fingers or bit you
 - choked, slapped, punched, or kicked you
 - hit you with something other than a fist
 - attacked you with a weapon

Overall, 65.4 percent of students reported they had been in a partnered relationship since entering California Institute of Technology (Table A). Among those in a partnered relationship, 9.6 percent of students indicated that they had experienced at least one type of intimate partner violence (Table 5.5). With respect to specific behaviors, 6.1 percent had partners that exerted controlling behavior; 4.9 percent reported their partner threatened to physically harm them, someone they loved, or him/herself; and 2.3 percent reported their partner used physical force or otherwise physically hurt or injured them.

Among women, 10.5 percent of undergraduates and 12.0 percent of graduate/professional students reported experiencing at least one type of intimate partner violence. There is not a statistically significant difference between these groups. Among men, 9.8 percent of undergraduates and 8.2 percent of graduate/professional students reported this experience. There is not a statistically significant difference between these groups.

Stalking

Relative to the 2015 survey, the 2019 survey changed the definition and questions used to measure stalking. Since 2015, the criterion of “causing substantial emotional distress” (one factor that constitutes stalking) has been added to a number of stalking laws around the country and was added to the 2019 survey. This change also led to modifying the way the questions were asked.

Survey items on stalking were based on definitions and behaviors used in the National Intimate Partner and Sexual Violence Survey (Black et al., 2011), the National Crime Victimization Survey (Bureau of Justice Statistics, 2017), and the National Violence Against Women Survey (Tjaden & Thoennes, 1998). To be considered stalking, the behavior had to occur more than once and be committed by the same person or persons. In addition, these behaviors had to make the victim either afraid for their personal safety or cause substantial emotional distress.

To measure stalking behavior, respondents were first asked whether someone:

- made unwanted phone calls; sent emails, voice, text, or instant messages to you; or posted unwanted messages, pictures, or videos on social media to or about you or elsewhere online
- showed up somewhere uninvited or waited for you when you did not want that person to be there

- spied on, watched, or followed you in person, or monitored your activities or tracked your location using devices or software on your phone or computer.

Respondents who reported that one or more of these behaviors occurred were then asked if one person had done any of these things on more than one occasion. Those who said “yes” were then asked if these behaviors made them afraid for their personal safety or caused them substantial emotional distress.

Overall, 13.0 percent of students indicated that they had experienced at least one type of stalking behavior since enrolling in school (Table 5.9). With respect to specific behaviors, 5.8 percent were victims of unwanted phone calls, emails, or texts, or someone posted unwanted messages, pictures, or videos of them; 9.0 percent had someone show up uninvited or waited for them; 2.7 percent reported someone spied on them, watched or followed them, monitored their activities, or tracked them.

Among all students, 6.0 percent experienced at least one of these behaviors, someone committed them more than once, and the experiences made them afraid for their safety and/or caused substantial emotional distress. Among undergraduates, 12.0 percent of women and 4.7 percent of men reported this experience. There is a statistically significant difference between these groups. Among students in graduate/professional school, 10.7 percent of women and 1.8 percent of men reported this experience. There is a statistically significant difference between these groups. Among TGQN students, 9.8 percent reported this type of experience. There is not a statistically significant difference between undergraduate women and TGQN students.

Students who reported being stalked were asked how the individual(s) that engaged in the behavior were associated with California Institute of Technology. The most common association with the school for those engaging in this behavior was ‘Student.’ For example, among undergraduates, 88.3 percent and 81.7 percent were “Student” for women and men, respectively (Table 5.12). Among graduate/professional women, 18.0 percent reported a faculty member or instructor engaged in this behavior.

Students were asked what their relationship was to the perpetrator. Among undergraduate women, 28.4 percent said that the person was a friend, 33.0 percent said it was a classmate and 44.3 percent said it was someone they recognized (but not a friend). Among

graduate/professionals, 41.1 percent of women reported the person was a teacher, advisor, boss, supervisor, or co-worker.²⁹

Prevalence Rates by Student Characteristics for Sexual Harassment, IPV, and Stalking

The rates of sexually harassing behavior, IPV, and stalking vary by student characteristics (Table 5.13). For harassing behavior, heterosexual students had a prevalence rate of 31.6 percent and non-heterosexual students (gay or lesbian, other or multiple categories) a rate of 55.0 percent.³⁰ The difference between heterosexual students and non-heterosexual students is statistically different. Among Hispanic or Latino students, 37.7 percent reported experiencing harassing behavior, compared to 36.3 percent of non-Hispanic or Latino students. This difference is not statistically different. With respect to race, the rates are 41.5 percent for White students, 35.9 percent for Black students, 28.4 percent for Asian students, and 43.9 percent for those in Other and Multi Race groups. Students who indicated they have a disability had a prevalence rate of 53.2 percent, while 30.9 percent of students without a disability reported being victimized. There is a statistical difference between these two groups of students.

For intimate partner violence, heterosexual students had a victimization rate of 9.2 percent and non-heterosexual students a rate of 11.9 percent.³¹ The difference between heterosexual and non-heterosexual students is not statistically different. Among Hispanic or Latino students, 12.2 percent reported experiencing harassing behavior, compared to 9.4 percent of non-Hispanic or Latino students. This difference is not statistically different. With respect to race, the rates are 10.3 percent for White students, 8.5 percent for Asian students, and 10.9 percent for those in Other and Multi Race groups. Students who indicated they have a disability had a prevalence rate of 15.5 percent, while 6.7 percent of students without a disability reported being victimized. There is a statistical difference between these two groups of students.

²⁹Respondents could select multiple offender types. The percentage in the report is based on number of respondents who selected at least one offender type (unduplicated counts of respondents). Therefore, the sum of percentages for the offender types in the table may differ from the percentage in the report.

³⁰The percentage for non-heterosexual students combines across categories that are listed in the table.

³¹ibid.

For stalking, heterosexual students had a prevalence rate of 4.0 percent and non-heterosexual students a rate of 14.0 percent.³² The difference between heterosexual and non-heterosexual students is statistically different. Among Hispanic or Latino students, 9.5 percent reported experiencing harassing behavior, compared to 5.6 percent of non-Hispanic or Latino students. This difference is not statistically different. With respect to race, the rates are 7.3 percent for White students, 4.1 percent for Asian students, and 7.7 percent for those in Other and Multi Race groups. Students who indicated they have a disability had a prevalence rate of 14.4 percent, while 3.0 percent of students without a disability reported being victimized. There is a statistical difference between these two groups of students.

3.7 Changes since the 2015 AAU Survey

In 2015, California Institute of Technology participated in the first *Campus Climate Survey*. In this section, selected victimization and campus community measures from 2015 are compared to those in the 2019 survey. The measures compared in this section are among those for which the question wording did not change between 2015 and 2019. In each case, a statistical test was completed to assess whether the difference is statistically significant.³³ The sample sizes for most of these comparisons are large because they are based on all undergraduates or all graduate/professional students. This means that relatively small changes, which may not be substantively meaningful, will be significant. There are other possible differences between the two surveys. For example, there may be differences in the types of students that took the survey. In 2015, the response rate was 47.1 percent, whereas in 2019, it was 40.4 percent. The estimates incorporate the same non-response adjustment for each year, which should guard against differences due to non-response. But the larger the change in response rate between years, the greater the chance non-response may affect the comparisons.

Prevalence of Nonconsensual Sexual Contact

Table 7.1 shows the percentage of students who reported experiencing nonconsensual sexual contact for: 1) physical force or inability to consent, 2) coercion, and 3) without active,

³² Ibid.

³³The significance tests assume the two surveys are independent samples. The two surveys are spaced 4 years apart. Most, but not all, of the student population has turned over between surveys. For example, approximately 17.5 percent of the 2019 respondents first enrolled in 2014 or earlier. Theoretically these students were eligible to take the survey in both 2015 and 2019.

ongoing voluntary agreement. The measures described below are for experiences since the student was first enrolled in California Institute of Technology.

For undergraduate women, there is not a statistically significant change in the prevalence of nonconsensual sexual contact (penetration or sexual touching) by physical force or inability to consent since entering the school. In 2015, 12.7 percent reported this type of victimization, compared to 14.3 percent in 2019. For women who are graduate/professional students, there is not a statistically significant change. In 2015, 5.7 percent reported this type of victimization, compared to 7.8 percent in 2019.

For undergraduate men, there is not a statistically significant change in the prevalence of nonconsensual sexual contact (penetration or sexual touching) by physical force or inability to consent. In 2015, 5.4 percent reported this type of victimization, compared to 3.1 percent in 2019. For men who are graduate/professional students, there is not a statistically significant change. In 2015, 2.1 percent reported this type of victimization, compared to 2.2 percent in 2019.

For undergraduate women, there is not a statistically significant change in the prevalence of nonconsensual sexual contact by coercion or without active, ongoing voluntary agreement. In 2015, 13.2 percent reported this type of victimization, compared to 10.9 percent in 2019. For women who are graduate/professional students, there is not a statistically significant change. In 2015, 9.8 percent reported this type of victimization, compared to 5.6 percent in 2019. For students who identify as TGQN, there is not a statistically significant change in this rate. In 2015, 22.6 percent reported this type of victimization, compared to 14.3 percent in 2019.

For undergraduate men, there is not a statistically significant change in the prevalence of nonconsensual sexual contact by coercion or without active, ongoing voluntary agreement. In 2015, 3.0 percent reported this type of victimization, compared to 3.4 percent in 2019. For men who are graduate/professional students, there is not a statistically significant change. In 2015, 1.2 percent reported this type of victimization, compared to 1.5 percent in 2019.

Changes in Perceptions of Risk and Knowledge of Resources

Table 7.2 shows estimates of different perceptions of risk and knowledge of resources for the 2015 and 2019 surveys. In both surveys, students were asked, “How problematic is sexual

assault or (other)³⁴ sexual misconduct at [University]?” For undergraduate women, there is a statistically significant change in the percentage of students who reported it was very or extremely problematic. The rate went up between 2015 and 2019. In 2015, 2.8 percent had this perception compared to 9.5 percent in 2019. For graduate/professional women, there is a statistically significant change in this percentage. The rate went up between 2015 and 2019. In 2015, 5.0 percent reported this compared to 12.9 percent in 2019.

In both surveys, students were asked, “How knowledgeable are you about how sexual assault and (other)³⁵ sexual misconduct are defined at [University]?” For undergraduate women, there is a statistically significant change in the percentage of students who reported they were very or extremely knowledgeable. The rate went up between 2015 and 2019. In 2015, 26.8 percent reported this level of knowledge compared to 36.0 percent in 2019. For graduate/professional women, there is a statistically significant change in this percentage. The rate went up between 2015 and 2019. In 2015, 19.8 percent reported this compared to 28.8 percent in 2019.

In both surveys, students were asked, “How knowledgeable are you about where to get help at [University] if you or a friend experienced sexual assault or (other)³⁶ misconduct?” For undergraduate women, there is not a statistically significant change in the percentage of students who reported they were very or extremely knowledgeable about where to get help. In 2015, 53.2 percent reported this level of knowledge compared to 50.0 percent in 2019. For graduate/professional women, there is not a statistically significant change in this percentage. In 2015, 34.6 percent reported this level of knowledge compared to 41.1 percent in 2019.

In both surveys, students were asked, “How knowledgeable are you about where to make a report of sexual assault or (other)³⁷ sexual misconduct at [University]?” For undergraduate women, there is not a statistically significant change in the percentage of students who reported they were very or extremely knowledgeable. In 2015, 42.0 percent reported this level of knowledge compared to 40.9 percent in 2019. For graduate/professional women, there is a statistically significant change in the percentage who reported they were very or extremely

³⁴2015 wording did not include “other” in the question.

³⁵ibid.

³⁶ibid.

³⁷ibid.

knowledgeable. The rate went up between 2015 and 2019. In 2015, 28.7 percent reported this level of knowledge compared to 36.4 percent in 2019.

In both surveys, students were asked, “How knowledgeable are you about what happens when a student reports an incident of sexual assault or (other)³⁸ sexual misconduct at [University]?” For undergraduate women, there is not a statistically significant change in the percentage of students who reported they were very or extremely knowledgeable. In 2015, 21.3 percent reported this level of knowledge compared to 23.1 percent in 2019. For graduate/professional women, there is a statistically significant change in the percentage who reported they were very or extremely knowledgeable. The rate went up between 2015 and 2019. In 2015, 12.0 percent reported this level of knowledge compared to 20.9 percent in 2019.

³⁸ Ibid.

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³⁹The report was originally released in 2015 and was revised in 2017.

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Appendix 1. Instrument Development and Survey Instrument

A1.1 Survey Design Teams and Instrument Development

As mentioned in Section 2.1, the 2019 *Campus Climate Survey* is a revised version of the survey administered in 2015.¹ The process of refining the 2015 *Campus Climate Survey* for administration in 2019 was a collaboration between the Westat and AAU Survey Design Teams (SDT). The Westat team was co-chaired by Co-Principal Investigators, Dr. David Cantor, Senior Statistical Fellow at Westat and research professor at the Joint Program for Survey Methodology, University of Maryland, and Dr. Bonnie Fisher, Professor, School of Criminal Justice, University of Cincinnati. The AAU SDT was co-chaired by Dr. Christina Morell, Associate Provost for Institutional Assessment and Studies, University of Virginia, and Dr. Lily Svensen, Director, Office of Institutional Research, Yale University. They were joined by a multi-disciplinary group of college and university professors and administrators from participating IHEs with expertise in survey design and methodology and issues related to sexual assault and misconduct on campus. Members of the AAU SDT are presented in Table A1-1.

During meetings, AAU SDT members discussed at length conceptual and methodological issues underlying the measurement of sexual victimization and other misconduct, and campus community constructs. Team members began the refinement process by systematically reviewing 2015 survey content and associated data to identify items that could be added, removed, or improved. Participating schools were asked to comment on the 2015 survey. Survey revisions were prioritized based on factors such as alignment of items with relevant definitions (e.g., stalking, sexual harassment). The team carefully considered other factors or survey item elements, such as extensiveness of proposed changes (e.g., slight modifications to response categories), appropriateness of response option categories (e.g., ability of respondents to distinguish instructors from teaching assistants as perpetrators of sexual assault or other misconduct, as opposed to a combined category), and comprehensiveness of survey items and response options (e.g., expand list of options for perpetrator's association with the school). Team members made final decisions on all proposed changes, while continuing to be mindful of respondent burden (maintaining the time of survey completion to between 15 and

¹ For additional information on the 2015 *Campus Climate Survey*, including survey development processes, please see <https://www.aau.edu/sites/default/files/AAU-Files/Key-Issues/Campus-Safety/AAU-Campus-Climate-Survey-FINAL-10-20-17.pdf>.

20 minutes). Overall, the SDT retained the survey structure and many items that were developed for the 2015 *Campus Climate Survey*. See Appendix 2 for a comparison of 2015 and 2019 surveys.

Table A1-1. The AAU Survey Design Team

AAU Survey Design Team Members	
Kellie Brennan	The Ohio State University Compliance Director and Title IX/Clery Coordinator,
Brian Cook	Stanford University Director of Assessment and Program Evaluation
Robert Coulter	University of Pittsburgh Postdoctoral Scholar, University of Pittsburgh School of Medicine Department of Behavioral and Community Health Sciences—Graduate School of Public Health Center for LGBT Health Research—Graduate School of Public Health Division of Adolescent and Young Adult Medicine, Children’s Hospital of Pittsburgh of UPMC
Marne K. Einarson	Cornell University Assistant Director, Office Institutional Research and Planning
Karen Heimer	University of Iowa Professor, Department of Sociology
Marlena Holden	University of Wisconsin-Madison Interim Director, Marketing and Prevention Services
Nicole Merhill	Harvard University Title IX Officer
Christina Morell	University of Virginia Associate Provost, Institutional Assessment and Studies
Jagruti (Jag) Patel	Massachusetts Institute of Technology Senior Director, Special Projects
Audrey Pettifor	University of North Carolina-Chapel Hill Professor, Department of Epidemiology; Faculty Fellow, Carolina Population Center
Nora Cate Schaeffer	University of Wisconsin-Madison Sewell Bascom Professor of Sociology Faculty Director, University of Wisconsin Survey Center
Liam Schwartz	Harvard University Assistant Provost, Institutional Research
Lara Stemple	University of California-Los Angeles Assistant Dean, Graduate Studies and International Student Programs Director, Health and Human Rights Law Project
Lily Svensen	Yale University Director, Office of Institutional Research
Madelyn Wessel	Cornell University University Counsel and Secretary of the Corporation
Min Xie	University of Maryland-College Park Associate Professor, Department of Criminology and Criminal Justice, Director of Graduate Studies

The SDT met regularly (weekly or twice weekly) from June 2018 through October 2018 to discuss and make final decisions on survey content. Meetings lasted, on average, two hours. Some team members communicated outside of formal team meetings to provide technical

expertise on survey design, review survey drafts and provide feedback, and resolve issues raised during meetings. SDT members regularly consulted with experts on their campuses for particular issues, such as asking about gender, bystander behavior, and disability.

The SDT also sought feedback from the participating schools. It released the first draft of the survey to schools in August 2018. The SDT requested feedback on the second draft of the survey in October 2018. All comments the SDT received on drafts of the survey were reviewed and adjudicated by the team in preparation for survey finalization, which occurred in November 2018.

A1.2 Student Input

The team received feedback from students in three ways:

- First, Westat conducted 19 in-person cognitive interviews with students currently attending colleges or universities. Interviews were conducted at two different locations in Maryland.
- Second, students from several SDT members' schools conducted survey pretesting. Pretesting methods used varied by IHE, and included focus-group style discussions with student groups, and a self-administered web instrument with text-boxes for feedback on survey questions.
- Finally, the final web instrument was pretested with students at an IHE that did not participate in the survey. Students were asked to provide feedback on functionality and navigability of the web-based platform, as well as survey content.

The feedback from these activities included a wide range of comments on both the content and wording of the questions. For example, the cognitive interviews pointed to response categories that were unclear or misunderstood. The SDT modified these categories to clarify meaning, and to use language more familiar to the student population.

Another example comes from feedback from the students and student groups at design team IHEs, which helped the team to revise the methods for asking about respondent gender identity.

A1.3 Survey Content and Sources

Survey topics in the 2019 *Campus Climate Survey* cover domains outlined by AAU in response to requests of Presidents/Chancellors from member colleges and universities during

the development of the 2015 survey. These topics were split into several basic categories – 1) direct personal experience with sexual assault and other misconduct, 2) campus community, 3) school resources, and 4) student characteristics. This section describes the items. For additional information on processes for making decisions on operationalization of the constructs, please see the *2015 Report on the AAU Campus Climate Survey on Sexual Assault and Sexual Misconduct*.²

Personal Experience: Nonconsensual Sexual Contact

Students were asked about nonconsensual sexual contact that occurred as a result of four types of tactics: 1) physical force, 2) inability to consent or stop what was happening, 3) coercion, and 4) without active, ongoing voluntary agreement. Survey items were designed to: 1) estimate the prevalence and incidence of nonconsensual sexual contact experienced by students enrolled in IHEs (undergraduate, graduate/professional) on each participating campus, and 2) identify characteristics of these experiences (e.g., location, offender characteristics). The term “incidence” refers to the number of times a particular type of sexual assault or other misconduct occurred over a period of time. Among those that reported an incident of nonconsensual sexual contact, the students were asked about details for up to four incidents.

Sexual contact includes two behaviors—penetration and sexual touching. Penetration refers to sexual penetration of someone’s vagina or anus by a finger, penis, or object; and oral sex by a mouth or tongue on someone’s genitals. Sexual touching includes kissing; touching someone’s breast, chest, crotch, groin, or buttocks; or grabbing, groping, or rubbing against the other in a sexual way, even if the touching is over the other’s clothes.

Tactics Involving Physical Force and Inability to Consent or Stop What Was Happening

Five survey items were used to separate the different types of sexual contact for these two tactics. Physical force/attempted physical force includes someone being held down with the offender’s body weight, arms being pinned down, being hit or kicked, or the use or threat of use of a weapon against the victim. The inability to consent or stop what was happening refers

² <https://www.aau.edu/sites/default/files/AAU-Files/Key-Issues/Campus-Safety/AAU-Campus-Climate-Survey-FINAL-10-20-17.pdf>.

to the occurrence of an incident because the victim was passed out, asleep, or incapacitated due to drugs or alcohol.

These tactics were considered the most serious types of tactics and constitute the primary measures used on several other surveys (e.g., Krebs, Lindquist, Warner, Fisher, & Martin, 2009).³ As noted above, the questions distinguished between different combinations of these tactics and the two types of sexual contact, including the following:

- Nonconsensual completed penetration that occurred as a result of physical force or threats of physical force,
- Nonconsensual unsuccessful attempts at penetration (not completed), involving physical force or threats of force,
- Nonconsensual completed penetration that occurred as a result of the victim's inability to consent or stop what was happening,
- Nonconsensual completed sexual touching that occurred as a result of physical force,
- Nonconsensual completed sexual touching that occurred as a result of the victim's inability to consent or stop what was happening.

The type of behavior and tactic are included in the same question, based on an approach advocated by Krebs et al. (2009).⁴ The approach has been successfully used in prior research on sexual victimization among college students (e.g., Krebs et al., 2009).⁵ The survey included five questions to screen for nonconsensual or unwanted sexual contact. Each screen question provided definitions and examples of each sexual contact type and tactic.

Coercion and Without Active, Ongoing Voluntary Agreement

Coercion was intended to capture nonconsensual sexual contact involving threats of serious non-physical harm or promising rewards such that the student felt she or he must comply. This tactic was intended to capture behaviors that were violations of the student's personal or civil rights. It complemented the items asked in another section of the survey on

³ Krebs, C.P., Lindquist, C.H., Warner, T.D., Fisher, B.S., & Martin, S.L. (2009). College Women's Experiences with Physically Forced, Alcohol- or Other Drug-Enabled, and Drug-Facilitated Sexual Assault Before and Since Entering College. *Journal of American College Health*, 57(6), 639-647.

⁴ Ibid

⁵ Ibid

sexual harassment by focusing on nonconsensual sexual contact as opposed to verbal or other harassing behaviors.

Incidents that occur without the student's active, voluntary agreement is the fourth tactic on which students report in the survey. This tactic was included in the survey to estimate the prevalence and incidence of nonconsensual penetration and sexual touching among students at the participating IHEs, given that many college and university websites include a definition related to voluntary agreement (e.g., in the student code of conduct).

Collecting Details About the Incidents

The incidence (number of times) and prevalence of sexual assault and other misconduct were measured through the survey. The survey also included questions about when the incidents occurred: 1) since the student was enrolled at the IHE, and 2) during the current academic year (2018-2019).

To measure the timing and incidence of each type of nonconsensual sexual contact, students answered a series of follow-up questions on the number of incidents and the year in which an incident occurred. Affirmative responses to the initial screening items also followed with questions about the occurrence of a specific combination of behavior and tactic, beginning with the number of times each type of incident occurred. For each incident the respondent identified the year it occurred and whether the incident had already been reported in response to an earlier question. The latter question was used to obtain unduplicated counts of events in which the respondent reported more than one tactic. This structure allowed analysts to form prevalence and incidence rates for incidents that occurred since the student enrolled in the school, as well as for incidents that occurred during the current academic year.

After counting all incidents reported during the screening, more details were collected about each type of incident. The Detailed Incident Form (DIF) was administered up to four times for incidents that impacted or affected the respondent the most, relative to penetration or sexual touching involving 1) physical force or threats of physical force, 2) inability to consent or stop what was happening, 3) coercion, and 4) absence of active, voluntary agreement.

Students responded to a range of additional follow-up questions about an incident to understand the context of sexual assault. The content of the follow-up questions used in the DIF include: time of occurrence (school year; during an academic break or recess); location of incident (on or off campus, specific location); perpetrator characteristics (number of offenders,

gender of offender, type of nonconsensual or unwanted behavior and tactic, offender affiliation with school, relationship to victim); context prior to the incident (respondent's voluntary consumption of alcohol or drugs, respondent's use of alcohol or drugs without his or her knowledge or consent, offender's use of alcohol or drugs); disclosure to other persons; use of programs or resources; reasons for not using programs or resources; and outcomes (e.g., physical injuries, pregnancy, academic consequences, and psychosomatic symptoms).

Personal Experience: Sexual Harassment, Intimate Partner Violence, and Stalking

The measures of other misconduct collected were sexual harassment, intimate partner violence, and stalking.

To meet the legal definition of harassment there are two criteria. First, as per the U.S. Equal Employment Opportunity Commission (EEOC)⁶ and U.S. Department of Education,⁷ the behavior has to create a "hostile or offensive work or academic environment." The series of questions on sexual harassment include portions of Leskinen and Kortina's (2014)⁸ scale representing each of the major dimensions, with a few additional behaviors that are not covered by the scale. Questions on sexual harassment include the following behaviors:

- Made sexual remarks or told sexual jokes or sexual stories that were insulting or offensive to the victim;
- Made inappropriate or offensive comments about the victim or someone else's body, appearance, or sexual activities;
- Said crude or gross sexual things to the victim or tried to get the victim talk about sexual matters when she or he did not want to;
- Used social or on-line media to send offensive sexual remarks, jokes, stories, pictures, or videos to the victim or about the victim that she or he did not want; and
- Continued to ask the victim to go out, get dinner, have drinks, or have sex even though the victim said "no."

⁶ http://www.eeoc.gov/laws/types/sexual_harassment.cfm

⁷ http://www2.ed.gov/about/offices/list/ocr/docs/ocrshpam.html#_t1a

⁸ Leskinen, E.A., & Cortina, L.M. (2014) Dimensions of disrespect: Mapping and measuring gender harassment in organizations. *Psychology of Women Quarterly*, 38(1), 107-123.

A second question is how to use these items when operationalizing the EEOC concept of “hostile work environment.” According to legal definitions, to meet this standard, the behavior has to be either “frequent or severe.” Most prior studies do this by asking whether a behavior occurred a specific number of times (e.g., 2014 MIT Community Attitudes on Sexual Assault Survey).⁹ Other campus climate surveys do not measure frequency and it is not clear how one can determine the threshold for a “hostile work environment.”

For the AAU survey, respondents who reported that they had experienced one or more of the aforementioned sexually harassing behaviors were asked if the experience(s) interfered with their academic or professional performances; limited their ability to participate in an academic program; or created an intimidating, hostile, or offensive social, academic, or work environment. The experience of a sexually harassing behavior that affected the victim in at least one of these ways parallels EEOC’s definition regarding a “hostile environment,” and the U.S. Department of Education’s guidelines related to student protection from harassment.¹⁰

The question wording for intimate partner violence is a combination of the wording used in the University of New Hampshire 2012 survey, as cited in the White House Task Force report (White House Task Force to Protect Students From Sexual Assault, 2014),¹¹ and the National Intimate Partner and Sexual Violence Survey (NISVS) conducted by the Centers for Disease Control and Prevention (Black et al., 2011).¹² Only those individuals who were in a partnered relationship since enrolling at the school were prompted to respond to a series of questions about intimate partner violence. To make this determination, the team developed a definition of a partnered relationship to capture various forms of ongoing relationships involving physical or sexual contact in which college students are likely to engage, including steady or serious relationships and marriage, civil union, domestic partnerships, or cohabitations. This question was asked in the demographic section of the survey.

⁹ <https://chancellor.mit.edu/sites/default/files/pdf/MITCommunityAttitudesonSexualAssault-Survey.pdf>

¹⁰A federal law, *Title IX of the Education Amendments of 1972 (Title IX)*, prohibits discrimination on the basis of sex, including sexual harassment, in education programs and activities. All public and private education institutions that receive any federal funds *must* comply with *Title IX*. *Title IX* protects students from harassment connected to any of the academic, educational, extracurricular, athletic, and other programs or activities of schools, regardless of the location. *Title IX* protects students, both men and women, from sexual harassment by any school employee, another student, or a non-employee third party.

¹¹White House Task Force to Protect Students From Sexual Assault. (2014). *Not Alone: The First Report of the White House Task Force to Protect Students From Sexual Assault*. Retrieved from <https://www.notalone.gov/assets/report.pdf>

¹²Black, M.C., et al. (2011). *The National Intimate Partner and Sexual Violence Survey (NISVS): 2010 Summary Report*. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

Fear is the criterion that distinguishes sexual harassment from stalking (Catalano, 2012; Logan, 2010).¹³ ¹⁴ For the *Campus Climate Survey*, stalking was defined as repetitive behavior that caused fear or substantial emotional distress in a reasonable person. Three repeated pursuit behaviors associated with stalking are used in the survey, including:

- Made unwanted phone calls, sent emails, voice, text, or instant messages, or posted messages, pictures, or videos on social media, or elsewhere online;
- Showed up somewhere uninvited or waited for the victim when she or he did not want that person to be there; and
- Spied on, watched, or followed the victim in person, or monitored the victim's activities or tracked his/her location using devices or software on a phone or computer.

Within the past decade, the use of new technologies (e.g., smartphone), related to the third tactic listed above, has emerged as a tactic for stalking. For example, Black et al. (2011)¹⁵ found that this tactic was the third most frequently occurring stalking behavior in the NISVS (39% for women and 31% for men reported experiencing behavior related to this tactic). It was also the third most frequently occurring behavior stalking victims reported experiencing in the NCVS (34.4%; Catalano, 2012).¹⁶

The same or a very similar set of follow-up questions were asked for sexual harassment, intimate partner violence, and stalking. Respondents were asked questions about:

- Offender characteristics, including gender, number of offenders or if the same offender committed the behavior more than once, number of incidents, association with the school, and relationship to the victim;
- Disclosure of information about the incident and to whom; and
- Contact with campus-sponsored programs about the incident.

¹³Catalano, S. (2012). *Stalking victims in the United States—revised*. (NCJ 224527). Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics.

¹⁴Logan, T. (2010). *Research on partner stalking: Putting the pieces together*. Lexington, KY: University of Kentucky, Department of Behavioral Science & Center on Drug and Alcohol Research.

¹⁵Black, M.C., et al. (2011). *The National Intimate Partner and Sexual Violence Survey (NISVS): 2010 summary report*. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

¹⁶Catalano, S. (2012). *Stalking victims in the United States—revised*. (NCJ 224527). Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics.

Respondents who contacted a program about the incident identified the time period (e.g., Fall of 2017-Summer of 2018) of the most recent contact, while victims who did not contact any programs following the incident were asked to provide reasons for not contacting them.

Student Perceptions and Knowledge

Topics and questions on perceptions of the campus community were drawn from five existing surveys that measured this construct—the Rutgers Campus Climate Survey (McMahon, 2018),¹⁷ the MIT Community Attitudes on Sexual Assault Survey (Massachusetts Institute of Technology, 2014),¹⁸ the University of Oregon Sexual Violence and Institutional Behavior Campus Survey (Freyd, Rosenthal, & Smith, 2014),¹⁹ the White House Task Force report (White House Task Force to Protect Students From Sexual Assault, 2014),²⁰ and the Campus Sexual Assault Study (Krebs et al., 2017).²¹ Topics included campus community members' attitudes toward each other, the school's efforts to inform students about sexual assault and other misconduct, perception of community safety, knowledge and use of police and resources, perceptions of leadership, policies and reporting, prevention training, and bystander intervention. Survey items on perception of the campus community in relation to sexual assault and other misconduct include the following constructs:

- Perception regarding risk;
- Knowledge and perceptions about resources;
- Prevention trainings for students;
- Perceptions of responses by school officials to incident reporting;
- Bystander behavior; and

¹⁷McMahon, S. (2018). #iSPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

¹⁸Massachusetts Institute of Technology (2014). MIT Community Attitudes on Sexual Assault Survey. Retrieved from <https://web.mit.edu/surveys/casatips/sources.html>

¹⁹Freyd, J.J., Rosenthal, M., & Smith, C.P. (2014). The UO Sexual Violence and Institutional Behavior Campus Survey. Retrieved from <https://dynamic.uoregon.edu/jjf/campus/UO2014campussurveycontent.pdf>

²⁰White House Task Force to Protect Students From Sexual Assault. (2014). *Not Alone: The First Report of the White House Task Force to Protect Students From Sexual Assault*. Retrieved from <https://www.notalone.gov/assets/report.pdf>

²¹Krebs, C., Lindquist, C., Planty, M., Langton, L., Berzofsky, M.E., Asefnia, N. et al. (2017). Sensitivity of sexual victimization estimates to definitional and measurement decisions. *Journal of Interpersonal Violence*.

- Students' experiences within the campus community (e.g., connection to the campus community, ease of seeking advice from faculty or staff, concern about student well-being).

Two types of questions on risk perceptions were administered. One asked about the likelihood of being a victim of sexual assault or other misconduct in the future while enrolled in school. The second asked students how problematic they thought sexual assault and other misconduct were at the IHE.

Students were asked about their awareness of the services and resources the school offered to those who were affected by sexual assault and other misconduct. Additional questions gauge students' knowledge of the definition of sexual assault and other misconduct at the IHE; where to get help at the school if the student or a friend experienced sexual assault or other misconduct; where to make a report of sexual assault or other misconduct at the school; and what happens when a student reports an incident of sexual assault or other misconduct at the school.

All students were asked if they completed training modules or information sessions related to sexual assault or other misconduct as an incoming student or since arriving at the school, and the topics the modules/sessions covered.

Additionally, all students were asked their perceptions of how school officials would respond after reports of sexual assault or other misconduct. Specifically, students were asked to assess the likelihood of officials taking the report seriously and conducting a fair investigation.

The original questions used in the 2015 survey measuring bystander behaviors and interventions were adapted from Banyard et al.'s (2005, 2014)^{22 23} work and Rutgers' Campus Climate Survey (McMahon, 2018).²⁴ A working group of the SDT reviewed the items that were used in 2015. The items were adapted based on their experience with analysis of the 2015 survey and the use of bystander trainings on their campuses. The final set of questions was the

²²Banyard, V. L., Plante, E. G., & Moynihan, M. M. (2005). *Rape prevention through bystander education: Bringing a broader community perspective to sexual violence prevention*. U.S. Department of Justice.

²³Banyard, V. L., Moynihan, M. M., Cares, A. C., & Warner, R. (2014). How do we know if it works? Measuring outcomes in bystander-focused abuse prevention on campuses. *Psychology of Violence, 4*(1), 101.

²⁴McMahon, S. (2018). #ISPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

result of extensive discussions by the working group, the SDT, and consultation with those designing the training programs on campuses.

The questions ask respondents if they had ever experienced four specific situations since being a student at the IHE (e.g., witnessed a situation that the respondent believed could have led to a sexual assault). If they had experienced the situation, they were asked what specific action, if any, they took. Examples of possible actions taken include doing nothing because the student was not sure what to do, and seeking help from a friend.

School Resources

Students who were victims of behavior associated with sexual harassment, stalking, intimate partner violence, and/or nonconsensual or unwanted sexual contact and who contacted a school program about the incident were asked to respond to questions about their experiences with the programs. For each program contacted, respondents reported: 1) the degree to which the program was useful in helping them, and 2) whether they felt pressure to report or file a complaint.

Student Characteristics

Questions asking about the students' demographics are posed at the beginning of the survey. Background information collected included age, current student affiliation (undergraduate, graduate, professional), class or program year, race, Hispanic or Latino origin, resident status, gender identity, sexual orientation, relationship status, and identification as a student with a disability. Some of the information was used in the weighting procedure, such as age and class year in school. Other demographic information was used to assess incidence and prevalence of sexual assault and other misconduct among students in a particular school for a particular demographic group (e.g., affiliation, gender identity, sexual orientation). A question about involvement in partnered relationships (marriage or civil union, domestic partnership or cohabitation, steady or serious relationship, or other ongoing relationship involving physical or sexual contact) since enrolling at the school was used to identify relevant students for intimate partner violence estimates.

SDT members had multiple rounds of discussions about the wording of survey items related to sexual orientation and gender identity. They also solicited feedback from students to gain perspective on the most appropriate terms. Response options used in the survey take into consideration existing research on gender and sexual identity and suggestions from the SDT.

A1.4 The Instrument: The Campus Climate Survey on Sexual Assault and Misconduct

Survey Flow and Logic

The survey has a core set of 54 questions that are asked of every respondent. Additional questions are administered if respondents report being victimized. Respondents who reported experiencing behaviors associated sexual harassment, stalking, and intimate partner violence (sections D, E, and F, respectively) completed approximately 10 follow-up questions for each type of misconduct. These follow-up questions asked for information across all reported incidents for each form of victimization. For example, if someone was a victim of intimate partner violence by two different partners, the follow-up questions ask for information across both partners.

There is more complicated logic for the items covering incidents involving physical force and the inability to consent or stop what was happening (G1-G5), coercion (G6, G7), and those occurring without active, ongoing voluntary agreement (G8, G9). Across these items, there are two types of follow-up questions. First, there are follow-ups to each affirmative response to questions G1 – G9 (Attachment 1). The purpose of these follow-ups is to count and date each of the incidents that occurred. This is done by following each affirmative response to an individual screen item (G1 – G9) with questions that ask for the number of times (Attachment 1: G[X]a²⁵) and the school year in which the incident occurred (Attachment 1: G[X]b – G[X]c). To finalize the count, there are additional follow-up questions that ask if the incident is part of another incident that was already reported. If it had already been reported, the respondent is asked to indicate which other incident was involved (Attachment 1: G[X]d, G[X]e). Respondents that experienced four or more incidents that occurred during the current school year reported whether or not any of the other incidents also occurred since the beginning of the current school year (Attachment 1: G2f).

After G1 – G9 were completed, a second type of follow up was used to collect details on the victimization that was reported (DIF; Attachment 2). If a respondent responded affirmatively to at least one item in G1 – G9, a series of approximately 18 items were administered to collect the details (Attachment 2; Items GA). These follow-ups are administered separately for up to four incidents reported in items G1 – G9. Respondents completed the first DIF in reference to the incident that impacted or affected them the most,

²⁵“X” goes from 1 to 9. For example, G[1]a is the follow-up to question G1; G[2]a is the follow-up to question G2, etc.

followed by additional DIFs for up to three other incidents that also impacted or affected them. For example, if a respondent reports a penetration by force (G1) and sexual touching by force (G3), these items were administered twice, once for each type.

SECTION A - BACKGROUND

First, we'd like to ask you a few questions about your background.

A1. How old are you?

[DROP DOWN LIST]

Under 18

18-39, by single year

40+

[IF AGE =Under 18]

"We are sorry but the survey can only be completed by students who are at least 18 years old.

Thank you for your interest in our study. We appreciate your time."

[EXIT SURVEY]

A2. Which of the following best describes your current student affiliation with [University]?

Undergraduate [CONTINUE]

Graduate [GO TO A4]

Professional [GO TO A4]

[IF BLANK THEN GO TO A5]

A3. What is your class year in school? Answer on the basis of the number of credits you have earned.

1st year [GO TO A5]

2nd year [GO TO A5]

3rd year [GO TO A5]

4th year or higher [GO TO A5]

[IF BLANK THEN GO TO A5]

A4. What year are you in your program? Answer on the basis of the number of years enrolled in the graduate or professional academic program.

1st year

2nd year

3rd year

4th year

5th year

6th year or higher

A5. In which school at [University] are you enrolled? If you are enrolled in more than one choose the school that you consider your primary affiliation (e.g. most credits, college of main advisor).

Biology and Biological Engineering (BBE)
Chemistry and Chemical Engineering (CCE)
Engineering and Applied Science (EAS)
Geological and Planetary Sciences (GPS)
Humanities and Social Sciences (HSS)
Physics, Math and Astronomy (PMA)

A5a_CIT

[IF A5=EAS or A5=PMA]

What is your primary option?

[DISPLAY IF A5=EAS]

Aerospace (Ae)
Applied Physics (APh)
Material Science (MS)
Applied and Computational Mathematics (ACM)
Computer Science (CS)
Computing and Mathematical Science (CMS)
Information and Data Science (IDS)
Control and Dynamical Systems (CDS)
Electrical Engineering (EE)
Computation and Neural Systems (CNS)
Environment Science and Engineering (ESE)
Applied Mechanics (AM)
Civil Engineering (CE)
Mechanical Engineering (ME)
Engineering and Applied Science (EAS)

[DISPLAY IF A5=PMA]

Physics (Ph)
Mathematics (Ma)
Astronomy (Ay)

***All custom items are identified in orange and labeled XX_CIT**

A5b_CIT

[ALL RESPONDENTS]

Is your advisor a...

Woman

Man

Other gender identity

A6. In what year did you first enroll as a student at [University]?

[DROP DOWN LIST]

Prior to 2014

2014 – 2019 by single year

A6a. [IF A2 = Graduate OR Professional] Did you first enroll as an undergraduate student?

Yes [GO TO A6b]

No [SKIP TO A7]

A6b. What year did you enroll as a graduate or professional student?

[DROP DOWN LIST]

Prior to 2014

2014 – 2019 by single year

A7. Are you in a program in which you take all of your courses online?

Yes

No

A8. Are you Hispanic or Latino?

Yes

No

A9. Select one or more of the following races that best describes you: (Mark all that apply)

- American Indian or Alaska Native [GO TO A10]
 - Asian [GO TO A9A]
 - Black or African American [GO TO A10]
 - Native Hawaiian or Other Pacific Islander [GO TO A10]
 - White [GO TO A10]
 - Other [GO TO A10]
 - [IF BLANK GO TO A10]
-

A9a. Please select one or more of the following that best represents your background:

- Asian Indian
 - Chinese
 - Filipino
 - Japanese
 - Korean
 - Vietnamese
 - Other Asian
-

A10. Are you a US citizen or permanent resident?

- Yes
 - No
-

A11.²⁶ Which best describes your gender identity?

- Woman
 - Man
 - Trans woman (male-to-female)
 - Trans man (female-to-male)
 - Nonbinary or genderqueer
 - Questioning
 - Not listed. I describe myself as (specify)
 - Decline to state
-

²⁶Modified from Freyd, J.J., Rosenthal, M., & Smith, C.P. (2014). The UO Sexual Violence and Institutional Behavior Campus Survey. Retrieved from <https://dynamic.uoregon.edu/jjf/campus/UO2014campussurveycontent.pdf>

A12.²⁷ Do you consider yourself to be (Mark all that apply)

- Heterosexual or straight
 - Gay or lesbian
 - Bisexual
 - Asexual
 - Queer
 - Questioning
 - Not listed. I consider myself (specify)
 - Decline to state
-

A13. Since you have been a student at [University], have you been in any of these partnered relationships? (Mark all that apply):

- Marriage or civil union
 - Domestic partnership or cohabitation
 - Steady or serious relationship
 - Other ongoing relationship involving physical or sexual contact
 - None of the above
-

A14. Are you currently ...

- Never married
 - Not married but living with a partner
 - Married
 - Divorced or separated
 - Other
-

A15a. Do you identify as a student with any of the following? (Mark all that apply)

- Learning disability
 - ADHD
 - Autism Spectrum Disorder
 - Mobility-related disability (e.g., spinal cord injury, muscular dystrophy, etc.)
 - Sensory disability (e.g., hard of hearing, low vision, etc.)
 - Chronic mental health condition (e.g., depression, PTSD, anxiety disorder, etc.)
 - Chronic medical condition (e.g., cystic fibrosis, diabetes, chronic pain, etc.)
 - Other disability or chronic condition
 - None of the above **[SKIP TO A16]**
-

²⁷Williams Institute (2009). Best practices for asking questions about sexual orientation on surveys. Retrieved from <https://williamsinstitute.law.ucla.edu/wp-content/uploads/SMART-FINAL-Nov-2009.pdf>

A15. [IF A15a=ANY] Have you registered with [University]’s office of student accessibility and disability services?

Yes

No

A16. Since you have been a student at [University], have you been a member of or participated in any of the following? (Mark all that apply):

Intercollegiate athletics

Club sports

Intramural athletics

Music/theater group

Student publications

Governing bodies (e.g., ASCIT, IHC, GSC)

Political group

Religious or spiritual group

Cultural/ethnic organization

Academic clubs

Honor societies

Professional associations

Community-service organization (e.g., Caltech Y)

Recreational club or organization

Other student organizations or clubs

None of the above

A17. Which of the following best describes your living situation?

On-campus housing

Off-campus in Caltech-owned housing

Off-campus in Non-Caltech housing

A17a_CIT

[IF A17=Campus Housing and A2=Undergraduate]

In which house do you reside?

Avery House

Bechtel Residence

Blacker House

Dabney House

Fleming House

Lloyd House

Page House

Ricketts House

Ruddock House

SECTION BB – GENERAL PERCEPTIONS OF CAMPUS

This section was designed to help contextualize respondents' campus experience and allow for comparisons within and across participating institutions. They are based on the collective efficacy framework (Sampson, Raudenbush, & Earls, 1997)²⁸ by focusing on social cohesion and trust. The items were adapted from the Rutgers Campus Climate Survey (McMahon, 2018),²⁹ the We Speak: Attitudes on Sexual Misconduct at Princeton survey (Princeton University, 2017),³⁰ and the Campus Climate Validation Study (Krebs, et al., 2016).³¹

The next few questions are about how you experience the campus community at [University].

BB1. How connected do you feel to the campus community at [University] as a whole?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

BB2. How comfortable are you seeking advice from faculty or staff at [University], even about something personal?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

²⁸Modified from Sampson, R. J., Raudenbush, S. W., & Earls, F. (1997). Neighborhoods and violent crime: A multilevel study of collective efficacy. *Science*, 277, 918-924.

²⁹Modified from McMahon, S. (2018). #iSPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

³⁰Modified from Princeton University (2017). We Speak: Attitudes on Sexual Misconduct at Princeton. Retrieved from <https://sexualmisconduct.princeton.edu/sites/sexualmisconduct/files/wespeak2017.pdf>

³¹Modified from Krebs, C, Lindquist, C., Berzofsky, M., Shook-Sa, B., Peterson, K., Planty, M., Langton, L., & Stroop, J. (2016). *Campus climate survey validation study final technical report*. Bureau of Justice Statistics, US Department of Justice, R&DP-2015:04, NCJ 249545.

BB3. How concerned are students at [University] about each other's well-being?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

BB4. How concerned are faculty or staff at [University] about your well-being?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

BB5. How concerned are University Officials at [University] about your well-being?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

SECTION B – PERCEPTIONS OF RISK³²

“Sexual assault” and “sexual misconduct” refer to a range of behaviors that are nonconsensual or unwanted. These behaviors could include remarks about physical appearance or persistent sexual advances. They also could include threats of force to get someone to engage in sexual behavior such as nonconsensual or unwanted touching, sexual penetration, oral sex, anal sex or attempts to engage in these behaviors. These behaviors could be initiated by someone known or unknown including someone you are in or have been in a relationship with.

These next questions ask about your perceptions related to the risks of experiencing sexual assault or sexual misconduct.

B1. How problematic is sexual assault or other sexual misconduct at [University]?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

B2. How likely do you think it is that you will experience sexual assault or sexual misconduct in the future while enrolled at [University]?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

³²Modified from Fisher, B. S., & Sloan III, J. J. (2003). Unraveling the fear of victimization among college women: Is the “shadow of sexual assault hypothesis” supported? *Justice Quarterly*, 20(3), 633-659.

SECTION C – KNOWLEDGE OF RESOURCES

The next questions ask about the services and resources offered by the university for those affected by sexual assault and other sexual misconduct.

C1.³³ Are you aware of the services and resources provided by the following? (Mark all that apply)

- Title IX Coordinator and/or Deputies
 - Caltech Security
 - Caltech Center for Diversity
 - Student Counseling Services
 - Caltech Student Health Services
 - Caltech Student Advocate Program
 - Caltech Campus Hotline
 - Residential Life Coordinators (RLCs)
 - Office of the Undergraduate/Graduate Dean
 - Pasadena Police Department
 - Huntington Hospital
 - San Gabriel Valley Medical Center Sexual Assault Response Team
 - Rape Treatment Center at UCLA Medical Center, Santa Monica
 - Peace Over Violence
 - Planned Parenthood
 - None of the Above
-

C2a. How knowledgeable are you about how sexual assault and other sexual misconduct are defined at [University]?

- Not at all
 - A little
 - Somewhat
 - Very
 - Extremely
-

³³Modified from McMahon, S. (2018). #iSPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

C2b.³⁴ How knowledgeable are you about where to get help at [University] if you or a friend experienced sexual assault or other sexual misconduct?

Not at all

A little

Somewhat

Very

Extremely

C2c.³⁵ How knowledgeable are you about where to make a report of sexual assault or other sexual misconduct at [University]?

Not at all

A little

Somewhat

Very

Extremely

C2d. How knowledgeable are you about what happens when a student reports an incident of sexual assault or other sexual misconduct at [University]?

Not at all

A little

Somewhat

Very

Extremely

³⁴Modified from Rankin & Associates Consulting (2008). Carleton College Climate Assessment Project: Carleton final report.
Retrieved from: https://apps.carleton.edu/governance/diversity/assets/Carleton_Final_Report_Narrative.pdf

³⁵ibid

SECTION D - SEXUAL HARASSMENT^{36 37}

These next questions ask about behaviors you may have experienced while a student at [University].

D1. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] made sexual remarks or told sexual jokes or sexual stories that were insulting or offensive to you?

Yes
No

D2. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] made inappropriate or offensive comments about your or someone else's body, appearance or sexual activities?

Yes
No

D3. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] said crude or gross sexual things to you or tried to get you to talk about sexual matters when you didn't want to?

Yes
No

D4. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] used social or on-line media to do any of the following that you didn't want:

- send offensive sexual remarks, jokes, stories, pictures or videos to you
- communicate offensive sexual remarks, jokes, stories, pictures or videos about you

Yes
No

³⁶Modified from Leskinen, E.A., & Cortina, L.M. (2014) Dimensions of disrespect: Mapping and measuring gender harassment in organizations. *Psychology of Women Quarterly*, 38(1), 107-123.

³⁷Modified from Freyd, J.J., Rosenthal, M., & Smith, C.P. (2014). The UO Sexual Violence and Institutional Behavior Campus Survey. Retrieved from <https://dynamic.uoregon.edu/jjf/campus/UO2014campussurveycontent.pdf>

D5. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] continued to ask you to go out, get dinner, have drinks or have sex even though you said, “No”?

Yes

No

BOX D1

IF YES TO ANY QUESTION D1 – D5, CONTINUE

ELSE GO TO E1

You said that the following happened to you since you’ve been a student at [University]:

- **[IF D1 = YES]** Someone made sexual remarks or told sexual jokes or stories that were insulting or offensive
- **[IF D2 = YES]** Someone made inappropriate offensive comments about your or someone else’s body, appearance or sexual activities
- **[IF D3 = YES]** Someone said crude or gross sexual things to you or made unwelcomed attempts to get you to talk about sexual matters
- **[IF D4 = YES]** Someone used social or any other form of on-line media to communicate offensive sexual remarks, jokes, stories, pictures or videos to you or about you
- **[IF D5 = YES]** Someone continued to ask you to go out, get dinner, have drinks or have sex even though you said, “No”

D5a. Did (this/any of these) experience(s) affect you in any of the following ways? (Mark all that apply)

Interfered with your academic or professional performance

Limited your ability to participate in an academic program

Created an intimidating, hostile or offensive social, academic or work environment

None of the above

D6. How many different people behaved this way?

1 person **[GO TO D6a]**

2 persons **[SKIP TO D6b]**

3 or more persons **[SKIP TO D6b]**

[IF BLANK SKIP TO D6b]

D6a. [IF 1 PERSON] Was the person that did this to you...

Man

Woman

Other gender identity

Don’t Know

[FOR ANY RESPONSE OR IF BLANK SKIP TO D7]

D6b. [IF >1 PERSON] Were any of the people that did this to you...

Man	Yes	No
Woman	Yes	No
Other gender identity	Yes	No
Don't Know	Yes	No

D7. How (was the person/were the persons) who behaved (this way/these ways) associated with [University]? (Mark all that apply)

- Student
 - Student teaching assistant
 - Faculty or instructor
 - Research staff
 - Other staff or administrator
 - Coach or trainer
 - Alumni
 - Other person associated with [University] (e.g., internship, study abroad)
 - The person was not associated with [University]
 - Unsure about association with [University]
-

D8. At the time of (this event/these events), what (was the person's/ were these persons') relationship to you? (Mark all that apply)

- Someone I was involved or intimate with at the time
 - Someone I previously had been involved or intimate with
 - Teacher
 - Advisor
 - Someone I was teaching or advising
 - Live-in residential staff
 - Coach or trainer
 - Boss or supervisor
 - Co-worker
 - Friend
 - Classmate
 - Someone I know or recognize, but was not a friend
 - Did not know or recognize this person
-

D9. Since the beginning of the Fall 2018 term, how many times has someone behaved this way?

[DROP DOWN LIST]

- 0-19
- 20+

D10. Since you have been a student at [University], have you contacted any of the following about this experience? (Mark all that apply)

Title IX Coordinator and/or Deputies

Caltech Center for Diversity

Caltech Student Health Services

Student Counseling Services

Caltech Student Advocate Program

Residential Life Coordinators (RLCs)

Office of the Undergraduate/Graduate Dean

Non-Caltech Medical Facility (e.g., San Gabriel Valley Medical Center, Huntington Hospital)

Caltech Security

Pasadena Police Department

None of the above **[GO TO D13]**

[IF NO PROGRAM MARKED GO TO D13]

BOX D2

IF D10= NONE OF THE ABOVE OR NO PROGRAM MARKED THEN GO TO D13

ELSE ADMINISTER ITEMS D11 FOR EACH PROGRAM MARKED IN D10 (UP TO 10)

D11 [A-J]. When did you most recently contact [Program] about (this experience/these experiences)?

Fall of 2018 – present

Fall of 2017 – Summer of 2018

Fall of 2016 – Summer of 2017

Prior to Fall of 2016

BOX D3

IF MORE PROGRAMS MARKED IN D11 THEN RETURN TO BOX D2

ELSE SKIP TO D14

D13. [IF NO PROGRAMS CONTACTED] Why did you decide not to contact any of these programs or resources? (Mark all that apply)

- I did not know where to go or who to tell
- I felt embarrassed, ashamed or that it would be too emotionally difficult
- I did not think anyone would believe me
- I did not think it was serious enough to contact any of these programs or resources
- I did not want the person to get into trouble
- I feared negative academic, social or professional consequences
- I feared it would not be kept confidential
- I could handle it myself
- I feared retaliation
- I didn't think these resources would give me the help I needed
- Incident occurred while school was not in session
- Other

BOX D4

IF D13= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE
ELSE SKIP TO D14

D13a. You said you did not contact any of these programs or resources (because it was not serious enough/for an 'other' reason/because it was not serious enough and for an 'other' reason). Please review the list below and mark any of the reasons that may better describe why you didn't contact any of these programs or resources (Mark all that apply).

- I was not injured or hurt
 - The reaction by others suggested that it wasn't serious enough to contact any of these programs or services
 - I contacted other programs or services that I felt were appropriate
 - I had trouble reaching the program or service
 - I was too busy
 - The event happened in a context that began consensually
 - Because of the person's gender, I thought it would be minimized or misunderstood
 - I might be counter-accused
 - Alcohol and/or other drugs were present
 - Events like this seem common
 - My body showed involuntary arousal
 - Other: [Text Box]
-

D14. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn't tell anyone (else)

The next questions ask about instances where someone behaved in a way that made you afraid for your personal safety or caused you substantial emotional distress.

E1. Since you have been a student at [University], has someone made unwanted phone calls, sent emails, voice, text or instant messages to you, or posted unwanted messages, pictures or videos on social media to or about you or elsewhere online?

Yes

No [GO TO E2]

[IF BLANK GO TO E2]

E1a. Did the same person do this to you more than once since you have been a student at [University]?

Yes

No

Don't know

E2. Since you have been a student at [University], has someone showed up somewhere uninvited or waited for you when you did not want that person to be there?

Yes

No [GO TO E3]

[IF BLANK THEN GO TO E3]

E2a. Did the same person do this to you more than once since you have been a student at [University]?

Yes

No

Don't Know

³⁸Modified from Black, M.C., Basile, K.C., Breiding, M.J., Smith, S.G., Walters, M.L., Merrick, M.T. et al. (2011). The National Intimate Partner and Sexual Violence Survey (NISVS): 2010 Summary Report. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

³⁹Modified from Catalano, S. (2012). Stalking victims in the United States--revised. (NCJ 224527). Washington, D.C.: U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Statistics.

⁴⁰Modified from Tjaden, P., & Thoennes, N. (1998). Stalking in America: Findings from the National Violence Against Women Survey. (NCJ 172837). Washington, D.C.: U.S. Department of Justice, National Institute of Justice and U.S. Department of Health and Human Services, Centers for Disease Control and Prevention.

E3. Since you have been a student at [University], has someone spied on, watched or followed you in person, or monitored your activities or tracked your location using devices or software on your phone or computer?

Yes

No **[GO TO BOX E1]**

[IF BLANK THEN GO TO BOX E1]

E3a. Did the same person do this to you more than once since you have been a student at [University]?

Yes

No

Don't know

BOX E1

IF REPORTED "SAME PERSON DID THIS MORE THAN ONCE" TO ANY OF THE THREE TACTICS (E1a=yes or E2a=yes or E3a=yes), THEN GO TO E4a

IF YES TO TWO OR MORE ITEMS E1-E3, AND NO TO ALL ITEMS E1a & E2a & E3a, THEN GO TO E4

IF 'NO' TO ALL ITEMS E1-E3, OR

IF 'YES' TO EXACTLY 1 ITEM E1-E3 AND 'NO' OR BLANK TO ALL ITEMS E1a & E2a & E3a THEN GO TO BOX F0

You said that the following happened to you since you've been a student at [University]:

- **[IF E1 = YES]** Someone made unwanted phone calls, sent emails, voice, text or instant messages to you, or posted unwanted messages, pictures or videos on social media to or about you or elsewhere online
- **[IF E2 = YES]** Someone showed up somewhere uninvited or waited for you when you did not want that person to be there
- **[IF E3 = YES]** Someone spied on, watched or followed you either in person, or monitored your activities or tracked your location using devices or software on your phone or computer

E4. Did the same person do more than one of these to you since you have been a student at [University]?

Yes **[GO TO E4a]**

No **[GO TO BOX F0]**

Don't Know **[GO TO BOX F0]**

You said that the following happened to you since you've been a student at [University]:

- **[IF E1 = YES]** Someone made unwanted phone calls, sent emails, voice, text or instant messages, or posted messages, pictures or videos on social networking sites
- **[IF E2 = YES]** Someone showed up somewhere uninvited or waited for you when you did not want that person to be there
- **[IF E3 = YES]** Someone spied on, watched or followed you either in person or using devices or software

E4a. Did any of these unwanted contacts or behaviors make you fear for your safety or the safety of someone close to you?

Yes

No

E4b. Did any of these unwanted contacts or behaviors cause you substantial emotional distress?

Yes

No

E4d. Were any of the people that did this to you...

Man	Yes	No
Woman	Yes	No
Other gender identity	Yes	No
Don't Know	Yes	No

E5. How (is the person/are the persons) who did these things to you associated with [University]? (Mark all that apply)

Student

Student teaching assistant

Faculty or instructor

Research staff

Other staff or administrator

Coach or trainer

Alumni

Other person associated with [University] (e.g., internship, study abroad)

The person was not associated with [University]

Unsure about association with [University]

E6. At the time of these events, what (was the person's/were the persons') relationship to you? (Mark all that apply)

- Someone I was involved or intimate with at the time
 - Someone I previously had been involved or intimate with
 - Teacher
 - Advisor
 - Someone I was teaching or advising
 - Live-in residential staff
 - Coach or trainer
 - Boss or supervisor
 - Co-worker
 - Friend
 - Classmate
 - Someone I know or recognize, but was not a friend
 - Did not know or recognize this person
-

E7. Since the beginning of the Fall 2018 term, how many times have you had any of these experiences?

[DROP DOWN LIST]

- 0-19
 - 20+
-

E8. Since you have been a student at [UNIVERSITY], have you contacted any of the following about any of these experiences? (Mark all that apply)

- Title IX Coordinator and/or Deputies
 - Caltech Center for Diversity
 - Caltech Student Health Services
 - Student Counseling Services
 - Caltech Student Advocate Program
 - Residential Life Coordinators (RLCs)
 - Office of the Undergraduate/Graduate Dean
 - Non-Caltech Medical Facility (e.g., San Gabriel Valley Medical Center, Huntington Hospital)
 - Caltech Security
 - Pasadena Police Department
 - None of the above [GO TO E11]
 - [IF NO PROGRAM MARKED GO TO E11]
-

BOX E2

IF E8= NONE OF THE ABOVE OR NO PROGRAM MARKED THEN GO TO E11
ELSE ADMINISTER E9 FOR EACH PROGRAM MARKED IN E8 (UP TO 10)

E9[A-J]. When did you most recently contact [Program] about these experiences?

- Fall of 2018 – present
- Fall of 2017 – Summer of 2018
- Fall of 2016 – Summer of 2017
- Prior to Fall of 2016

BOX E3

IF MORE PROGRAMS MARKED THEN RETURN TO BOX E2
ELSE SKIP TO E12

E11. Why did you decide not to contact any of these programs or resources? (Mark all that apply)

- I did not know where to go or who to tell
- I felt embarrassed, ashamed or that it would be too emotionally difficult
- I did not think anyone would believe me
- I did not think it was serious enough to contact any of these programs or resources
- I did not want the person to get into trouble
- I feared negative academic, social or professional consequences
- I feared it would not be kept confidential
- I could handle it myself
- I feared retaliation
- I didn't think these resources would give me the help I needed
- Incident occurred while school was not in session
- Other

BOX E4

IF E11= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE
ELSE SKIP TO E12

E11a. You said you did not contact any of these programs or resources (because it was not serious enough/for an ‘other’ reason/because it was not serious enough and for an ‘other’ reason). Please review the list below and mark any of the reasons that may better describe why you didn’t contact any of these programs or resources (Mark all that apply).

I was not injured or hurt

The reaction by others suggested that it wasn’t serious enough to contact any of these programs or services

I contacted other programs or services that I felt were appropriate

I had trouble reaching the program or service

I was too busy

The event happened in a context that began consensually

Because of the person’s gender, I thought it would be minimized or misunderstood

I might be counter-accused

Alcohol and/or other drugs were present

Events like this seem common

My body showed involuntary arousal

Other: [Text Box]

E12. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn’t tell anyone (else)

SECTION F – INTIMATE PARTNER VIOLENCE (IPV)⁴¹

BOX F0

IF A13 = YES (PRIOR RELATIONSHIP) GO TO F1

ELSE SKIP TO G1

Earlier in the survey, you indicated that you have been in a partnered relationship at least part of the time since you have been a student at [University]. Recall that a partnered relationship can be any of the following:

- Marriage or civil union
- Domestic partnership or cohabitation
- Steady or serious relationship
- Other ongoing relationship involving physical or sexual contact

People treat their partners in many different ways. The next section asks you questions about your relationship(s) with your partner(s).

F1. Since you have been a student at [University], has a partner controlled or tried to control you? Examples could be when someone:

- kept you from going to classes or pursuing your educational goals
- did not allow you to see or talk with friends or family
- made decisions for you such as, where you go or what you wear or eat
- threatened to “out” you to others

Yes

No

F2. Since you have been a student at [University], has a partner threatened to physically harm you, someone you love, or him/herself?

Yes

No

⁴¹Modified from Black, M.C., Basile, K.C., Breiding, M.J., Smith, S.G., Walters, M.L., Merrick, M.T. et al. (2011). The National Intimate Partner and Sexual Violence Survey (NISVS): 2010 Summary Report. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

F3. Since you have been a student at [University], has a partner used any kind of physical force against you or otherwise physically hurt or injured you? Examples could be when someone:

- bent your fingers or bit you
- choked, slapped, punched or kicked you
- hit you with something other than a fist
- attacked you with a weapon

Yes

No

BOX F1

IF F1=YES OR F2=YES OR F3=YES, THEN GO TO F4
ELSE SKIP TO G1

You said that the following happened to you since you've been a student at [University]:

- [IF F1 = YES] A partner controlled or tried to control you
 - [IF F2 = YES] A partner threatened to physically harm you or someone you love
 - [IF F3 = YES] A partner used physical force against you
-

F4. How many different partners treated you this way?

1 partner [GO TO F4a]

2 partners [SKIP TO F4b]

3 or more partners [SKIP TO F4b]

[IF BLANK SKIP TO F4b]

F4a. [IF 1 PERSON] Was the person that did this to you...

Man

Woman

Other gender identity

Don't Know

[FOR ANY RESPONSE OR IF BLANK SKIP TO F5]

F4b. [IF >1 PERSON] Were any of the people that did this to you...

Man

Yes

No

Woman

Yes

No

Other gender identity

Yes

No

Don't Know

Yes

No

F5. Were you physically injured as a result of (this incident/any of these incidents)?

Yes

No [GO TO F7]

[IF BLANK THEN GO TO F7]

F7. Since the beginning of the Fall 2018 term, how many times have you (had this experience/had any of these experiences)?

[DROP DOWN LIST]

0-19

20+

F8. Since you have been a student at [University], have you contacted any of the following about (this experience/any of these experiences)? (Mark all that apply)

Title IX Coordinator and/or Deputies

Caltech Center for Diversity

Caltech Student Health Services

Student Counseling Services

Caltech Student Advocate Program

Residential Life Coordinators (RLCs)

Office of the Undergraduate/Graduate Dean

Non-Caltech Medical Facility (e.g., San Gabriel Valley Medical Center, Huntington Hospital)

Caltech Security

Pasadena Police Department

None of the above [GO TO F11]

[IF NO PROGRAM MARKED GO TO F11]

BOX F2

IF F8= NONE OF THE ABOVE OR NO PROGRAM MARKED THEN GO TO F11

ELSE ADMINISTER F9 FOR EACH PROGRAM MARKED IN F8 (UP TO 10)

F9[A-J]. When did you most recently contact [Program] about (this experience/these experiences)?

Fall of 2018 – present

Fall of 2017 – Summer of 2018

Fall of 2016 – Summer of 2017

Prior to Fall of 2016

BOX F3

IF MORE PROGRAMS MARKED IN F8 THEN RETURN TO BOX F2
ELSE SKIP TO F12

F11. Why did you decide not to contact any of these programs or resources? (Mark all that apply)

- I did not know where to go or who to tell
- I felt embarrassed, ashamed or that it would be too emotionally difficult
- I did not think anyone would believe me
- I did not think it was serious enough to contact any of these programs or resources
- I did not want the person to get into trouble
- I feared negative academic, social or professional consequences
- I feared it would not be kept confidential
- I could handle it myself
- I feared retaliation
- I didn't think these resources would give me the help I needed
- Incident occurred while school was not in session
- Other

BOX F4

IF F10= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE
ELSE SKIP TO F12

F11a. You said you did not contact any of these programs or resources (because it was not serious enough/for an 'other' reason/because it was not serious enough and for an 'other' reason). Please review the list below and mark any of the reasons that may better describe why you didn't contact any of these programs or resources (Mark all that apply).

- I was not injured or hurt
- The reaction by others suggested that it wasn't serious enough to contact any of these programs or services
- I contacted other programs or services that I felt were appropriate
- I had trouble reaching the program or service
- I was too busy
- The event happened in a context that began consensually
- Because of the person's gender, I thought it would be minimized or misunderstood
- I might be counter-accused
- Alcohol and/or other drugs were present
- Events like this seem common
- My body showed involuntary arousal
- Other: [Text Box]

F12. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn't tell anyone (else)

This next section asks about nonconsensual or unwanted sexual contact you may have experienced while attending [University].

The sexual behavior may have been performed on you or you may have been made to perform the sexual behaviors on another person. The person with whom you had the nonconsensual or unwanted contact could have been someone you know, such as someone you are currently or were in a relationship with, a co-worker, a professor, or a family member. Or it could be someone you do not know.

Please consider anyone who did this, whether or not the person was associated with (University).

The following questions separately ask about contact that occurred because of physical force, incapacitation due to alcohol and/or drugs, and other types of pressure.

The first few questions ask about incidents that involved force or threats of force against you. Force could include someone using their body weight to hold you down, pinning your arms, hitting or kicking you, or using or threatening to use a weapon against you.

G1. Since you have been attending [University], has someone used physical force or threats of physical force to do the following with you:

- **Sexual penetration.** When one person puts a penis, fingers, or object inside someone else's vagina or anus, or
- **Oral sex.** When someone's mouth or tongue makes contact with someone else's genitals

Yes [GO TO Attachment 1]

No

⁴²Modified from Krebs, C.P., Lindquist, C.H., Warner, T.D., Fisher, B.S., & Martin, S.L. (2007). The Campus Sexual Assault (CSA) Study Final Report. Retrieved from <https://www.ncjrs.gov/pdffiles1/nij/grants/221153.pdf>.

⁴³Modified from Koss, M.P., Abbey, A., Campbell, R., Cook, S., Norris, J., Testa, M., Ullman, S., West, C. & White, J. (2007). Revising the SES: A collaborative process to improve assessment of sexual aggression and victimization. *Psychology of Women Quarterly*, 31(4), 357-370.

G2. Since you have been attending [University], has someone used physical force or threats of physical force in an unsuccessful attempt to do any of the following with you:

- **Sexual penetration. When one person puts a penis, finger, or object inside someone else's vagina or anus**
- **Oral sex. When someone's mouth or tongue makes contact with someone else's genitals**

Yes [\[GO TO Attachment 1\]](#)

No

G3. Since you have been attending [University], has someone used physical force or threats of physical force to do any of the following with you:

- **kissing**
- **touching someone's breast, chest, crotch, groin or buttocks**
- **grabbing, groping or rubbing against the other in a sexual way, even if the touching is over the other's clothes**

Yes [\[GO TO Attachment 1\]](#)

No

The next questions ask about incidents when you were unable to consent or stop what was happening because you were passed out, asleep, or incapacitated due to drugs or alcohol. Please include incidents even if you are not sure what happened.

G4. Since you have been attending [University], has any of the following happened to you while you were unable to consent or stop what was happening because you were passed out, asleep or incapacitated due to drugs or alcohol:

- **Sexual penetration. When one person puts a penis, finger, or object inside someone else's vagina or anus**
- **Oral sex. When someone's mouth or tongue makes contact with someone else's genitals**

Yes [\[GO TO Attachment 1\]](#)

No

G5. Since you have been attending [University], has any of the following happened to you while you were unable to consent or stop what was happening because you were passed out, asleep or incapacitated due to drugs or alcohol:

- kissing
- touching someone's breast, chest, crotch, groin, or buttocks
- grabbing, groping or rubbing against the other in a sexual way, even if the touching is over the other's clothes

Yes [\[GO TO Attachment 1\]](#)

No

The next questions ask about incidents when someone coerced you by threatening serious non-physical harm or promising rewards.

G6. Since you have been a student at [University], has someone had contact with you involving penetration or oral sex by threatening serious non-physical harm or promising rewards such that you felt you must comply? Examples include:

- Threatening to give you bad grades or cause trouble for you at work
- Promising good grades or a promotion at work
- Threatening to share damaging information about you with your family, friends or authority figures
- Threatening to post damaging information about you online

Yes [\[GO TO Attachment 1\]](#)

No

G7. Since you have been a student at [University], has someone had contact with you involving kissing or other sexual touching by threatening serious non-physical harm or promising rewards such that you felt you must comply? Examples include:

- Threatening to give you bad grades or cause trouble for you at work
- Promise good grades or a promotion at work
- Threatening to share damaging information about you with your family, friends or authority figures
- Threatening to post damaging information about you online

Yes [\[GO TO Attachment 1\]](#)

No

The next questions ask about incidents that occurred without your active, ongoing voluntary agreement.

G8.⁴⁴ Since you have been a student at [University], has someone had contact with you involving penetration or oral sex without your active, ongoing voluntary agreement?

Examples include someone:

- initiating sexual activity despite your refusal
- ignoring your cues to stop or slow down
- went ahead without checking in or while you were still deciding
- otherwise failed to obtain your consent

Yes [\[GO TO Attachment 1\]](#)

No

G9.⁴⁵ Since you have been a student at [University], has someone kissed or sexually touched you without your active, ongoing voluntary agreement? Examples include:

- initiating sexual activity despite your refusal
- ignoring your cues to stop or slow down
- went ahead without checking in or while you were still deciding
- otherwise failed to obtain your consent

Yes [\[GO TO Attachment 1\]](#)

No

BOX G1

ONCE THE ENTIRE G SECTION (G1-G9) HAS BEEN ANSWERED THEN DO

IF ANY OF G1-G9 = YES THEN GO TO ATTACHMENT 2

ELSE GO TO BOX HH0

⁴⁴Incorporate active, ongoing voluntary agreement as a tactic from the AAU and COFHE schools voluntary agreement policies.

⁴⁵bid

SECTION HH – OPINIONS OF PROGRAM SERVICES

BOX HH0

IF RESPONDENT MARKED ANY PROGRAM IN ITEMS (D10, E8, F8, or GA16) THEN CONTINUE
ELSE SKIP TO BOX H0

ADMINISTER QUESTIONS HH1& HH2 FOR EACH PROGRAM A-J MARKED IN (D10, E8, F8, GA16), UP TO 10 TIMES

QUESTIONS ARE ASKED FOR EACH PROGRAM MARKED, REGARDLESS OF INCIDENT TYPE OR NUMBER OF CONTACTS. FOR EXAMPLE:

--- If someone marks 'Program A' in D11 and 'Program A' in GA16, they will receive questions HH1& HH2 only once (for 'Program A')

--- If someone marks 'Program A' and 'Program C' in D10, and 'Program C' in F8, then they will receive questions HH1& HH2 twice: once for 'Program A' and once for 'Program C'.

Earlier you said that you have contacted the following as a result of an incident:

[LIST programs contacted]

The following ask you about your experience with (this/each of these) program(s)

You said that you contacted [PROGRAM] ...

HH1. How useful was [Program] in helping you?

- Not at all
- A little
- Somewhat
- Very
- Extremely

HH2. At any time did you feel pressure from [PROGRAM] on whether or not to report or file a complaint?

- No, I did not feel pressure to proceed with reporting or filing a complaint
- Yes, I felt pressure to proceed with reporting or filing a complaint
- Yes, I felt pressure NOT to report or file a complaint

BOX HH1

IF MORE PROGRAMS SELECTED IN (D10, E8, F8, or GA16) THEN RETURN TO BOX HH0
ELSE CONTINUE TO BOX H1

SECTION H – SEXUAL MISCONDUCT PREVENTION TRAINING⁴⁶

BOX H0

IF A6=2018 or 2019 THEN GO TO H1
IF A6 < 2018 THEN GO TO H2

H1. As an incoming student at [University], did you complete any training modules or information sessions about sexual assault or other sexual misconduct?

Yes [GO TO H1a]

No [GO TO I1]

[IF BLANK THEN SKIP TO I1]

H1a. [IF H1 = YES] What topics did these training modules or information sessions include? (Mark all that apply)

How sexual assault or other sexual misconduct is defined on campus

How to prevent sexual assault or other sexual misconduct

Additional training programs on how to prevent sexual assault or other sexual misconduct

Where to seek help should you or someone else experience sexual assault or other sexual misconduct

[IF ANY RESPONSE OR IF BLANK THEN SKIP TO I1]

H2. Since arriving at [University], have you completed any training modules or information sessions about sexual assault or other sexual misconduct?

Yes [GO TO H2a]

No [GO TO I1]

[IF BLANK THEN CONTINUE TO I1]

H2a. [IF H2 = YES] What topics did these training modules or information sessions include? (Mark all that apply)

How sexual assault or other sexual misconduct is defined on campus

How to prevent sexual assault or other sexual misconduct

Additional training programs on how to prevent sexual assault or other sexual misconduct

Where to seek help should you or someone else experience sexual assault or other sexual misconduct

[IF ANY RESPONSE OR IF BLANK THEN SKIP TO I1]

⁴⁶Modified from White House Task Force to Protect Students From Sexual Assault. (2014). *Not Alone: The First Report of the White House Task Force to Protect Students From Sexual Assault*. Retrieved from <https://www.justice.gov/archives/ovw/page/file/905942/download>

H3_CIT [ALL RESPONDENTS] Have you received or participated in any Title IX training, education, or activities outside of orientation?

Yes

No

SECTION I – PERCEPTIONS OF RESPONSES TO REPORTING^{47 48}

The following are statements about what might happen if someone were to report a sexual assault or other sexual misconduct to an official at [University]. Please use the scale provided to indicate how likely you think each scenario is.

- 11. If someone were to report a sexual assault or other sexual misconduct to an official at [University], how likely is it that campus officials would take the report seriously?**

Not at all
A little
Somewhat
Very
Extremely

- 12. If someone were to report a sexual assault or other sexual misconduct to an official at [University], how likely is it that campus officials would conduct a fair investigation?**

Not at all
A little
Somewhat
Very
Extremely

⁴⁷Modified from White House Task Force to Protect Students From Sexual Assault (2014). *Not Alone: The First Report of the White House Task Force to Protect Students From Sexual Assault*. Retrieved from <https://www.justice.gov/archives/ovw/page/file/905942/download>

⁴⁸Modified from McMahon, S. (2018). #iSPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

SECTION J – BYSTANDER BEHAVIOR^{49 50}

The next questions are about situations you may have seen since you have been a student at [University].

J1. Since you have been a student at [University], have you noticed someone at [University] making inappropriate sexual comments about someone else's appearance, sharing unwanted sexual images, or otherwise acting in a sexual way that you believed was making others feel uncomfortable or offended?

Yes [CONTINUE]

No [GO TO J2]

[IF BLANK THEN GO TO J2]

J1a. Thinking about the last time this happened, what did you do? (Mark all that apply)

Directly intervened or interrupted the situation in the moment

Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person engaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to school administrators or another person in a position of authority

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

Did nothing for another reason

Other: [Text Box]

J2. Since you have been a student at [University], have you witnessed a pattern of ongoing sexual comments or behaviors that made you concerned that a fellow student at [University] was experiencing sexual harassment?

Yes [CONTINUE]

No [GO TO J3]

[IF BLANK THEN GO TO J3]

⁴⁹Modified from Banyard, V. L., Moynihan, M. M., Cares, A. C., & Warner, R. (2014). How do we know if it works? Measuring outcomes in bystander-focused abuse prevention on campuses. *Psychology of Violence, 4*(1), 101-115.

⁵⁰Modified from McMahon, S. (2018). #iSPEAK: Rutgers Campus Climate Survey. Retrieved from <https://socialwork.rutgers.edu/file/4402/download>

J2a. Thinking about the last time this happened, what did you do? (Mark all that apply)

- Directly intervened or interrupted the situation in the moment
 - Checked in with the person who seemed impacted by the behavior
 - Confronted or expressed concern to the person engaging in the behavior
 - Sought help from either person's friends
 - Sought help from someone else
 - Expressed concern to school administrators or another person in a position of authority
 - Did nothing because the person impacted appeared to be handling the situation
 - Did nothing because I wasn't sure what to do
 - Did nothing for another reason
 - Other: [Text Box]
-

J3. Since you have been a student at [University], have you witnessed someone at [University] behaving in a controlling or abusive way towards a dating or sexual partner?

- Yes [CONTINUE]
 - No [GO TO J4]
 - [IF BLANK GO TO J4]
-

J3a. Thinking about the last time this happened, what did you do? (Mark all that apply)

- Directly intervened or interrupted the situation in the moment
 - Checked in with the person who seemed impacted by the behavior
 - Confronted or expressed concern to the person engaging in the behavior
 - Sought help from either person's friends
 - Sought help from someone else
 - Expressed concern to school administrators or another person in a position of authority
 - Did nothing because the person impacted appeared to be handling the situation
 - Did nothing because I wasn't sure what to do
 - Did nothing for another reason
 - Other: [Text Box]
-

J4. Since you have been a student at [University], have you witnessed a situation that you believed could have led to a sexual assault?

- Yes [CONTINUE]
 - No
-

J4a. Thinking about the last time this happened, what did you do? (Mark all that apply)

Directly intervened or interrupted the situation in the moment

Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person enagaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to school administrators or another person in a position of authority.

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

Did nothing for another reason

Other: [Text Box]

SURVEY COMPLETION SCREEN

You have completed the survey, but your data have not yet been submitted. We greatly appreciate your willingness to share your personal experiences and opinions about some very private and sensitive issues. Thank you.

If you or someone you know needs support services related to an experience of sexual assault or other sexual misconduct, click on the “Support Resources” link at the top and bottom of this page for information on how to access support services.

Please click on the “Submit” button to submit your completed survey now.

[SUBMIT BUTTON]

[PREVIOUS PAGE BUTTON]

ATTACHMENT 1 – SECTION G1: IMMEDIATE FOLLOWUPS

BOX G1_1

IF G[X]=Yes THEN CONTINUE TO G[X]a

ELSE SKIP TO NEXT ITEM IN SECTION G

G[X]a. Since you have been a student at [University], how many times has this happened?

1. 1 time
 2. 2 times
 3. 3 times
 4. 4 or more times
-

BOX G1_2

ADMINISTER G1B AND G1C FOR EACH INCIDENT REPORTED IN G1A, UP TO 4 TIMES
IF G1A IS BLANK THEN ADMINISTER G1B AND G1C ONCE

You said that the following occurred (1/2/3/4 or more) time(s):

- [INCIDENT SUMMARY]

G[X]b. When did (this/the (second/third/fourth) most recent) incident (of this type) occur?

1. Since the beginning of the Fall 2018 term [GO TO NEXT BOX]
 2. Prior to the Fall 2018 term [GO TO G1c]
[IF BLANK GO TO BOX G1_2]
-

G[X]c. [IF G1b = 2] In what school year did it occur?

1. Fall 2017 to Summer 2018
 2. Fall 2016 to Summer 2017
 3. Fall 2015 to Summer 2016
 4. Prior to Fall of 2015
 5. It occurred before I was a student at [University][GO TO BOX G1_2]
[IF BLANK GO TO BOX G1_2]
-

BOX G1_3

IF TIME PERIOD REPORTED IN G[X]B AND G[X]C IS THE SAME AS TIME PERIOD
REPORTED IN PREVIOUS G ITEM FOLLOW-UP, THEN GO TO G[X]D
ELSE RETURN TO G[X]B FOR NEXT INCIDENT REPORTED IN G[X]A

IF NO MORE INCIDENTS THEN GO TO NEXT G ITEM

G[X]d. Was this part of (the other incident/any of the other incidents) you reported as occurring (during the) (time period) (school year)?

1. Yes [GO TO G2e]
 2. No [GO TO BOX G1_2]
[IF BLANK THEN GO TO BOX G1_2]
-

G[X]e. [IF G[X]d = Yes] Was it part of any of the following incidents you reported earlier?

[LIST PRIOR ANSWERS THAT OCCURRED DURING SAME TIME PERIOD]

1. [IF G[X] TIME PERIOD = G1 TIME PERIOD] Penetration or oral sex involving physical force or threats of physical force
 2. [IF G[X] TIME PERIOD = G2 TIME PERIOD] Attempted but not successful penetration or oral sex involving physical force or threats of physical force
 3. [IF G[X] TIME PERIOD = G3 TIME PERIOD] Sexual touching involving physical force or threats of physical force
 4. [IF G[X] TIME PERIOD = G4 TIME PERIOD] Penetration or oral sex when you were unable to consent or unable to stop what was happening
 5. [IF G[X] TIME PERIOD = G5 TIME PERIOD] Sexual touching when you were unable to consent or unable to stop what was happening
 6. [IF G[X] TIME PERIOD = G6 TIME PERIOD] Penetration or oral sex when you were coerced by threats of serious non-physical harm or promised rewards
 7. [IF G[X] TIME PERIOD = G7 TIME PERIOD] Sexual touching when you were coerced by threats of serious non-physical harm or promised rewards
 8. [IF G[X] TIME PERIOD = G8 TIME PERIOD] Penetration or oral sex without your active ongoing consent
 9. None of the above
-

BOX G1_4

IF G[X]A = '4 or more times' AND ALL G[X]B='since Fall 2018' THEN CONTINUE TO G[X]F

ELSE RETURN TO G[X]B FOR NEXT INCIDENT REPORTED IN G[X]A

IF NO MORE INCIDENTS THEN GO TO NEXT G ITEM

G2f. You said that this happened other times as well. Did any of these other incidents also occur since the beginning for the Fall 2018 term?

- Yes
No

**ATTACHMENT 2 – SECTION GA: SUMMARY DETAILED INCIDENT
FORM^{51 52}**

BOX GA0

IF ALL ITEMS G1 – G9 = 'NO' OR BLANK THEN SKIP TO BOX H0
ELSE CONTINUE TO BOX GA1

BOX GA1

Section GA is administered up to 4 TIMES based on incidents reported in items G1 – G9
Respondents who reported at least 1 incident in G1 – G9 will be asked to complete 1 DIF.
Respondents who reported more than 1 incident will be given the option to complete up to
4 DIFs (see the end of section GA for this request).

A DIF will be in reference to 1 single incident

The incident referenced by a DIF will be selected by the respondent, based on how much
the experience impacted or affected the respondent.

- The FIRST DIF will reference the incident which IMPACTED OR AFFECTED
the respondent THE MOST
- The SECOND DIF will reference the incident which IMPACTED OR AFFECTED
the respondent THE SECOND MOST
- ...up to 4 incidents

BOX GA1.5

Count number of eligible incidents for each item in section G:

DO FOR X = 1 – 9 AND Y = 1 – 4

if G[X]=YES then do

G[X]count = G[X] a

if G[X]a=BLANK then G[X]count=1

if G[X]c_[Y] = 5 OR G[X]e_[Y] = (1 to 8) then G[X]count - 1

Dynamic text

if sum (G1count-G9count) =1 then:

“...what happened during the incident you reported...”

if sum (G1count-G9count) >1 AND first incident then:

“...what happened during one of the incidents you reported...”

if sum if sum (G1count-G9count) >1 AND 2nd-4th incident then:

“...what happened during another one of the incidents you reported...”

⁵¹Modified from Black, M.C., Basile, K.C., Breiding, M.J., Smith, S.G., Walters, M.L., Merrick, M.T. et al. (2011). The National Intimate Partner and Sexual Violence Survey (NISVS): 2010 Summary Report. Atlanta, GA: National Center for Injury Prevention and Control, Centers for Disease Control and Prevention.

⁵²Modified from Bureau of Justice Statistics (2017). National Crime Victimization Survey, 2016: Technical documentation. Retrieved from <https://www.bjs.gov/content/pub/pdf/ncvstd16.pdf>

The following questions ask about what happened during (the/(another) one of the) incident(s) you reported earlier. Sometimes it is difficult to report on these details, but the information you provide will help us understand the context and consequences of the incident.

Please remember that you can skip any question if you do not want to answer.

[IF FIRST INCIDENT]: You said that the following happened to you since you have been a student at [University]:

- [IF G1count > 0] Penetration or oral sex involving physical force or threats of physical force ([G1count] incidents)
- [IF G2count > 0] Attempted but not successful penetration or oral sex involving physical force or threats of physical force ([G2count] incidents)
- [IF G3count > 0] Sexual touching involving physical force or threats of physical force ([G3count] incidents)
- [IF G4count > 0] Penetration or oral sex when you were unable to consent or unable to stop what was happening ([G4count] incidents)
- [IF G5count > 0] Sexual touching when you were unable to consent or unable to stop what was happening ([G5count] incidents)
- [IF G6count > 0] Penetration or oral sex when you were coerced by threats of serious non-physical harm or promised rewards ([G6count] incidents)
- [IF G7count > 0] Sexual touching when you were coerced by threats of serious non-physical harm or promised rewards ([G7count] incidents)
- [IF G8count > 0] Penetration or oral sex without your active ongoing consent ([G8count] incidents)
- [IF G9count > 0] Sexual touching without your active ongoing consent ([G9count] incidents)

[IF ONE INCIDENT]: Please answer the following questions about what happened during this experience and how it impacted or affected you.

[IF FIRST INCIDENT OF 2 OR MORE]: The following questions ask you about what happened during one of these experiences. While all such experiences are of great concern, please answer the following questions about the experience that has *impacted or affected you the most*.

[IF SECOND, THIRD OR FOURTH INCIDENT] You reported that [XX] other incidents involving sexual contact occurred. The following questions ask you about what happened during the incident that had the NEXT greatest impact on you. Please remember that you can skip any question if you do not want to answer.

GA1. How many people did this to you (during this incident)?

- 1 person [GO TO GA2a]
 - 2 persons [SKIP TO GA2b]
 - 3 or more persons [SKIP TO GA2b]
 - [IF BLANK SKIP TO GA2b]
-

GA2a. [IF 1 PERSON] Was the person that did this to you ...

- Man
 - Woman
 - Other gender identity
 - Don't know
 - [FOR ANY RESPONSE OR IF BLANK SKIP TO GA2c]
-

GA2b. [IF >1 PERSON] Were any of the people that did this to you...

Man	Yes	No
Woman	Yes	No
Other gender identity	Yes	No
Don't Know	Yes	No

**GA2c. What type of nonconsensual or unwanted behavior occurred during this incident?
(Mark all that apply)**

- Penis, finger(s) or object(s) was inside someone's vagina or anus
 - Mouth or tongue made contact with another's genitals
 - Kissed
 - Touched breast, chest, crotch, groin or buttocks
 - Grabbed, groped or rubbed in a sexual way
 - Other
-

GA2d. How did the person do this? (Mark all that apply)

- The person(s) used physical force or threats physical of force
 - The person(s) did this when I was unable to consent or stop what was happening because I was passed out, asleep, or incapacitated due to drugs or alcohol
 - The person(s) threatened serious non-physical harm or promised rewards
 - The person(s) did this without my active, ongoing, voluntary agreement
-

GA3. How (is the person/ are the persons) who did this to you associated with [University]? (Mark all that apply)

- Student
 - Student teaching assistant
 - Faculty or instructor
 - Research staff
 - Other staff or administrator
 - Coach or trainer
 - Alumni
 - Other person associated with [University](e.g., internship, study abroad)
 - The person was not associated with [University]
 - Unsure about association with [University]
-

GA4. At the time of this event, what (was the person's /were these persons') relationship to you? (Mark all that apply)

- Someone I was involved or intimate with at the time
 - Someone I previously had been involved or intimate with
 - Teacher
 - Advisor
 - Someone I was teaching or advising
 - Live-in residential staff
 - Coach or trainer
 - Boss or supervisor
 - Co-worker
 - Friend
 - Classmate
 - Someone I know or recognize, but was not a friend
 - Did not know or recognize this person
-

GA5. Before the incident, (was/were) (the person/any of the persons) who did this to you drinking alcohol?

- Yes
 - No
 - Don't know
-

GA6. Before the incident, (was/were) (the person/any of the persons) who did this to you using drugs?

- Yes
- No
- Don't Know

GA7. Before the incident were you drinking alcohol? Keep in mind that your use of alcohol in no way absolves a person who acted against your will.

Yes

No

GA8. Before the incident did you voluntarily take any drugs? Keep in mind your use of drugs in no way absolves a person who acted against your will.

Yes

No

GA9. Before the incident, had you been given alcohol or another drug without your knowledge or consent?

Yes, I am certain

I suspect, but I am not certain

No

Don't know

BOX GA2

IF GA7='YES' or GA8='YES' or GA9 = 'YES' or 'I SUSPECT', THEN CONTINUE TO GA10.
OTHERWISE SKIP TO GA11a

GA10. Were you passed out or asleep for all or parts of this incident?

Yes

No

Not sure

GA11a. Did this incident occur during an academic break or recess?

Yes

No

GA12a. Where did this incident occur?

- University residence hall/dorm
 - Fraternity house
 - Sorority house
 - Other space used by a single-sex student social organization
 - Other residential housing
 - Classroom, lab or fieldwork setting
 - Faculty or staff office
 - Restaurant, bar or club
 - Other non-residential building
 - Outdoor or recreational space
 - Some other place
-

GA12b. Did this incident occur:

- On a (University) campus location
 - On a (University) affiliated off-campus location
 - Some other place
-

GA13a. Did you experience any of the following as a result of the incident? (Mark all that apply)

- Avoided or tried to avoid the person(s)
 - Fearfulness or being concerned about safety
 - Feelings of helplessness or hopelessness
 - Loss of interest in daily activities
 - Withdrawal from interactions with friends
 - Stopped participating in extracurricular activities
 - Nightmares or trouble sleeping
 - Feeling numb or detached
 - Headaches or stomach aches
 - Eating problems or disorders
 - Increased drug or alcohol use
 - None of the above
-

GA13b. Did you experience any of the following on your academic or professional life? (Mark all that apply)

- Decreased class attendance
 - Difficulty concentrating on course projects, assignments, or exams
 - Difficulty concentrating on thesis/dissertation research or lab/clinical duties
 - Difficulty going to work
 - Withdrew from some or all classes
 - Changed my residence or housing situation
 - Changed my career plan
 - Considered dropping out of school
 - Changed major or college
 - None of the above
-

GA14. Did any of the following happen to you from this experience? (Mark all that apply)

- Physically injured **[CONTINUE TO GA15]**
 - Contracted a sexually transmitted disease or infection **[SKIP TO GA15]**
 - Became pregnant **[SKIP TO GA15]**
 - None of the above **[SKIP TO GA15]**
 - [IF BLANK THEN SKIP TO GA15]**
-

GA15. [IF A15a = ANY] You said that you have:

- **(List of conditions marked in A15a)**

Did this incident have any of the following effects on you? (Mark all that apply):

- It led to my developing (at least one of these/this) condition(s)
 - It exacerbated or made worse (at least one of these/this) condition
 - It had no effect (on any of these/on this) condition(s)
-

GA16. Have you ever contacted any of the following about this experience? (Mark all that apply)

Title IX Coordinator and/or Deputies

Caltech Center for Diversity

Caltech Student Health Services

Student Counseling Services

Caltech Student Advocate Program

Residential Life Coordinators (RLCs)

Office of the Undergraduate/Graduate Dean

Non-Caltech Medical Facility (e.g., San Gabriel Valley Medical Center, Huntington Hospital)

Caltech Security

Pasadena Police Department

None of the above **[GO TO GA17]**

[IF NO PROGRAMS MARKED GO TO GA17]

BOX GA4

IF NO PROGRAM MARKED, SKIP TO GA17

ELSE ASK GA16a FOR THE FIRST 4 PROGRAMS SELECTED IN GA16

GA16a. When did you most recently contact [Program] about this experience?

Fall of 2018 – present

Fall of 2017 – Summer of 2018

Fall of 2016 – Summer of 2017

Prior to Fall 2016

BOX GA5

IF MORE PROGRAMS MARKED THEN RETURN TO BOX GA4

ELSE SKIP TO GA18

GA17. Why did you decide not to contact any of these programs or resources? (Mark all that apply)

I did not know where to go or who to tell

I felt embarrassed, ashamed or that it would be too emotionally difficult

I did not think anyone would believe me

I did not think it was serious enough to contact any of these programs or resources

I did not want the person to get into trouble

I feared negative academic, social or professional consequences

I feared it would not be kept confidential

I could handle it myself

I feared retaliation

I didn't think these resources would give me the help I needed

Incident occurred while school was not in session

Other

BOX GA6

IF GA17= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE

ELSE IF MORE THAN ONE RESPONSE MARKED THEN SKIP TO GA17b

ELSE SKIP TO GA18

GA17a. You said you did not contact any of these programs or resources (because it was not serious enough/for an ‘other’ reason/because it was not serious enough and for an ‘other’ reason). Please review the list below and mark any of the reasons that may better describe why you didn’t contact any of these programs or resources (Mark all that apply).

I was not injured or hurt

The reaction by others suggested that it wasn’t serious enough to contact any of these programs or services

I contacted other programs or services that I felt were appropriate

I had trouble reaching the program or service

I was too busy

The event happened in a context that began consensually

Because of the person’s gender, I thought it would be minimized or misunderstood

I might be counter-accused

Alcohol and/or other drugs were present

Events like this seem common

My body showed involuntary arousal

Other: [Text Box]

BOX GA7

IF MORE THAN ONE RESPONSE MARKED ACROSS GA17 AND GA17a THEN CONTINUE
ELSE SKIP TO GA18

GA17b. What was the most important reason why you did not contact these programs or resources at (University)?

[LIST OF ALL OPTIONS MARKED IN GA17 AND GA17a]

GA18. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn’t tell anyone (else)

BOX GA8

IF THIS IS THE FIRST, SECOND, OR THIRD DIF AND THERE IS ANOTHER INCIDENT THEN CONTINUE TO GA19

ELSE SKIP TO BOX HH0

GA19. You told us that you experienced [sum of (G1count-G9count) - # of completed DIFs] other incidents involving sexual contact since you have been a student at [University]. Would you like to tell us about the details involved in another incident?

Please keep in mind that this is completely voluntary. If you don't want to answer any more questions about specific incidents, select "no".

Yes, I would like to answer questions about another incident [RETURN TO BOX GA1]

No, continue with the rest of the survey [CONTINUE TO BOX HH0]

[IF BLANK THEN CONTINUE TO BOX HH0]

Appendix 2. Comparison of 2015 and 2019 Surveys

SECTION A - BACKGROUND

First, we'd like to ask you a few questions about your background.

A1. How old are you?

[DROP DOWN LIST]

Under 18

18-29~~39~~, by single year

~~30+~~40+

[IF AGE =Under 18]

"We are sorry but the survey can only be completed by students who are at least 18 years old. Thank you for your interest in our study. We appreciate your time."

[EXIT SURVEY]

A2. Which of the following best describes your current student affiliation with [University]?

Undergraduate [CONTINUE]

Graduate [GO TO A4]

Professional [GO TO A4]

[IF BLANK THEN GO TO A5]

A3. — [IF A2=UNDERGRAD]— _____ What is your class year in school? Answer on the basis of the number of credits you have earned.

~~Freshman~~1st year [GO TO A5]

~~Sophomore~~2nd year [GO TO A5]

~~Junior~~3rd year [GO TO A5]

~~Senior~~4th year or higher [GO TO A5]

[IF BLANK THEN GO TO A5]

~~A4. [IF A2=GRAD OR PROFESSIONAL]~~ **A4. What year are you in your program?**
Answer on the basis of the number of years enrolled in the graduate or professional academic program.

- 1st year
 - 2nd year
 - 3rd year
 - 4th year
 - 5th year
 - 6th year or higher
-

A5. In which school at [University] are you enrolled? If you are enrolled in more than one choose the school that you consider your primary affiliation (exe.g. most credits, college of main advisor).

[UNIVERSITY SPECIFIC LIST]

A6. In what year did you first enroll as a student at [University]?

[DROP DOWN LIST]

Prior to ~~1997~~2014

~~1997 – 2015~~2014 – 2019 by single year

A6a. [IF A2 = Graduate OR Professional] Did you first enroll as an undergraduate student?

Yes [GO TO A6b]

No [SKIP TO A7.] ~~Do]~~

A6b. What year did you enroll as a graduate or professional student?

[DROP DOWN LIST]

Prior to 2014

2014 – 2019 by single year

A7. Are you in a program in which you take all of your courses ~~on-line~~online?

Yes

No

A8. Are you Hispanic or Latino?

Yes

No

A9. Select one or more of the following races that best describes you: (Mark all that apply)

- American Indian or Alaska Native [\[GO TO A10\]](#)
- Asian [\[GO TO A9A\]](#)
- Black or African American [\[GO TO A10\]](#)
- Native Hawaiian or Other Pacific Islander [\[GO TO A10\]](#)
- White [\[GO TO A10\]](#)
- Other [\[GO TO A10\]](#)
- [\[IF BLANK GO TO A10\]](#)

A9a. Please select one or more of the following that best represents your background:

- Asian Indian
- Chinese
- Filipino
- Japanese
- Korean
- Vietnamese
- Other Asian

A10. Are you a US citizen or permanent resident?

- Yes
- No

A11. Which best describes your gender identity?

- Woman
 - Man
 - ~~Transgender~~ [Trans woman \(male-to-female\)](#)
 - ~~Transgender~~ [Trans man \(female-to-male\)](#)
 - ~~Genderqueer or gender non-conforming~~
 - [Nonbinary or genderqueer](#)
 - Questioning
 - Not listed
 - Decline to state
-

A12. Do you consider yourself to be: (Mark all that apply)

- Heterosexual or straight
- Gay or lesbian
- Bisexual
- Asexual
- Queer
- Questioning
- Not listed
- Decline to state

A13. Since you have been a student at [University], have you been in any of these partnered relationships? ~~Partnered relationships include:~~ (Mark all that apply):

- ~~casual relationship~~ Marriage or ~~hook-up~~
~~steady or serious relationship~~ marriage, civil union, domestic
 - Domestic partnership or cohabitation
 - Steady or serious relationship
 - Other ongoing relationship involving physical or sexual contact
 - None of the above
- Yes
No

A14. Are you currently ...

- Never married
- Not married but living with a partner
- Married
- Divorced or separated
- Other

A15

A15a. Do you have/identify as a student with any of the following? (Mark all that apply)

- Learning disability
- ADHD
- Autism Spectrum Disorder
- Mobility-related disability (e.g., spinal cord injury, muscular dystrophy, etc.)
- Sensory disability (e.g., hard of hearing, low vision, etc.)
- Chronic mental health condition (e.g., depression, PTSD, anxiety disorder, etc.)
- Chronic medical condition (e.g., cystic fibrosis, diabetes, chronic pain, etc.)
- Other disability or chronic condition
- None of the above [SKIP TO A16]

A15. [IF A15a=ANY] Have you registered with [University]’s Disability Services or Office on Disabilities?office of student accessibility and disability services?

Yes

No

A16. Since you have been a student at [University], have you been a member of or participated in any of the following? (Mark all that apply):

[UNIVERSITY SPECIFIC LIST]

None of the above

A17. Which of the following best describes your living situation?

[UNIVERSITY SPECIFIC LIST]

SECTION BB – GENERAL PERCEPTIONS OF CAMPUS

The next few questions are about how you experience the campus community at [University].

BB1. How connected do you feel to the campus community at [University] as a whole?

- Not at all
- A little
- Somewhat
- Very
- Extremely

BB2. How comfortable are you seeking advice from faculty or staff at [University], even about something personal?

- Not at all
- A little
- Somewhat
- Very
- Extremely

BB3. How concerned are students at [University] about each other's well-being?

- Not at all
- A little
- Somewhat
- Very
- Extremely

BB4. How concerned are faculty or staff at [University] about your well-being?

- Not at all
- A little
- Somewhat
- Very
- Extremely

BB5. How concerned are University Officials at [University] about your well-being?

- Not at all
- A little
- Somewhat
- Very
- Extremely

SECTION B – PERCEPTIONS OF RISK

“Sexual assault” and “sexual misconduct” refer to a range of behaviors that are nonconsensual or unwanted. These behaviors could include remarks about physical appearance or persistent sexual advances. They also could include threats of force to get someone to engage in sexual behavior such as nonconsensual or unwanted touching, sexual penetration, oral sex, anal sex or attempts to engage in these behaviors-. These behaviors could be initiated by someone known or unknown, including someone you are in or have been in a relationship with.

These next questions ask about your perceptions related to the risks of experiencing sexual assault or sexual misconduct.

B1. How problematic is sexual assault or other sexual misconduct at [University]?

Not at all,
A little,
Somewhat,
Very,
Extremely

B2. How likely do you think it is that you will experience sexual assault or sexual misconduct ~~on campus?~~ in the future while enrolled at [University]?

Not at all,
A little,
Somewhat,
Very,
Extremely

B3. ~~How likely do you think it is that you will experience sexual assault or sexual misconduct during off-campus university sponsored events?~~

~~Not at all, A little, Somewhat, Very, Extremely~~

SECTION C -- KNOWLEDGE OF RESOURCES

The next questions ask about the services and resources offered by the university for those affected by sexual assault and other sexual misconduct.

C1. Are you aware of the services and resources provided by the following? (Mark all that apply)

[UNIVERSITY SPECIFIC LIST]

None of the Above

How knowledgeable are you about each of the following:

C2a. How knowledgeable are you about how sexual assault and other sexual misconduct are defined at [University]?

Not at all,

A little,

Somewhat,

Very,

Extremely

C2b.- How knowledgeable are you about where to get help at [University] if you or a friend experienced sexual assault or other sexual misconduct?

Not at all,

A little,

Somewhat,

Very,

Extremely

C2c. How knowledgeable are you about where to make a report of sexual assault or other sexual misconduct at [University]?

Not at all,

A little,

Somewhat,

Very,

Extremely

C2d . How knowledgeable are you about what happens when a student reports an incident of sexual assault or other sexual misconduct at [University]?

Not at all,

A little,

Somewhat,

Very,

Extremely

SECTION D - SEXUAL HARASSMENT

These next questions ask about situations in which behaviors you may have experienced while a student at [University], ~~or someone employed by or otherwise associated with [University]~~ said or did something that.

- ~~• interfered with your academic or professional performance,~~
- ~~• limited your ability to participate in an academic program, or~~
- ~~• created an intimidating, hostile or offensive social, academic or work environment~~

D1. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] made sexual remarks or told sexual jokes or sexual stories that were insulting or offensive to you?

Yes

Never experienced No

~~These questions ask about situations in which someone said or did something that~~

- ~~• interfered with your academic or professional performance,~~
 - ~~• limited your ability to participate in an academic program, or~~
 - ~~• created an intimidating, hostile or offensive social, academic or work environment~~
-

D2. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] made inappropriate or offensive comments about your or someone else's body, appearance or sexual activities?

Yes,

Never experienced No

~~These questions ask about situations in which someone said or did something that~~

- ~~• interfered with your academic or professional performance,~~
 - ~~• limited your ability to participate in an academic program, or~~
 - ~~• created an intimidating, hostile or offensive social, academic or work environment~~
-

D3. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] said crude or gross sexual things to you or tried to get you to talk about sexual matters when you didn't want to?

Yes

Never experienced No

~~These questions ask about situations in which someone said or did something that~~

- ~~• interfered with your academic or professional performance,~~
 - ~~• limited your ability to participate in an academic program, or~~
 - ~~• created an intimidating, hostile or offensive social, academic or work environment~~
-

- D4. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] ~~emailed, texted, tweeted, phoned, used social or instant messaged~~ offensive sexual remarks, jokes, stories, pictures or videos on-line media to you ~~do any of the following that you didn't want?:~~
- send offensive sexual remarks, jokes, stories, pictures or videos to you
 - communicate offensive sexual remarks, jokes, stories, pictures or videos about you

Yes

Never experienced No

~~These questions ask about situations where someone said or did something that~~

- ~~interfered with your academic or professional performance,~~
 - ~~limited your ability to participate in an academic program, or~~
 - ~~created an intimidating, hostile or offensive social, academic or work environment~~
-

- D5. Since you have been a student at [University], has a student, or someone employed by or otherwise associated with [University] continued to ask you to go out, get dinner, have drinks or have sex even though you said, "No"?

Yes

Never experienced No

BOX D1

IF YES TO ANY QUESTION D1 – D5, CONTINUE

ELSE GO TO E1

You said that the following happened to you since you've been a student at [University]:

- **[IF D1 = YES]** Someone made sexual remarks or told sexual jokes or stories that were insulting or offensive
- **[IF D2 = YES]** Someone made inappropriate offensive comments about your or someone else's body, appearance or sexual activities
- **[IF D3 = YES]** Someone said crude or gross sexual things to you or made unwelcomed attempts to get you to talk about sexual matters
- **[IF D4 = YES]** Someone ~~emailed, texted, tweeted, phoned,~~ used social or instant messaged any other form of on-line media to communicate offensive sexual remarks, jokes, stories, pictures or videos to you or about you
- **[IF D5 = YES]** Someone continued to ask you to go out, get dinner, have drinks or have sex even though you said, "No"

D5a. Did (this/any of these) experience(s) affect you in any of the following ways? (Mark all that apply)

Interfered with your academic or professional performance

Limited your ability to participate in an academic program

Created an intimidating, hostile or offensive social, academic or work environment

None of the above

D6. How many different people behaved this way?

1 person [GO TO D6a]

2 persons [SKIP TO D6b]

3 or more persons [SKIP TO D6b]

[IF BLANK SKIP TO D6b]

D6a. [IF 1 PERSON] Was the person that did this to you...

Man

Woman

Other gender identity

Don't Know

[FOR ANY RESPONSE OR IF BLANK SKIP TO D7]

D6b. [IF >1 PERSON] Were any of the people that did this to you...

<u>Man</u>	<u>Yes</u>	<u>No</u>
------------	------------	-----------

<u>Woman</u>	<u>Yes</u>	<u>No</u>
--------------	------------	-----------

<u>Other gender identity</u>	<u>Yes</u>	<u>No</u>
------------------------------	------------	-----------

<u>Don't Know</u>	<u>Yes</u>	<u>No</u>
-------------------	------------	-----------

D7. How (was the person/were the persons) who behaved (this way/these ways) associated with [University]? (Mark all that apply)

Student

Student teaching assistant

Faculty or instructor

Research staff

~~Coach or trainer~~

Other staff or administrator

Coach or trainer

Alumni

Other person affiliated/associated with a university program (ex. [University] (e.g., internship, study abroad)

The person was not affiliated/associated with [University]

~~Don't know~~ Unsure about association with [University]

D8. At the time of (this event/these events), what (was the person's/ were these persons') relationship to you? (Mark all that apply)

~~At the time, it was someone~~ Someone I was involved or intimate with- at the time

Someone I previously had been involved or ~~was~~ intimate with

Teacher _

Advisor

Someone I was teaching or ~~advisor~~ advising

Live-in residential staff

Coach or trainer

Boss ~~Co-worker~~, boss or supervisor _

Co-worker

Friend or acquaintance _

Stranger

Other

~~Don't~~ Classmate

Someone I know or recognize, but was not a friend

Did not know or recognize this person

D9. Since the beginning of the ~~fall 2014~~ Fall 2018 term, how many times has someone behaved this way?

[DROP DOWN LIST]

~~0 times~~ 19

1 time

2 times

3-5 times

6-9 times

10 or more times

20+

D10. Since you have been a student at [University], have you contacted any of the following about (this experience/~~any of these experiences~~)?? (Mark all that apply)

[UNIVERSITY SPECIFIC LIST]

None of the above [GO TO D13]

[IF NO PROGRAM MARKED GO TO D13]

~~D11. When did you most recently contact [PROGRAM] about (this experience/these experiences)?~~

~~Fall of 2014~~ — present

~~Fall of 2013~~ — Summer of 2014

~~Fall of 2012~~ — Summer of 2013

~~Prior to Fall of 2012~~

D12. Thinking about the most recent time you contacted them, how useful was [PROGRAM] in helping you deal with (this experience/these experiences)?
~~Not at all, A little, Somewhat, Very, Extremely~~

BOX D2

~~REPEAT~~ IF D10= NONE OF THE ABOVE OR NO PROGRAM MARKED THEN GO TO D13
ELSE ADMINISTER ITEMS D11 AND D12 FOR EACH PROGRAM MARKED IN D10 (UP TO 10 TIMES)

D11 [A-J]. When did you most recently contact [Program] about (this experience/these experiences)?

Fall of 2018 – present

Fall of 2017 – Summer of 2018

Fall of 2016 – Summer of 2017

Prior to Fall of 2016

BOX D3

IF NO MORE PROGRAMS MARKED IN D11 THEN RETURN TO BOX D2
ELSE SKIP TO D14

D13. [IF NO PROGRAMS CONTACTED] Were Why did you decide not to contact any of the following reasons why you did not contact anyone at [University]? these programs or resources? (Mark all that apply)

Did did not know where to go or who to tell

Felt felt embarrassed, ashamed or that it would be too emotionally difficult

I did not think anyone would believe me

I did not think it was serious enough to ~~report~~ contact any of these programs or resources

I did not want the person to get into trouble

I feared negative academic, social or professional consequences

~~I did not think anything would be done~~

I feared it would not be kept confidential

I could handle it myself

I feared retaliation

I didn't think these resources would give me the help I needed

Incident occurred while school was not ~~on campus or associated with the school in~~ session

Other ~~Incident did not occur while attending school~~

Other

BOX D4

IF D13= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE
ELSE SKIP TO D14. Did

D13a. You said you ~~(also) tell~~ did not contact any of these programs or resources (because it was not serious enough/for an 'other' reason/because it was not serious enough and for an 'other' reason). Please review the list below and mark any of the reasons that may better describe why you didn't contact any of these programs or resources (Mark all that apply).

I was not injured or hurt

The reaction by others suggested that it wasn't serious enough to contact any of these programs or services

I contacted other programs or services that I felt were appropriate

I had trouble reaching the program or service

I was too busy

The event happened in a context that began consensually

Because of the person's gender, I thought it would be minimized or misunderstood

I might be counter-accused

Alcohol and/or other drugs were present

Events like this seem common

My body showed involuntary arousal

Other:

D14. Which of the following persons-, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn't tell anyone (else)

SECTION E - STALKING

The next questions ask about instances where someone behaved in a way that made you afraid for your personal safety or caused you substantial emotional distress.

E1.- Since you have been a student at [University], has someone made unwanted phone calls, sent emails, voice, text or instant messages to you, or posted unwanted messages, pictures or videos on social ~~networking sites in a way that made you afraid for your personal safety~~ media to or about you or elsewhere online?

Yes;

No [GO TO E2]

[IF BLANK GO TO E2]

E1a. Did the same person do this to you more than once since you have been a student at [University]?

Yes

No

Don't know

E2. Since you have been a student at [University], has someone showed up somewhere uninvited or waited for you when you did not want that person to be there ~~in a way that made you afraid for your personal safety?~~

Yes

No [GO TO E3]

[IF BLANK THEN GO TO E3]

E2a. Did the same person do this to you more than once since you have been a student at [University]?

Yes

No

Don't Know

E3. Since you have been a student at [University], has someone spied on, watched or followed you, ~~either in person, or~~ monitored your activities or tracked your location using devices or software ~~in a way that made you afraid for your personal safety?~~ on your phone or computer?

Yes;

No [GO TO BOX E1]

[IF BLANK THEN GO TO BOX E1]

E3a. Did the same person do this to you more than once since you have been a student at [University]?

- Yes
 - No
 - Don't know
-

BOX E1

IF REPORTED "SAME PERSON DID THIS MORE THAN ONCE" TO ANY OF THE THREE TACTICS (E1a=yes or E2a=yes or E3a=yes), THEN GO TO ~~E5~~[E4a](#)

IF YES TO TWO OR MORE ITEMS E1-E3, AND NO TO ALL ITEMS E1a & E2a & E3a, THEN GO TO E4

IF 'NO' TO ALL ITEMS E1-E3, OR
IF 'YES' TO EXACTLY 1 ITEM E1-E3 AND 'NO' OR BLANK TO ALL ITEMS E1a & E2a & E3a
THEN GO TO BOX F0

You said that the following happened to you since you've been a student at [University]:

- **[IF E1 = YES]** Someone made unwanted phone calls, sent emails, voice, text or instant messages to you, or posted unwanted messages, pictures or videos on social networking sites ~~in a way that made you afraid for your personal safety~~ media to or about you or elsewhere online
- **[IF E2 = YES]** Someone showed up somewhere uninvited or waited for you when you did not want that person to be there ~~in a way that made you afraid for~~
- **[IF E3 = YES]** Someone spied on, watched or followed you either in person, or monitored your activities or tracked your personal safety location using devices or software on your phone or computer
- ~~**[IF E3 = YES]** Someone spied on, watched or followed you either in person or using devices or software in a way that made you afraid for your personal safety~~

E4. Did the same person do more than one of these to you since you have been a student at [University]?

- Yes **[GO TO ~~E5~~[E4a](#)]**
 - No **[GO TO ~~F1~~[BOX F0](#)]**
 - Don't Know **[GO TO ~~F1~~[BOX F0](#)]**
-

You said that the following happened to you since you've been a student at [University]:

- **[IF E1 = YES]** Someone made unwanted phone calls, sent emails, voice, text or instant messages, or posted messages, pictures or videos on social networking sites ~~in a way that made you afraid for your personal safety~~
- **[IF E2 = YES]** Someone showed up somewhere uninvited or waited for you when you did not want that person to be there
- **[IF E3 = YES]** Someone spied on, watched or followed you either in person or using devices or software ~~in a way that made you afraid~~

E4a. Did any of these unwanted contacts or behaviors make you fear for your personal safety or the safety of someone close to you?

- ~~[IF E3 = YES] Someone spied on, watched or followed you either in person or using devices or software in a way that made you afraid for your personal safety~~
Yes
No

E4b. Did any of these unwanted contacts or behaviors cause you substantial emotional distress?

Yes
No

E4d. Were any of the people that did this to you...

<u>Man</u>	<u>Yes</u>	<u>No</u>
<u>Woman</u>	<u>Yes</u>	<u>No</u>
<u>Other gender identity</u>	<u>Yes</u>	<u>No</u>
<u>Don't Know</u>	<u>Yes</u>	<u>No</u>

E5. How (is the person/are the persons) who did these things to you associated with [University]? (Mark all that apply)

Student

Student teaching assistant

Faculty or instructor

Research staff

~~Coach or trainer~~

Other staff or administrator

Coach or trainer

Alumni

Other person affiliated/associated with a university program (ex. [University] (e.g., internship, study abroad)

The person was not affiliated/associated with [University]

~~Don't know~~ Unsure about association with [University]

E6. At the time of these events, what (was the person's/were the persons') relationship to you? (Mark all that apply)

~~At the time, it was someone~~ Someone I was involved or intimate with at the time

Someone I previously had been involved or ~~was~~-intimate with

~~Teacher~~

Advisor

Someone I was teaching or ~~advisor~~ advising

Live-in residential staff

Coach or trainer

~~Boss~~ Co-worker, boss or supervisor_

Co-worker

~~Friend or acquaintance~~_

~~Stranger~~

~~Other~~

~~Don't~~ Classmate

Someone I know or recognize, but was not a friend

Did not know or recognize this person

E7. Since the beginning of the ~~fall 2014~~ Fall 2018 term, how many times have you had any of these experiences?

[DROP DOWN LIST]

~~0 times~~ 19

~~1 time~~

~~2 times~~

~~3-5 times~~

~~6-9 times~~

~~10 or more times~~ 20+

E8. Since you have been a student at [UNIVERSITY], have you contacted any of the following about any of these experiences? (Mark all that apply)

[UNIVERSITY SPECIFIC LIST]

None of the above [GO TO E11]

[IF NO PROGRAM MARKED GO TO E11]

BOX E2

IF E8= NONE OF THE ABOVE OR NO PROGRAM MARKED, THEN GO TO E11

ELSE CONTINUE ADMINISTER E9 FOR EACH PROGRAM MARKED IN E8 (UP TO E910)

E9. ~~[A-J].~~ [A-J]. When did you most recently contact ~~[PROGRAM]~~ Program about these experiences?

Fall of ~~2014~~ 2018 – present

Fall of ~~2013~~ 2017 – Summer of ~~2014~~ 2018

Fall of ~~2012~~ 2016 – Summer of ~~2013~~ 2017

Prior to Fall of ~~2012~~ 2016

~~E10. Thinking about the most recent time you contacted them, how useful was [PROGRAM] in helping you deal with these experiences?~~

~~Not at all, A little, Somewhat, Very, Extremely~~

BOX E3

REPEAT E9 AND E10 FOR EACH PROGRAM MARKER IN E8 (UP TO 10 TIMES)

IF NO MORE PROGRAMS MARKED THEN RETURN TO BOX E2
ELSE SKIP TO E12

~~E11. Were any of the following reasons why you~~ Why did you decide not to contact anyone at ~~[University]?~~ any of these programs or resources? (Mark all that apply)

~~Did~~ did not know where to go or who to tell

~~Felt~~ felt embarrassed, ashamed or that it would be too emotionally difficult

~~I did not think anyone would believe me~~

I did not think anyone would believe me

~~I did not think it was serious enough to report~~ contact any of these programs or resources

~~I did not want the person to get into trouble~~

~~I feared negative~~ academic, social or professional consequences

~~I did not think anything would be done~~

~~I feared it would not be kept confidential~~

I could handle it myself

I feared retaliation

I didn't think these resources would give me the help I needed

~~Incident~~ occurred while school was not ~~on campus or associated with the school~~ in session

Other

~~Incident did not occur while attending school~~

~~Other~~

E12. Did you (also) tell any of E4

IF E11= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE

ELSE SKIP TO E12

E11a. You said you did not contact any of these programs or resources (because it was not serious enough/for an ‘other’ reason/because it was not serious enough and for an ‘other’ reason). Please review the list below and mark any of the reasons that may better describe why you didn’t contact any of these programs or resources (Mark all that apply).

I was not injured or hurt

The reaction by others suggested that it wasn’t serious enough to contact any of these programs or services

I contacted other programs or services that I felt were appropriate

I had trouble reaching the program or service

I was too busy

The event happened in a context that began consensually

Because of the person’s gender, I thought it would be minimized or misunderstood

I might be counter-accused

Alcohol and/or other drugs were present

Events like this seem common

My body showed involuntary arousal

Other:

E12. Which of the following persons-, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

~~Friend~~

~~Family member~~

Faculty member or instructor

~~Someone else~~

~~I didn’t tell anyone (else)~~

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn’t tell anyone (else)

SECTION F - INTIMATE PARTNER VIOLENCE (IPV/DV)

BOX F0

IF A13 = YES (PRIOR RELATIONSHIP) GO TO F1

ELSE SKIP TO G1

Earlier in the survey, you indicated that you have been in a partnered relationship at least part of the time since you have been a student at [University]. ~~People treat their partner in many different ways. The next section asks you questions about your relationship with your partner(s). Recall that partnered relationships include~~ Recall that a partnered relationship can be any of the following:

- ~~- casual relationship~~ Marriage or hook-up
- ~~- steady or serious relationship~~
- marriage, civil union, domestic
- Domestic partnership or cohabitation
- Steady or serious relationship
- Other ongoing relationship involving physical or sexual contact

People treat their partners in many different ways. The next section asks you questions about your relationship(s) with your partner(s).

F1. Since you have been a student at [University], has a partner controlled or tried to control you? Examples could be when someone:

- kept you from going to classes or pursuing your educational goals
- did not allow you to see or talk with friends or family
- made decisions for you such as, where you go or what you wear or eat
- threatened to “out” you to others

Yes

No

F2. Since you have been a student at [University], has a partner threatened to physically harm you, someone you love, or ~~themselves~~ him/herself?

-Yes

No

F3. Since you have been a student at [University], has a partner used any kind of physical force against you? or otherwise physically hurt or injured you? Examples could be when someone:

- bent your fingers or bit you
- choked, slapped, punched or kicked you
- hit you with something other than a fist
- attacked you with a weapon, ~~or otherwise physically hurt or injured you~~

Yes

No

BOX F1

IF F1=YES OR F2=YES OR F3=YES, THEN GO TO F4
ELSE ~~GO~~ SKIP TO G1

You said that the following happened to you since you've been a student at [University]:

- **[IF F1 = YES]** A partner controlled or tried to control you
 - **[IF F2 = YES]** A partner threatened to physically harm you or someone you love
 - **[IF F3 = YES]** A partner used physical force against you
-

F4. How many different partners treated you this way?

1 partner [GO TO F4a]

2 partners [SKIP TO F4b]

3 or more partners [SKIP TO F4b]

[IF BLANK SKIP TO F4b]

F4a. [IF 1 PERSON] Was the person that did this to you...

Man

Woman

Other gender identity

Don't Know

[FOR ANY RESPONSE OR IF BLANK SKIP TO F5]

F4b. [IF >1 PERSON] Were any of the people that did this to you...

<u>Man</u>	<u>Yes</u>	<u>No</u>
------------	------------	-----------

<u>Woman</u>	<u>Yes</u>	<u>No</u>
--------------	------------	-----------

<u>Other gender identity</u>	<u>Yes</u>	<u>No</u>
------------------------------	------------	-----------

<u>Don't Know</u>	<u>Yes</u>	<u>No</u>
-------------------	------------	-----------

- F5. Were you physically injured as a result of (this incident/any of these incidents)?
Yes
No [GO TO F7]
[IF BLANK THEN GO TO F7]

F6. ~~Did you ever seek medical attention as a result of (this incident/any of these incidents)?~~
~~Yes~~
~~No~~

- F7. Since the beginning of the ~~fall 2014~~Fall 2018 term, how many times have you (had this experience/had any of these experiences)?
[DROP DOWN LIST]
~~0 times~~19
~~1 time~~
~~2 times~~
~~3-5 times~~
~~6-9 times~~
~~10 or more times~~
20+

-
- F8. Since you have been a student at [University], have you contacted any of the following about (this experience/any of these experiences)? (Mark all that apply)
[UNIVERSITY SPECIFIC LIST]
None of the above [GO TO F11]
[IF NO PROGRAM MARKED GO TO F11]

BOX F2

IF F8= NONE OF THE ABOVE OR NO PROGRAM MARKED, THEN GO TO F11
ELSE CONTINUE ADMINISTER F9 FOR EACH PROGRAM MARKED IN F8 (UP TO BOX F310)

- F9. ~~[A-J].~~ When did you most recently contact [~~PROGRAM~~Program] about (this experience/these experiences)?
Fall of ~~2014~~2018 – present
Fall of ~~2013~~2017 – Summer of ~~2014~~2018
Fall of ~~2012~~2016 – Summer of ~~2013~~2017
Prior to Fall of ~~2012~~2016

- F10. ~~Thinking about the most recent time you contacted them, how useful was [PROGRAM] in helping you deal with (this experience/these experiences)?~~
~~Not at all, A little, Somewhat, Very, Extremely~~

BOX F3

REPEAT F9 AND F10 FOR EACH PROGRAM MARKED IN F8 (UP TO 10 TIMES)

~~IN NO IF~~ MORE PROGRAMS MARKED IN F8 THEN RETURN TO BOX F2
ELSE SKIP TO F12

F11. ~~[IF NO PROGRAMS CONTACTED]~~ **Were any of the following reasons why you** Why
did you decide not to contact anyone at [University]? any of these programs or
resources? (Mark all that apply)

~~Did~~ did not know where to go or who to tell

~~Felt~~ felt embarrassed, ashamed or that it would be too emotionally difficult

I did not think anyone would believe me

I did not think it was serious enough to ~~report~~ contact any of these programs or resources

I did not want the person to get into trouble

I feared negative academic, social or professional consequences

I feared it would not be kept confidential

~~I did not~~ could handle it myself

I feared retaliation

I didn't think anything would be done

~~I feared it~~ these resources would ~~not be kept confidential~~ give me the help I needed

~~Incident was not on campus or associated with the school~~

~~Incident did not occur~~ occurred while attending school was not in session

~~Other~~

Other

BOX F4

IF F10= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE
ELSE SKIP TO F12. **Did**

F11a. You said you (also) tell did not contact any of these programs or resources (because it was not serious enough/for an 'other' reason/because it was not serious enough and for an 'other' reason). Please review the following persons about this? list below and mark any of the reasons that may better describe why you didn't contact any of these programs or resources (Mark all that apply).

I was not injured or hurt

The reaction by others suggested that it wasn't serious enough to contact any of these programs or services

I contacted other programs or services that I felt were appropriate

I had trouble reaching the program or service

I was too busy

The event happened in a context that began consensually

Because of the person's gender, I thought it would be minimized or misunderstood

I might be counter-accused

Alcohol and/or other drugs were present

Events like this seem common

My body showed involuntary arousal

Other:

F12. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

~~Friend~~

~~Family member~~

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn't tell anyone (else)

~~Someone else~~

~~I didn't tell anyone (else)~~

SECTION G – SV SCREENER

This next section asks about nonconsensual or unwanted sexual contact you may have experienced while attending [University].

The sexual behavior may have been performed on you or you may have been made to perform the sexual behaviors on another person. The person with whom you had the nonconsensual or unwanted contact could have been someone you know, such as someone you are currently or were in a relationship with, a co-worker, a professor, or a family member. -Or it could be someone you do not know.

Please consider anyone who did this, whether or not the person was associated with (University).

The following questions separately ask about contact that occurred because of physical force, incapacitation due to alcohol and/or drugs, and other types of pressure.

The first few questions ask about incidents that involved force or threats of force against you. Force could include someone ~~holding you down with his or her~~ using their body weight to hold you down, pinning your arms, hitting or kicking you, or using or threatening to use a weapon against you.

G1. Since you have been attending [University], has someone used physical force or threats of physical force to do the following with you:

- Sexual penetration. When one person puts a penis, fingers, or object inside someone else’s vagina or anus, or
- Oral sex. When someone’s mouth or tongue makes contact with someone else’s genitals

Yes [GO TO Attachment 1]

No

G2.— Since you have been attending [University], has someone used physical force or threats of physical force in an unsuccessful attempt to do any of the following with you:

- Sexual penetration. When one person puts a penis, finger, or object inside someone else's vagina or anus
- Oral sex. When someone's mouth or tongue makes contact with someone else's genitals

Yes [GO TO Attachment 1]

No

G3.— Since you have been attending [University], has someone used physical force or threats of physical force to do any of the following with you:

- kissing
- touching someone's breast, chest, crotch, groin or buttocks
- grabbing, groping or rubbing against the other in a sexual way, even if the touching is over the other's clothes

Yes [GO TO Attachment 1]

No

The next questions ask about incidents when you were unable to consent or stop what was happening because you were passed out, asleep, or incapacitated due to drugs or alcohol. Please include incidents even if you are not sure what happened.

G4.— Since you have been attending [University], has any of the following happened to you while you were unable to consent or stop what was happening because you were passed out, asleep or incapacitated due to drugs or alcohol:

- Sexual penetration. When one person puts a penis, finger, or object inside someone else's vagina or anus
- Oral sex. When someone's mouth or tongue makes contact with someone else's genitals

Yes [GO TO Attachment 1]

No

G5. Since you have been attending [University],- has any of the following happened to you while you were unable to consent or stop what was happening because you were passed out, asleep or incapacitated due to drugs or alcohol:

- kissing
- touching someone's breast, chest, crotch, groin, or buttocks
- grabbing, groping or rubbing against the other in a sexual way, even if the touching is over the other's clothes

Yes [\[GO TO Attachment 1\]](#)

No

The next questions ask about incidents when someone coerced you by threatening serious non-physical harm or promising rewards.

G6. Since you have been a student at [University], has someone had contact with you involving penetration or oral sex by threatening serious non-physical harm or promising rewards such that you felt you must comply? Examples include:

- Threatening to give you bad grades or cause trouble for you at work
- Promising good grades or a promotion at work
- Threatening to share damaging information about you with your family, friends or authority figures
- Threatening to post damaging information about you online

Yes [\[GO TO Attachment 1\]](#)

No

G7. Since you have been a student at [University], has someone had contact with you involving kissing or other sexual touching by threatening serious non-physical harm or promising rewards such that you felt you must comply? Examples include:

- Threatening to give you bad grades or cause trouble for you at work
- Promise good grades or a promotion at work
- Threatening to share damaging information about you with your family, friends or authority figures
- Threatening to post damaging information about you online

Yes [\[GO TO Attachment 1\]](#)

No

The next questions ask about incidents that occurred without your active, ongoing voluntary agreement.

G8.- Since you have been a student at [University], has someone had contact with you involving penetration or oral sex without your active, ongoing voluntary agreement? Examples include someone:

- initiating sexual activity despite your refusal
- ignoring your cues to stop or slow down
- went ahead without checking in or while you were still deciding
- otherwise failed to obtain your consent

Yes [[GO TO Attachment 1](#)]

No

G9.- Since you have been a student at [University], has someone kissed or sexually touched you without your active, ongoing voluntary agreement? Examples include:

- initiating sexual activity despite your refusal
- ignoring your cues to stop or slow down
- went ahead without checking in or while you were still deciding
- otherwise failed to obtain your consent

Yes [[GO TO Attachment 1](#)]

No

BOX G1

ONCE THE ENTIRE G SECTION (G1-G9) HAS BEEN ANSWERED THEN DO

IF ANY OF G1-G9 = YES THEN GO TO ATTACHMENT 2

ELSE GO TO BOX ~~H0~~[HH0](#)

SECTION HH – OPINIONS OF PROGRAM SERVICES

BOX HH0

IF RESPONDENT MARKED ANY PROGRAM IN ITEMS (D10, E8, F8, or GA16) THEN CONTINUE
ELSE SKIP TO BOX H0

ADMINISTER QUESTIONS HH1& HH2 FOR EACH PROGRAM A-J MARKED IN (D10, E8, F8, GA16), UP TO 10 TIMES

QUESTIONS ARE ASKED FOR EACH PROGRAM MARKED, REGARDLESS OF INCIDENT TYPE OR NUMBER OF CONTACTS. FOR EXAMPLE:

--- If someone marks 'Program A' in D11 and 'Program A' in GA16, they will receive questions HH1& HH2 only once (for 'Program A')

--- If someone marks 'Program A' and 'Program C' in D10, and 'Program C' in F8, then they will receive questions HH1& HH2 twice: once for 'Program A' and once for 'Program C'.

Earlier you said that you have contacted the following as a result of an incident:

[LIST programs contacted]

The following ask you about your experience with (this/each of these) program(s)

You said that you contacted [PROGRAM] ...

HH1. How useful was [Program] in helping you?

Not at all

A little

Somewhat

Very

Extremely

HH2. At any time did you feel pressure from [PROGRAM] on whether or not to report or file a complaint?

No, I did not feel pressure to proceed with reporting or filing a complaint

Yes, I felt pressure to proceed with reporting or filing a complaint

Yes, I felt pressure NOT to report or file a complaint

BOX HH1

IF MORE PROGRAMS SELECTED IN (D10, E8, F8, or GA16) THEN RETURN TO BOX HH0
ELSE CONTINUE TO BOX H1

SECTION H - SEXUAL MISCONDUCT PREVENTION TRAINING

BOX H0

ADMINISTER SECTION H ONLY IF A6=20142018 or 2015

ELSE SKIP2019 THEN GO TO I1.

~~Think back to the orientation when you first came to~~
IF A6 < 2018 THEN GO TO H2

H1. As an incoming student at [University], did that orientation include a], did you complete any training modules or information sessions/sessions about sexual assault or other sexual misconduct?-

Yes [GO TO H1a]

No [GO TO I1]

~~I didn't attend orientation~~ [GO TO I1]

~~I don't remember~~ [GO TO I1]

[IF BLANK THEN SKIP TO I1]

H1a. [IF H1 = YES] What topics did these training modules or information sessions include?
(Mark all that apply)

~~How sexual assault or other sexual misconduct is defined on campus~~

How to prevent sexual assault or other sexual misconduct

Additional training programs on how to prevent sexual assault or other sexual misconduct

Where to seek help should you or someone else experience sexual assault or other sexual misconduct

[IF ANY RESPONSE OR IF BLANK THEN SKIP TO I1]

H2. Since arriving at [University], have you completed any training modules or information sessions about sexual assault or other sexual misconduct?

Yes [GO TO H2a]

No [GO TO I1]

[IF BLANK THEN CONTINUE TO I1]

H2. ~~Overall, how useful was this session?~~

H2a. [IF H2 = YES] What topics did these training modules or information sessions include?
(Mark all that apply)

H2. Overall, how useful was this session?

How sexual assault or other sexual misconduct is defined on campus

How to prevent sexual assault or other sexual misconduct

Additional training programs on how to prevent sexual assault or other sexual misconduct

Where to seek help should you or someone else experience sexual assault or other sexual misconduct

[IF ANY RESPONSE OR IF BLANK THEN SKIP TO I1]

~~Not at all, A little, Somewhat, Very, Extremely~~

SECTION I - PERCEPTIONS OF RESPONSES TO REPORTING

The following are statements about what might happen if someone were to report a sexual assault or other sexual misconduct to an official at [University]. Please use the scale provided to indicate how likely you think each scenario is.

11. If someone were to report a sexual assault or ~~sexual misconduct to an official at [University], how likely is it that students would support the person making the report?~~

Not at all, other ~~A little, Somewhat, Very, Extremely~~

12. ~~If someone were to report a sexual assault or sexual misconduct to an official at [University], how likely is it that the alleged offender(s) or their associates would retaliate against the person making the report?~~

Not at all, A little, Somewhat, Very, Extremely

13. ~~If someone were to report a sexual assault or sexual misconduct to an official at [University], how likely is it that campus officials would take the report seriously?~~

Not at all;
A little;
Somewhat;
Very;
Extremely

14

12. If someone were to report a sexual assault or ~~sexual misconduct to an official at [University], how likely is it that campus officials would protect the safety of the person making the report?~~

Not at all, A little, Somewhat, Very, Extremely

15. ~~If someone were to report a sexual assault or other sexual misconduct to an official at [University], how likely is it that campus officials would conduct a fair investigation?~~

Not at all;
A little;
Somewhat;
Very;
Extremely

16. ~~If someone were to report a sexual assault or sexual misconduct to an official at [University], how likely is it that campus officials would take action against the offender(s)?~~

Not at all, A little, Somewhat, Very, Extremely

17. ~~If someone were to report a sexual assault or sexual misconduct to an official at [University], how likely is it that campus officials would take action to address factors that may have led to the sexual assault or sexual misconduct?~~

~~Not at all, A little, Somewhat, Very, Extremely~~

SECTION J - BYSTANDER BEHAVIOR

The next questions are about situations you may have seen ~~or been in~~ since you have been a student at [University].

J1. Since you have been a student at {[University]}, have you ~~suspected~~ noticed someone at [University] making inappropriate sexual comments about someone else's appearance, sharing unwanted sexual images, or otherwise acting in a sexual way that a friend had been sexually assaulted. you believed was making others feel uncomfortable or offended?

Yes [CONTINUE]

~~No [GO TO J3]~~

No [GO TO J2]

[IF BLANK THEN GO TO ~~J3~~ J2]

J1a. Thinking about the last time this happened, what did you do? **J2.** Thinking about the last time this happened, what did you do?

(Mark all that apply)

Directly intervened or interrupted the situation in the moment

Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person engaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to school administrators or another person in a position of authority

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

Did nothing for another reason

Spoke to my friend or someone else to seek help

Took action in another way Other

J2. ~~J3~~ Since you have been a student at [University], have you ~~seen~~ witnessed a drunk person heading off for what looked like a pattern of ongoing sexual encounter comments or behaviors that made you concerned that a fellow student at [University] was experiencing sexual harassment?

Yes [CONTINUE]

~~No [GO TO J3]~~ Yes [CONTINUE]

~~No [GO TO J5]~~

[IF BLANK THEN GO TO ~~J5~~ J3]

~~J4. Thinking about the last time this happened, what did you do?~~

J2a. Thinking about the last time this happened, what did you do? (Mark all that apply)

Directly intervened or interrupted the situation in the moment

Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person engaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to school administrators or another person in a position of authority

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

Did nothing for another reason

Other

~~J3. Directly intervened to stop it~~

~~Spoke to someone else to seek help~~

~~Took action in another way~~

J5. Since you have been a student at [University], have you ~~seen or heard~~ witnessed someone ~~was acting at [University] behaving in a sexually violent~~ controlling or abusive way towards a dating or harassing way? ~~sexual partner?~~

Yes [CONTINUE]

No [GO TO K1]J4]

[IF BLANK THEN GO TO K1]J4]

~~J6.~~

J3a. Thinking about the last time this happened, what did you do? (Mark all that apply)

Directly intervened or interrupted the situation in the moment

Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person engaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to school administrators or another person in a position of authority

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

~~Did nothing for another reason~~

Other

J4. Since you have been a student at [University], have you witnessed a situation that you believed could have led to a sexual assault?

Yes [CONTINUE]

No

J4a. Thinking about the last time this happened, what did you do? (Mark all that apply)

Directly intervened to stop it or interrupted the situation in the moment

Spoke/Checked in with the person who seemed impacted by the behavior

Confronted or expressed concern to the person engaging in the behavior

Sought help from either person's friends

Sought help from someone else

Expressed concern to seek help school administrators or another person in a position of authority.

Took action in another way

Did nothing because the person impacted appeared to be handling the situation

Did nothing because I wasn't sure what to do

Did nothing for your opinion about this/another reason

Other

SECTION K – DEBRIEFING ITEM

The next question asks

K1. — How difficult were the questions to understand?

Not at all, A little, Somewhat, Very, Extremely

SURVEY COMPLETION SCREEN

You have completed the survey-, but your data have not yet been submitted. We greatly appreciate your willingness to share your personal experiences and opinions about some very private and sensitive issues. Thank you.

If you or someone you know needs support services related to an experience of sexual assault or other sexual misconduct, click on the “Support Resources” link at the top and bottom of this page for information on how to access support services.

Please click on the “Submit” button to submit your completed survey now.

[SUBMIT BUTTON]

[PREVIOUS PAGE BUTTON]

ATTACHMENT 1 – SECTION G1: IMMEDIATE FOLLOWUPS

BOX G1_1

IF G[X]=Yes THEN CONTINUE TO G[X]a

ELSE SKIP TO NEXT ITEM IN SECTION G

G[X]a. Since you have been a student at [University], how many times has this happened?

1. 1 time
2. 2 times
3. 3 times
4. 4 or more times

BOX G1_2

ADMINISTER G1B AND G1C FOR EACH INCIDENT REPORTED IN G1A, UP TO 4 TIMES
IF G1A IS BLANK THEN ADMINISTER G1B AND G1C ONCE

You said that the following occurred (1/2/3/4 or more) time(s):

- [INCIDENT SUMMARY]

G[X]b. When did (this/the (second/third/fourth) most recent) incident (of this type) occur?

1. Since the beginning of the ~~fall 2014~~Fall 2018 term [GO TO NEXT BOX]
2. Prior to the ~~fall 2014~~Fall 2018 term [GO TO G1c]
[IF BLANK GO TO BOX G1_2]

G[X]c. [IF G1b = 2] In what school year did it occur?

1. Fall ~~2013~~2017 to Summer ~~2014~~2018
2. Fall ~~2012~~2016 to Summer ~~2013~~2017
3. Fall ~~2011~~2015 to Summer ~~2012~~2016
4. Prior to Fall of ~~2011~~2015
5. It occurred before I was a student at [University][GO TO BOX G1_2]
[IF BLANK GO TO BOX G1_2]

BOX G1_3

IF TIME PERIOD REPORTED IN G[X]B AND G[X]C IS THE SAME AS TIME PERIOD
REPORTED IN PREVIOUS G ITEM FOLLOW-UP, THEN GO TO G[X]D

ELSE RETURN TO G[X]B FOR NEXT INCIDENT REPORTED IN G[X]A

IF NO MORE INCIDENTS THEN GO TO NEXT G ITEM

G[X]d. Was this part of (the other incident/any of the other incidents) you reported as occurring (during the) (Time time period) (school year)?

1. Yes [GO TO G2e]
 2. No [GO TO ~~NEXT-BOX~~ G1_2]
[IF BLANK THEN GO TO ~~NEXT-BOX~~ G1_2]
-

**G[X]e. [IF G3d G[X]d = Yes] Was it part of any of the following incidents you reported earlier?
[LIST PRIOR ANSWERS THAT OCCURRED DURING SAME TIME PERIOD]**

1. [IF G[X] TIME PERIOD = G1 TIME PERIOD] Penetration or oral sex involving physical force or threats of physical force
 2. [IF G[X] TIME PERIOD = G2 TIME PERIOD] Attempted but not successful penetration or oral sex involving physical force or threats of physical force
 3. [IF G[X] TIME PERIOD = G3 TIME PERIOD] Sexual touching involving physical force or threats of physical force
 4. [IF G[X] TIME PERIOD = G4 TIME PERIOD] Penetration or oral sex when you were unable to consent or unable to stop what was happening
 5. [IF G[X] TIME PERIOD = G5 TIME PERIOD] Sexual touching when you were unable to consent or unable to stop what was happening
 6. [IF G[X] TIME PERIOD = G6 TIME PERIOD] Penetration or oral sex when you were coerced by threats of serious non-physical harm or promised rewards
 7. [IF G[X] TIME PERIOD = G7 TIME PERIOD] Sexual touching when you were coerced by threats of serious non-physical harm or promised rewards
 8. [IF G[X] TIME PERIOD = G8 TIME PERIOD] Penetration or oral sex without your active ongoing consent
 9. None of the above
-

BOX G1_4

IF G[X]A = '4 or more times' AND ALL G[X]CB = 'since fall 2014' Fall 2018 THEN CONTINUE TO G[X]F

ELSE RETURN TO G[X]B FOR NEXT INCIDENT REPORTED IN G[X]A

IF NO MORE INCIDENTS THEN GO TO NEXT G ITEM

G2f. ___ You said that this happened other times as well. Did any of these other incidents also occur since the beginning for the fall 2014 Fall 2018 term?

- Yes
No

ATTACHMENT 2 - SECTIONS SECTION GA & GC: SUMMARY DETAILED INCIDENT FORMS
FORM

Section GA – Detailed Incident Form (DIF) for G1-G5

BOX GA0

IF ALL ITEMS G1 – G5 G9 = 'NO' OR BLANK THEN SKIP TO BOX GC0H0
ELSE CONTINUE TO BOX GA1

BOX GA1

Section GA is administered UP TO 2 up to 4 TIMES -based on incidents reported in items G1-
G5 – G9

Respondents who reported at least 1 incident in G1 – G9 will be asked to complete 1 DIF.
Respondents who reported more than 1 incident will be given the option to complete up to
4 DIFs (see the end of section GA for this request).

A DIF will be in reference to 1 single incident

The incident referenced by a DIF will be selected by the respondent, based on how much
the experience impacted or affected the respondent.

-- The FIRST DIF will reference the incident which IMPACTED OR AFFECTED
the respondent THE MOST-SERIOUS TYPE of incident reported

-- The SECOND DIF will reference the incident which IMPACTED OR AFFECTED
the respondent THE SECOND MOST-SERIOUS TYPE

-- ...up to 4 incidents

BOX GA1.5

Count number of incident reported eligible incidents for each item in section G:

The following are the 4 INCIDENT TYPES reported in G1-G5, (listed from most serious to
least serious):

GA Type 1: G1 and/or G2 (Forcible rape and/or Attempted forcible rape)

GA Type 2: G4 (Rape by incapacitation)

GA Type 3: G3 (Forcible sexual touching)

GA Type 4: G5 (Sexual touching by incapacitation)

INTRO_GA

DO FOR X = 1 - 9 AND Y = 1 - 4

if G[X]=YES then do

G[X]count = G[X] a

if G[X]a=BLANK then G[X]count=1

if G[X]c [Y] = 5 OR G[X]e [Y] = (1 to 8) then G[X]count - 1

Dynamic text

if sum (G1count-G9count) =1 then:

"...what happened during the incident you reported..."

if sum (G1count-G9count) >1 AND first incident then:

"...what happened during one of the incidents you reported..."

if sum if sum (G1count-G9count) >1 AND 2nd-4th incident then:

"...what happened during another one of the incidents you reported..."

The following questions ask about what happened during (the/(another) one of the incident(s) you reported earlier. Sometimes it is difficult to report on these details, but the information you provide will help us understand the context and consequences of the incident.

Please remember that you can skip any question if you do not want to answer.

[IF FIRST INCIDENT]: You said that the following happened to you since you have been a student at [University]:

● **[SUMMARY OF REFERENCE INCIDENT(S)]**

- **The next**[IF G1count > 0] Penetration or oral sex involving physical force or threats of physical force ([G1count] incidents)
- [IF G2count > 0] Attempted but not successful penetration or oral sex involving physical force or threats of physical force ([G2count] incidents)
- [IF G3count > 0] Sexual touching involving physical force or threats of physical force ([G3count] incidents)
- [IF G4count > 0] Penetration or oral sex when you were unable to consent or unable to stop what was happening ([G4count] incidents)
- [IF G5count > 0] Sexual touching when you were unable to consent or unable to stop what was happening ([G5count] incidents)
- [IF G6count > 0] Penetration or oral sex when you were coerced by threats of serious non-physical harm or promised rewards ([G6count] incidents)
- [IF G7count > 0] Sexual touching when you were coerced by threats of serious non-physical harm or promised rewards ([G7count] incidents)
- [IF G8count > 0] Penetration or oral sex without your active ongoing consent ([G8count] incidents)
- [IF G9count > 0] Sexual touching without your active ongoing consent ([G9count] incidents)

[IF ONE INCIDENT]: Please answer the following questions ~~ask about~~ what happened ~~(when/during any of the times)~~ this experience and how it impacted or affected you.

[IF FIRST INCIDENT OF 2 OR MORE]: The following questions ask you about what happened ~~to you since you have been a student at [University].~~ during one of these experiences. While all such experiences are of great concern, please answer the following questions about the experience that has impacted or affected you the most.

GA1. ~~(In total, across all of these incidents)~~ {
[IF SECOND, THIRD OR FOURTH INCIDENT] You reported that [XX] other incidents involving sexual contact occurred. The following questions ask you about what happened during the incident that had the NEXT greatest impact on you. Please remember that you can skip any question if you do not want to answer.

GA1. ~~How/~~how many people did this to you? (during this incident)?

- 1 person [GO TO GA2a]
- 2 persons [SKIP TO GA2b]
- 3 or more persons [SKIP TO GA2b]
- [IF BLANK SKIP TO GA2b]

GA2a. [IF 1 PERSON] Was the person that did this to you ...

- Male
- ~~Female~~ Man
- Woman
- Other gender identity
- Don't know
- [FOR ANY RESPONSE OR IF BLANK SKIP TO ~~GA3~~GA2c]

GA2b. [IF >1 PERSON] Were any of the people that did this to you...

- | | | | | |
|-----------------------|--------------|-----|----|------------|
| Male | <u>Man</u> | Yes | No | Don't Know |
| Female | <u>Woman</u> | Yes | No | Don't Know |
| Other gender identity | | Yes | No | Don't Know |
| <u>Don't Know</u> | | Yes | No | |

GA2c. ~~What type of nonconsensual or unwanted behavior occurred during (this incident/any of these incidents)?~~ (Mark all that apply)

- Penis, ~~fingers~~ finger(s) or ~~objects~~ object(s) was inside someone's vagina or anus
- Mouth or tongue ~~makes~~ made contact with another's genitals
- Kissed
- Touched breast, chest, crotch, groin or buttocks
- Grabbed, groped or rubbed in a sexual way
- Other

GA2d. How did the person do this? (Mark all that apply)

The person(s) used physical force or threats physical of force

The person(s) did this when I was unable to consent or stop what was happening because I was passed out, asleep, or incapacitated due to drugs or alcohol

The person(s) threatened serious non-physical harm or promised rewards

The person(s) did this without my active, ongoing, voluntary agreement

GA3. How (is the person/ are the persons) who did this to you associated with [University]? (Mark all that apply)

Student

Student teaching assistant

Faculty or instructor

Research staff

~~Coach or trainer~~

Other staff or administrator

Coach or trainer

Alumni

Other person ~~affiliated~~ associated with a university program (ex. [University] (e.g., internship, study abroad)

The person was not ~~affiliated~~ associated with [University]

~~Don't know~~ Unsure about association with [University]

GA4. At the time of (this event/ these events), what (was the person's /were these persons') relationship to you? (Mark all that apply)

~~At the time, it was someone~~ Someone I was involved or intimate with at the time

Someone I previously had been involved or ~~was~~ intimate with _

~~Teacher or advisor~~

Advisor

Someone I was teaching or advising

Live-in residential staff

Coach or trainer

~~Boss~~ Co-worker, boss or supervisor _

Co-worker

~~Friend or acquaintance~~ _

~~Stranger~~

~~Other~~

~~Don't~~ Classmate

Someone I know or recognize, but was not a friend

Did not know or recognize this person

GA5. ~~Just prior to~~ (Before the incident/~~any of these incidents~~),_z (was/were) (the person/~~any of the persons~~) who did this to you drinking alcohol?

Yes

No

Don't know

~~GA6. Just prior to (the incident/any of these incidents), (was/were) (the person/any of the persons) who did this to you using drugs?~~

GA6. ~~Before~~ ~~GA7. Just prior to~~ (the incident, (was/were) (the person/any of the persons) who did this to you using drugs?

Yes

No

Don't Know

GA7. ~~these incidents)~~Before the incident were you drinking alcohol? Keep in mind that ~~you are~~your use of alcohol in no way ~~responsible for what occurred, even if you had been drinking?~~absolves a person who acted against your will.

Yes

No

GA8. ~~Just prior to~~ (Before the incident/~~any of these incidents~~) did you voluntarily take any drugs? Keep in mind ~~that you are~~your use of drugs in no way ~~responsible for what occurred, even if you had been on drugs~~absolves a person who acted against your will.

Yes

No

GA9. ~~Just prior to~~ (Before the incident/~~any of these incidents~~),_z had you been given alcohol or another drug without your knowledge or consent?

Yes, I am certain

I suspect, but I am not certain

No

Don't know

BOX GA2

IF GA7='YES' or GA8='YES' or GA9 = 'YES' or 'I SUSPECT', THEN CONTINUE TO GA10.
OTHERWISE SKIP TO ~~BOX GA3~~GA11a

GA10. Were you passed out or asleep for all or parts of (this incident/~~any of these incidents~~)??

Yes

No

Not sure

~~BOX GA3~~

~~IF MORE THAN ONE INCIDENT IN G[X]A OR IF DK NUMBER OF TIMES
THEN SKIP TO GA11b
OTHERWISE CONTINUE TO~~

GA11a ~~GA11a.~~ [IF G[X]A=1 TIME]. Did this incident occur during an academic break or recess?

Yes

No

GA11b. [IF G[X]A>1 TIME] How many of these incidents occurred during an academic break or recess?

None

Some

All

GA12. Did (~~GA12a. Where did~~ this incident/~~any of these incidents~~) occur ~~on campus or on university affiliated off-campus property?~~

Yes [CONTINUE TO GA13a]

No [SKIP TO GA13b]

— [IF BLANK THEN SKIP TO GA13b]

GA13a. [IF GA12=Yes] ~~Where did (this incident/these incidents) occur? (Mark all that apply)~~

University residence hall/dorm

Fraternity or house

Sorority house

Other space used by a single-sex student social organization

Other residential housing

~~Non-residential building~~

Other property (ex. outdoors)

[FOR ANY RESPONSE OR IF BLANK SKIP TO GA14]

GA13b. [IF GA12=No] Where did this (incident/these incidents) occur ? (Mark all that apply)

Classroom, lab or fieldwork setting

Faculty or staff office

~~Private residence~~

~~Fraternity or Sorority house~~

~~Other space used by a single-sex student social organization~~

~~Restaurant, bar or club~~

~~Other social venue~~ non-residential building

~~Outdoor or recreational space~~

~~Some other place~~

GA14. Did any of the following happen to you from (this experience/any of these experiences)? (Mark all that apply)

~~Physically injured, [CONTINUE TO GA14a]~~

~~Contracted a sexually transmitted disease [SKIP TO GA15]~~

~~Became pregnant [SKIP TO GA15]~~

~~None of the above [SKIP TO GA15]~~

~~[IF BLANK THEN SKIP TO GA15]~~

GA14a. What sort of injury or injuries did you sustain

GA12b. Did this incident occur:

On a (University) campus location

On a (University) affiliated off-campus location

Some other place

GA13a (Mark all that apply)

~~Bruises, black eye, cuts, scratches or swelling~~

~~Chipped or knocked out teeth~~

~~Broken bones~~

~~Internal injury from the sexual contact (ex., vaginal or anal tearing)~~

~~Other injuries~~

GA15. Did you experience any of the following as a result of (the incident/any of the incidents)?? (Mark all that apply)

Difficulty concentrating on studies, assignments or exams

Avoided or tried to avoid the person(s)

Fearfulness or being concerned about safety

Feelings of helplessness or hopelessness

Loss of interest in daily activities, or feelings of helplessness and hopelessness

Withdrawal from interactions with friends

Stopped participating in extracurricular activities

Nightmares or trouble sleeping

Feeling numb or detached

Headaches or stomach aches

Eating problems or disorders

Increased drug or alcohol use

None of the above

GA13b. Did you experience any of the following on your academic or professional life? (Mark all that apply)

Decreased class attendance

Difficulty concentrating on course projects, assignments, or exams

Difficulty concentrating on thesis/dissertation research or lab/clinical duties

Difficulty going to work

Withdrew from some or all classes

Changed my residence or housing situation

Changed my career plan

Considered dropping out of school

Changed major or college

None of the above

GA14. Did any of the following happen to you from this experience? (Mark all that apply)

Physically injured [CONTINUE TO GA15]

Contracted a sexually transmitted disease or infection [SKIP TO GA15]

Became pregnant [SKIP TO GA15]

None of the above [SKIP TO GA15]

[IF BLANK THEN SKIP TO GA15]

GA15. [IF A15a = ANY] You said that you have:

- (List of conditions marked in A15a)

Did this incident have any of the following effects on you? (Mark all that apply):

It led to my developing (at least one of these/this) condition(s)

It exacerbated or made worse (at least one of these/this) condition

It had no effect (on any of these/on this) condition(s)

GA16. Have you ever contacted any of the following about (this experience/these experiences)?? (Mark all that apply)

[UNIVERSITY SPECIFIC LIST]

None of the above [GO TO GA17]

[IF NO PROGRAMS MARKED GO TO GA17]

BOX GA4

IF NO PROGRAM MARKED, GO SKIP TO GA17

ELSE ASK GA16a-~~GA16f~~ FOR THE FIRST 4 PROGRAMS SELECTED IN GA16

GA16a. When did you most recently contact [PROGRAM Program] about this experience?

Fall of ~~2014~~2018 – present [CONTINUE TO GA16b]

Fall of ~~2013~~2017 – Summer of 2014 [SKIP TO BOX GA4B]2018

Fall of ~~2012~~2016 – Summer of 2013 [SKIP TO BOX GA4B]2017

Prior to Fall ~~2012~~ [SKIP TO BOX GA4B]2016

[IF BLANK THEN CONTINUE TO GA16b]

GA16b. How useful was [PROGRAM] in helping you?

Not at all, A little, Somewhat, Very, Extremely

GA16c. At any time did you feel pressure from [PROGRAM] on whether or not to proceed with further reporting or adjudication?

Yes

No [SKIP TO GA16e]

[IF BLANK THEN SKIP TO GA16e]

GA16d. What type of pressure?

To proceed with further reporting or adjudication

To not proceed with further reporting or adjudication

How would you rate [PROGRAM] on the following criteria?

GA16e. Respecting you

Excellent, Very good, Good, Fair, Poor

GA16f. Helping you understand your options going forward

Excellent, Very good, Good, Fair, Poor

BOX GA5

IF GA16 – NO MORE PROGRAMS MARKED, THEN CONTINUE RETURN TO BOX GA4

ELSE SKIP TO GA18

GA17. [IF NO PROGRAMS CONTACTED] ~~Were any of the following reasons why~~ Why did you ~~did~~ decide not to contact anyone at [University]? ~~any of these programs or resources?~~ (Mark all that apply)

~~Did~~ did not know where to go or who to tell

~~Felt~~ felt embarrassed, ashamed or that it would be too emotionally difficult

~~I did not think anyone would believe me~~ I did not think anyone would believe me

I did not think it was serious enough to report contact any of these programs or resources

I did not want the person to get into trouble

I feared negative academic, social or professional consequences—

I feared it would not be kept confidential

~~I did not~~ could handle it myself

I feared retaliation

I didn't think anything these resources would be done give me the help I needed

~~I feared it would not be kept confidential~~

Incident occurred while school was not in session

Other

BOX GA6

IF GA17= 'NOT SERIOUS ENOUGH' OR 'OTHER' THEN CONTINUE

ELSE IF MORE THAN ONE RESPONSE MARKED THEN SKIP TO GA17b

ELSE SKIP TO GA18

GA17a. You said you did not contact any of these programs or resources (because it was not on campus or associated with the school ~~serious enough/for an 'other' reason/because it was not serious enough and for an 'other' reason).~~ Please review the list below and mark any of the reasons that may better describe why you didn't contact any of these programs or resources (Mark all that apply).

~~Incident did not occur while attending school~~—

Other

~~GA18. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)~~

~~Friend~~

~~Family member~~

~~I was not injured or hurt~~

~~The reaction by others suggested that it wasn't serious enough to contact any of these programs or services~~

~~I contacted other programs or services that I felt were appropriate~~

~~I had trouble reaching the program or service~~

~~I was too busy~~

~~The event happened in a context that began consensually~~

~~Because of the person's gender, I thought it would be minimized or misunderstood~~

~~I might be counter-accused~~

~~Alcohol and/or other drugs were present~~

~~Events like this seem common~~

~~My body showed involuntary arousal~~

~~Other~~

BOX GA7

IF MORE THAN ONE RESPONSE MARKED ACROSS GA17 AND GA17a THEN CONTINUE ELSE SKIP TO GA18

GA17b. What was the most important reason why you did not contact these programs or resources at (University)?

[LIST OF ALL OPTIONS MARKED IN GA17 AND GA17a]

GA18. Which of the following persons, if any, did you (also) tell about this? (Mark all that apply)

Friend

Family member

Faculty member or instructor

Resident advisor (RA), or other live-in residential staff

Other administrative staff

Spiritual or religious advisor, leader, or clergy

Therapist or counselor

Sexual or romantic partner

Program or resource outside the University (e.g., a hotline)

Physician

Someone else

I didn't tell anyone (else)

Someone else

I didn't tell anyone (else)

Section GC – Detailed Incident Form (DIF) for G6-G9

BOX GC0

IF ALL ITEMS G6 – G9 = 'NO' THEN SKIP TO BOX H1
ELSE CONTINUE TO BOX GC1GA8

IF THIS IS THE FIRST, SECOND, OR THIRD DIF AND THERE IS ANOTHER INCIDENT THEN CONTINUE TO GA19

ELSE SKIP TO BOX GC1HH0

Section GC is administered UP TO 2 TIMES based on

GA19. You told us that you experienced [sum of (G1count-G9count) - # of completed DIFs] other incidents reported in items G6-G9

The FIRST DIF will reference the MOST SERIOUS TYPE of incident reported
The SECOND DIF will reference the SECOND MOST SERIOUS TYPE of incident reported

The following are the 2 INCIDENT TYPES reported in G6-G9, (listed from most serious to least serious):

GC Type 1: G6 and/or G7 (Sex and/or Sexual touching by Coercion)

GC Type 2: G8 and/or G9 (Sex and/or Sexual touching without Affirmative Consent)

INTRO_GC

You said that the following happened to you since you have been a student at [University]

- **[SUMMARY OF REFERENCE INCIDENT(S)]**

The next questions ask about what happened (when/during any of the times) this happened to you involving sexual contact since you have been a student at [University]. -Would you like to tell us about the details involved in another incident?

GC1. (In total, across all of these incidents) (H/h)ow many people did this to you?

1 person [GO TO GC2a]

2 persons [GO TO GC2b]

3 or more persons [GO TO GC2b]

Please keep in mind that this is completely voluntary. If you don't want to answer any more questions about specific incidents, select "no".

Yes, I would like to answer questions about another incident [RETURN TO BOX GA1]

No, continue with the rest of the survey [CONTINUE TO BOX HH0]

[IF BLANK THEN GO CONTINUE TO GC2b BOX HH0]

GC2a. [IF 1 PERSON] **Was the person that did this to you ...**

Male

Female

Other gender identity

Don't know

[FOR ANY RESPONSE OR IF BLANK THEN SKIP TO GC2c]

GC2b. [If >1 PERSON] **Were any of the people that did this to you...**

Male _____ Yes _____ No _____ Don't Know _____

Female _____ Yes _____ No _____ Don't Know _____

Other gender identity _____ Yes _____ No _____ Don't Know _____

GC2c. **What type of nonconsensual or unwanted behavior occurred during (this incident/any of these incidents)? (Mark all that apply)**

Penis, fingers or objects inside someone's vagina or anus

Mouth or tongue makes contact with another's genitals

Kissed

Touched breast/chest, crotch/groin or buttocks,

Grabbed, groped or rubbed in a sexual way

Other

GC3. **How (is the person/ are the persons) who did this to you associated with [University]? (Mark all that apply)**

Student

Faculty or instructor

~~Coach or trainer~~

Other staff or administrator

Other person affiliated with a university program (ex., internship, study abroad)

~~The~~ person was not affiliated with [University]

Don't know association with [University]

GC4. **At the time of (this event/ these events), what (was the person's/were these persons') relationship to you? (Mark all that apply)**

At the time, it was someone I was involved or intimate with

Someone I had been involved or was intimate with

Teacher or advisor

Co-worker, boss, or supervisor

Friend or acquaintance

Stranger

Other

Don't know

BOX GC2

IF REFERENCE INCIDENT FOR THIS DIF IS G8 OR G9, THEN GO TO G5

ELSE GO TO BOX H0

GC5. Did the person(s) do any of the following during (this incident/any of these incidents)? (Mark all that apply)

~~Initiated sexual activity without checking in with you first or while you were still deciding~~

~~Initiated sexual activity despite your refusal~~

~~During consensual activity, ignored your verbal cues to stop or slow down~~

~~During consensual activity, ignored your nonverbal cues to stop or slow down~~

~~Otherwise failed to obtain your active ongoing voluntary agreement~~

~~None of the above~~

Appendix 3. Human Subjects Protections and Safeguards

A3.1 IRB Review Options and Process Overview

In October 2018, Westat submitted its Institutional Review Board (IRB) package (including the instrument and study protocols) to both the Westat IRB, for a full review, and the 33 participating IHEs, who used the materials to develop their own IRB packages. Full approval was obtained in October 2018. In December 2018, Westat programmed and tested the instrument, and the first group of IHEs launched the survey on February 1, 2019.⁵³

Among participating IHEs, 13 elected to rely on Westat’s IRB as the IRB of record, and 13 chose to use their own IRB. Seven schools determined their involvement in the study did not constitute human subjects research and, consequently, elected not to seek IRB approval or review.

An IRB IAA was executed between California Institute of Technology and Westat on February 14, 2019, agreeing that California Institute of Technology would rely on Westat’s IRB for review and continuing oversight of its human subjects research.

A3.2 Respondent Emotional Protections

Given the sensitive nature of the survey topic, there was some risk of emotional distress for survey participants, as well as concerns about confidentiality and data security. Consequently, a number of human subject protections and security protocols were considered and put in place for survey participants.

A3.3 NIH Certificate of Confidentiality

The AAU Survey is protected by a Federal Certificate of Confidentiality (CoC) CC-AA-15-45. This certificate, issued by the National Institute on Alcohol Abuse & Alcoholism, National Institutes of Health (NIH), allows “researchers to refuse to disclose identifiable research

⁵³To accommodate differences in IHEs’ academic calendars, IHEs chose the field period (generally three weeks) during which they wanted their survey to be open, with the earliest available launch date of February 1, 2019.

information in response to legal demands,”⁵⁴ such as court orders and subpoenas, for identifying information or identifying characteristics of a research participant. This is an important legal tool and we are very pleased to have secured this protection for our study participants.

NIH issued the certificate to Westat on April 8, 2015 for the 2015 AAU Survey and extended the protections for respondents completing the 2019 AAU Survey.

A3.4 Informed Consent

The first safeguard against participant distress was the process of informed consent. Functioning as a gateway to the survey, the consent form provided details about the survey, set expectations for the types of questions to be asked, and allowed students to make an informed decision whether participation was right for them. Students who felt they would become distressed taking such a survey could choose not to participate (and could not enter the survey), and students who consented to participate were prepared for the sensitive topics. The consent form emphasized that respondents could skip any question they did not want to answer, and that they could stop the interview at any time if they felt uncomfortable or simply wished to stop. In addition, all consent forms concluded with contact information for a responsible IRB and research representative.

Shortly after the launch of the 2015 *Campus Climate Survey*, institutional representatives indicated that students who reported that there was no warning about the sensitive content of the survey had not seen or read the portion of the survey consent form that described the sensitive nature of the survey. To respond to these concerns, this portion of schools’ consent form highlights this information, partly by using the phrase “TRIGGER WARNING” prior to a description of language used in the survey (see example below).

TRIGGER WARNING: Some of the language used in this survey is explicit and some people may find it uncomfortable, but it is important that we ask the questions in this way so that you are clear what we mean. Information on how to get help, if you need it, appears on the top of each page and at the end of the survey.

⁵⁴From What is a Certificate of Confidentiality? NIH Certificates of Confidentiality (CoC) Kiosk <http://grants.nih.gov/grants/policy/coc/index.htm>.

A3.5 Distress Protocols

Prior studies on sexual assault and other misconduct show that most individuals do not find participation in such research to be harmful and, in many cases, consider their participation beneficial (Wager, 2012; Yeater, Miller, Rinehart, and Nason, 2012). However, data collection for the AAU Survey included several safeguards to minimize risk related to emotional distress.

A3.6 Campus-specific Resources

Campus-specific resource lists with contact information on national, campus, and community-specific resources were offered to all students and accessible both inside and outside the survey. Examples of such resources include counseling and medical centers and 24-hour crisis phone lines. A link to these resources was available on each survey screen starting with the initial landing page.

Although we anticipated that most participants would access these resources through the web survey, we also developed a protocol for Help Desk staff to use if they received distress calls or questions about sexual assault resources.

A3.7 Help Desk

To further encourage participants to complete the survey and minimize distress, Help Desk staff were available by phone and email throughout data collection to answer technical questions about the survey and how to complete it, and to provide resource lists to respondents who call and need additional support or referrals for services. Help Desk contact information was provided in all email communication and was available on all screens of the online survey, as well as on the survey landing page. Help Desk staff were trained in both project and customer service procedures, including distress protocols. While Help Desk staff did not provide counseling or other crisis intervention services, staff were prepared to offer respondents the same resource information included in the online survey for their specific campus. In the event that a caller expressed elevated distress or a threat to themselves or others, the staff were trained to directly connect these students with counseling services from the resource list. Data collection closed without the need to initiate the distress protocol.

In all cases, Help Desk staff were trained to be sensitive to callers and respond to them politely and thoughtfully, regardless of the circumstances of their call.

Association of American Universities
Campus Climate Survey
on Sexual Assault and Misconduct

Menu FAQs Support Resources Help Desk: (855) 793-5324

What is your class year in school? Answer on the basis of the number of credits you have earned.

- 1st year
- 2nd year
- 3rd year
- 4th year or higher

< Back Save & Exit Forward >

As shown in this screenshot above, each page of the survey included links to general and school-specific frequently asked questions (FAQs) and resources in the upper right corner. It also included the Help Desk number for easy access to those students who needed it for either technical assistance or additional resources.

A3.8 Data Security and Protecting Confidentiality

All survey data were collected via a secure web site hosted at Westat. The respondent's email address was encrypted and stored in a database. Upon final submission of the survey, the respondent's email address and PIN number (used to create the unique survey link) was automatically deleted from the database, removing any linkage between the survey responses and the respondent. For any respondents who completed some of the survey but did not formally submit it, these variables were deleted manually at the end of the data collection period.

Roster file data were not included in the survey data file so that if someone were to somehow obtain the survey data, they could not associate any data with a particular individual.

All necessary steps to mask the identity of survey respondents have been taken for the data analysis and reporting. The analysis included only quantitative components. Results are tabular, as well as more formal statistical models. Results were reviewed to ensure an acceptable risk of disclosure, including suppression of demographic characteristics and other potentially identifying information in situations in which cell sizes are small.

All data pertaining to this project have been stored in a secure manner in a physical and electronic form that can only be accessed by study personnel. All electronic data have been stored on network server directories. Access to the network project directory has been

controlled through the use of directory and file access rights based upon user account ID and the associated user group definition. Paper data are stored in locked files cabinets.

Datasets will be provided to AAU and to participating schools. These project partners will own their respective datasets and the reports summarizing findings that Westat will also deliver. The individual datasets have been reviewed for potential disclosure risks. Where appropriate, variables were altered (e.g., categories collapsed) to eliminate potential disclosure risks before delivering the final files.

Three years after completion of the study, all data and files held by Westat related to this study will be permanently destroyed.

Informed Consent

The California Institute of Technology Informed Consent

The California Institute of Technology is asking all students to answer a climate survey on sexual assault and misconduct. The survey is sponsored by Caltech in collaboration with the Association of American Universities (AAU). The results will be used to guide policies to encourage a healthy, safe and nondiscriminatory environment at Caltech

This survey includes sections that ask about your knowledge and beliefs about social situations, perceptions related to sexual misconduct at Caltech and your knowledge of resources available at Caltech. This survey also asks about your personal experience with sexual misconduct, such as harassment, sexual assault and other forms of violence.

TRIGGER WARNING: Some of the language used in this survey is explicit and some people may find it uncomfortable, but it is important that we ask the questions in this way so that you are clear what we mean. Information on how to get help, if you need it, appears on the top of each page and at the end of the survey.

This survey should take most students approximately 20 minutes to complete. It may take up to 30 minutes for some individuals. You do NOT have to participate in this survey, and if you do choose to participate, you may skip any question you are not comfortable answering and may exit the survey at any time. There will be no consequences to you personally or your student status if you choose not to complete the survey.

After the survey closes, the Caltech undergraduate house with the highest percentage completion rate will be rewarded with a \$1,000 fund to go toward the purchase of house equipment. The division with the highest completion rate by graduate students will be rewarded with a graduate student division party.

We will protect the confidentiality of your answers. When you complete the survey, the link between your survey responses and your name, email, and IP address will be broken so that your survey responses will never be connected to these identifiers (name, email, and IP address). The results will be presented in summary form so no individual can be identified. However, if we learn about child abuse or you threaten to harm yourself or others, we are obligated to report it to the authorities.

Caltech may combine your survey responses with basic administrative data about you provided by your school (e.g., academic data, transfer status). All the data will be kept confidential and no personal identifiers, such as e-mail addresses or name, will be linked to your survey responses.

This research is covered by a Certificate of Confidentiality from the National Institutes of Health. The researchers with this Certificate may not disclose or use information that may identify you in any federal, state, or local civil, criminal, administrative, legislative, or other action, suit, or proceeding, or be used as evidence, for example, if there is a court subpoena, unless you have consented for this use. Information protected by this Certificate cannot be disclosed to anyone else who is not connected with the research except, if there is a federal, state, or local law that requires disclosure (such as to report child abuse or communicable diseases but not for federal, state, or local civil, criminal, administrative, legislative, or other proceedings); if you have consented to the disclosure, including for your medical treatment; or if it is used for other scientific research, as allowed by federal regulations protecting research subjects.

The Certificate of Confidentiality will not be used to prevent disclosure as required by federal, state, or local law of child abuse or a threat to harm yourself or others.

If you have any questions about this study please call the Westat Help Desk at 855-793-5324.

If you have questions about your rights and welfare as a research participant, please call the Westat Human Subjects Protections office at 1-888-920-7631. If no one is available to take your call, please leave a message with your full name, the name of the research study that you are calling about the Campus Climate Survey on Sexual Assault and Misconduct, and a phone number beginning with the area code. Someone will return your call as soon as possible.

Frequently Asked Questions (FAQs)

The California Institute of Technology Frequently Asked Questions (FAQs)

Why am I being asked to complete this survey?

Your university has asked all students to answer a climate survey on sexual assault and sexual misconduct. The results will be used to guide school policies to encourage a healthy, safe and nondiscriminatory environment on campus. This survey is an important tool for your university to assess current programs and to shape future policies. Their goal is to develop programs and services that minimize sexual assault and misconduct, as well as respond to these events when they do occur.

Who is eligible to participate in the survey?

Your university determined who would be participating in this survey, and in most cases all students are eligible to participate in this survey. In order for someone to participate, he or she must have received an email invitation to complete the survey, and must click on the unique link included in the email invitation in order to access the survey.

Who is Westat?

Your school has collaborated with Westat to administer this survey. Westat is a private research organization. If you received an email from Westat, it is because your school provided Westat with student email addresses so that we could send these emails to you. Westat will not use your email address for any other purposes, release your email address to any others, or keep your email address after the survey period closes.

What kinds of questions are in the survey?

This survey includes sections that ask about your knowledge and beliefs about social situations, perceptions related to sexual misconduct at your college and your knowledge of resources available at your college. The survey also asks about your personal experience with sexual misconduct, such as harassment, sexual assault and other forms of violence.

What will Caltech do with the results?

The results will be used to better understand the climate at Caltech, the extent of sexual assault and misconduct among students and the use of programs and services currently being offered. This information will be used to make recommendations for changes to the policies and procedures related to preventing and handling sexual assault and misconduct at Caltech.

Where can I see the results of this study?

Your school will receive a report of the results in September 2019. At that point your school may choose to publish the report or otherwise make results available to students and the community.

Why are you asking about these sensitive topics?

In order to understand the climate at your school, the survey needs to ask direct questions about topics that some may find sensitive. It is only by directly collecting this information from you that your school will be able to help prevent negative experiences and effectively respond when they do happen.

Why is the language on the survey so explicit?

Some of the language used in this survey is explicit and some people may find it uncomfortable, but it is important that we ask the questions in this way so that you are clear what we mean. Information on how to get help, if you need it, appears on the bottom of each page and at the end of the survey.

Isn't this survey only for women?

No, this survey is for everyone, regardless of gender identity or experiences. The survey will be used to shape policies that affect everyone on campus, so it is very important that you provide your experiences and viewpoint.

I've never experienced sexual assault or sexual misconduct, so why should I take part?

If only victims of sexual assault and sexual misconduct participate in the survey, we will have a very lopsided view of your campus. To get a complete picture of your college, we need to hear from as many students as possible.

How long will the survey take?

This survey should take most people approximately 20 minutes to complete. It may take up to 30 minutes for some individuals depending on their responses.

Am I required to participate?

You do NOT have to participate in this survey. If you do choose to participate, you may skip any question you are not comfortable answering and may exit the survey at any time.

What will happen if I don't participate?

There are no consequences if choose not to participate in the survey. Information on who completed the survey (and who did not) will not be provided to your school or any others. However, if you choose not to participate, your perspective and experiences might not be reflected in the survey results.

Will my answers be confidential?

When you complete the survey, the link between your survey responses and your email and IP addresses will be broken so that no one will be able to connect your email or IP address with your survey responses. Information on who completed the survey will not be provided to your school or any others. The results will be presented in summary form so no individual can be identified. However, if we learn about child abuse or about a threat of harm to yourself or others, we are obligated to report it to the authorities.

We have obtained a Certificate of Confidentiality (CoC) issued by the National Institutes of Health (NIH). The CoC is issued to protect the investigators on this study from being forced to tell anyone about your participation in this study, even under a subpoena.

Even when a CoC is in place, you and your family members must still continue to actively protect your own privacy. If you voluntarily give your written consent for an insurer, employer, or lawyer to receive information about your participation in the research, then we may not use the CoC to withhold this information.

Why are you asking me about my race and ethnicity? Do I have to answer?

We are asking these questions so that we can describe the sample of students who completed the survey, and also so that we can describe how climate and actual experiences differ by race and ethnicity. This will help your school target resources to those that need it the most. You do not have to answer any question on the survey if you do not want to.

Why are you asking if I'm an US Citizen? Do I have to answer?

We are asking these questions so that we can describe the sample of students who completed the survey, and also so that we can describe how climate and actual experiences differ by citizenship status. This will help your school target resources to those that need it the most. You do not have to answer any question on the survey if you do not want to.

Do I have to answer all of the questions?

You do not have to answer all of the questions on the survey if you do not want to. Even if you choose not to answer every question, we encourage you to go through all of the items in the survey and click "submit" at the end of the survey so that the responses you do provide can be recorded.

If I skip a question can I go back to it later?

Yes. You can navigate through the survey items using the "previous" and "next" buttons on the survey pages.

If I close the browser will my answers be saved? Can I go back to the survey later to complete it?

Answers are saved by clicking the navigation buttons on the bottom of each screen (previous, next, and save). You do not have to click "save" on each screen, as long as you navigate to the next question by clicking "next". When you click one of these buttons, the answers on the current screen will be saved and you can close the browser and come back to the survey later to complete it.

However, if you close the browser without clicking one of those buttons on the current screen, your answer on the current screen will not be saved. You may return and complete the survey at any time before the survey closes.

I still have questions.

If you have any questions about the study, you can call the Help Desk at 1 855-793-5324.

If you have questions about your rights and welfare as a research participant, please call the Westat Human Subjects Protections office at 1-888-920-7631. Please leave a message with your full name, the name of the research study that you are calling about (Campus Climate Survey), and a phone number beginning with the area code. Someone will return your call as soon as possible.

Student Resource Information

Caltech Student Resource Information

On-Campus Resources

Title IX Coordinator**April Castañeda**

Center for Student Services 205b
(626) 395-3132 Fax: (626) 577-9246
april.castaneda@caltech.edu
Titleixcoordinator@caltech.edu
<http://titleix.caltech.edu>

Caltech Security Office

24/7 reporting and support option
515 S. Wilson Ave
(626) 395-4701 (626) 395-5000

Doug Rees

Dean of Graduate Studies
Center for Student Services 230A
(626) 395-8393
dcrees@caltech.edu

Kate McAnulty

Associate Dean of Graduate Studies
Center for Student Services 230A
(626) 395-1477
mcanulty@caltech.edu

Student Confidential Resources

Counseling Center

1239 Arden Road
(626) 395-8331
After hours, call (626) 395-8331 and press 2
for clinician

Erin-Kate Escobar

Assistant Director, Center for Diversity
Center for Student Services 268
(626) 395-3221
ekescoba@caltech.edu

Kevin Gilmartin

Dean of Undergraduate Students
Center for Student Services 210A
(626) 395-6351
kmg@hss.caltech.edu

Kristin Weyman

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(626) 395-2188
ilana.smith@caltech.edu

Anastasios (Taso) Dimitriadis

Assistant Director, Center for Diversity
Center for Student Services 269
(626) 509-496-3492 (626) 395-8108
taso@caltech.edu

Off-Campus Community Resources

The Rape Treatment Center at Santa Monica - UCLA Medical Center is a free, confidential center that offers support and advocacy 24 hours a day, 7 days a week and is available to all students, postdoctoral scholars, faculty and staff members—or to anyone in the Los Angeles area. Available services include emergency medical care, counseling, and help understanding legal options. You DO NOT have to give your name when calling. There is no cost to use their services. Transportation can be provided. The center is located at 1250 16th St., Santa Monica, CA, 90404. They can be reached at 310-319-4000 or <http://www.911rape.org>.

San Gabriel Valley Medical Center Sexual Assault Response Team (SART) utilizes a team of professionals specially trained to provide medical care, emotional support and comprehensive medical-legal examinations. SART assists victims of all ages, 24 hours/ day/ 365 days of the year. For help, please call the SART Hotline at (877) 209-3049. The center is located at 438 W. Las Lunas Drive, San Gabriel, 91776.

Peace over Violence (POV) is a sexual and domestic violence, stalking, and violence prevention center. POV will provide confidential emergency services, advocacy and support free of charge. The confidential POV rape and battery hotline is 626-793-3385. For more information visit <http://www.peaceoverviolence.org>.

Planned Parenthood is a health clinic for the day after pill, abortion procedures, pregnancy resources, STD treatment, birth control, and family planning (626) 798-0706.
<https://www.plannedparenthood.org/planned-parenthood-pasadena-san-gabriel-valley>

Pasadena Police Department

207 N. Garfield Ave. Pasadena, CA 91101

Call 911 for Emergency Responses

General Contact Number:

(626) 744-4501 Non-Emergency Response:

(626) 744-4241

www.ci.pasadena.ca.us/police

National Resources

These services are available 24 hours a day, 7 days a week. Callers can connect free of charge to the phone hotlines and will be directed to local agencies in their area. Individuals can also connect with trained hotline staff online through a secure chat messaging system.

Phone Hotlines

National Sexual Assault Phone Hotline (RAINN).....1-800-656-HOPE(4673)

National Suicide Prevention Lifeline.....1-800-273-TALK(8255)
(Press 2 for Spanish)

New York City Anti-Violence Project Hotline (LGBTQ community)..... 212-714-1141
(hotline will assist LGBTQ community nationwide- not limited to New York City)

Websites, Text Lines, and Online Hotlines

Crisis Text Line..... text 741741

National Sexual Assault Online Hotline (RAINN):
<http://www.rainn.org/get-help/national-sexual-assault-online-hotline>
Website: <http://www.rainn.org/>

Appendix 4. Email Invitations and Reminders

Survey Invitation and Reminder Messages

Dear _____,

I hope this email finds you well and that you have successfully completed your midterms. I am writing to let you know that Caltech in conjunction with other universities is participating in the national AAU Campus Climate survey on Sexual Assault and Sexual Misconduct. The information gathered in this survey will impact Caltech activities and policies which encourage a healthy, safe and nondiscriminatory environment. In order to maintain confidentiality, the social science research firm Westat is administering the survey. Soon you will receive an email from Westat inviting you to complete the survey.

Every voice counts and we want to hear from you even if you feel you do not have direct experience with these issues. We want to understand your student experience at Caltech. We know your time is valuable, but we hope you can find some time to respond to the survey before March 8, 2019. The Institute will not be able to identify who has completed the survey. While your participation in this survey is completely voluntary, a higher response rate will give us a more holistic and accurate understanding of the student experience.

As an extra incentive, the undergraduate house with the highest percentage completion rate will be rewarded with money to purchase equipment for the house. The division with the highest completion rate by graduate students will be rewarded with a graduate student division party.

Please don't hesitate to contact me or my office if you have any questions. Thanks!

April **Castañeda**

Assistant Vice President for **Equity** & Equity Investigations

_____ **Title IX** Coordinator

Human Resources

626-395-3130



Invitation - 2/18/2019

Subject: Invitation to take part in Campus Climate Survey of Sexual Assault and Sexual Misconduct

Text of email:

TO PROTECT CONFIDENTIALITY, PLEASE DO NOT REPLY TO THIS EMAIL DIRECTLY; THIS ADDRESS IS NOT MONITORED. **If you have questions about the survey or have difficulty accessing it, please send an e-mail to CampusClimateHelp@westat.com or call 1 855-793-5324.**

From: April Castañeda

To: Caltech Student

Please find below the link to the AAU Campus Climate survey on Sexual Assault and Sexual Misconduct. The information gathered in this survey will impact Caltech activities and policies which encourage a healthy, safe and nondiscriminatory environment. Every voice counts and we want to hear from you even if you feel you do not have direct experience with these issues. We want to understand your student experience at Caltech.

We know your time is valuable, but we hope you can find some time to respond to the survey before March 8, 2019. As an extra incentive, the undergraduate house with the highest percentage completion rate will be rewarded with a \$1,000 fund to go toward the purchase of house equipment. The division with the highest completion rate by graduate students will be rewarded with a graduate student division party.

In order to maintain confidentiality, the social science research firm Westat is administering the survey. The Institute will not be able to identify who has completed the survey. While your participation in this survey is completely voluntary, a higher response rate will give us a more holistic and accurate understanding of the student experience.

Share your perspective by clicking on the link below:

[LINK]

Thank you,

April Castañeda

Assistant Vice President for Equity & Equity Investigations

Title IX Coordinator

Reminder 1 - 2/25/2019

Reminder 2 - 2/28/2019

Subject: Reminder to complete the Campus Climate Survey of Sexual Assault and Sexual Misconduct

Text of email:

TO PROTECT CONFIDENTIALITY, PLEASE DO NOT REPLY TO THIS EMAIL DIRECTLY; THIS ADDRESS IS NOT MONITORED. **If you have questions about the survey or have difficulty accessing it, please send an e-mail to CampusClimateHelp@westat.com or call 1 855-793-5324.**

From: April Castañeda

To: Caltech Student

I am writing to remind you to complete the AAU campus climate survey. Due to the confidential nature of the survey, we are unable to identify individual completion. Thank you if you have already responded.

If you have not had a chance to take the survey yet, please do so as soon as possible by clicking on the link below. We know your time is valuable, but we hope you can find some time to respond to the survey before March 8, 2019. Remember, as an extra incentive, the undergraduate house with the highest percentage completion rate will be rewarded with a \$1,000 fund to go toward the purchase of house equipment. The division with the highest completion rate by graduate students will be rewarded with a graduate student division party.

While your participation in this survey is confidential and completely voluntary, a higher response rate will give us a more holistic and accurate understanding of the student experience.

The closing date for the survey is March 8, 2019, so it is important to hear from you as soon as possible.

[LINK]

Thank you,

April Castañeda

Assistant Vice President for Equity & Equity Investigations

Title IX Coordinator

Use the link below to opt out of reminder emails for this survey

[Click here to opt out](#)

Reminder 3 - 3/4/2019

Subject: Reminder to complete the Campus Climate Survey of Sexual Assault and Sexual Misconduct

Text of email:

TO PROTECT CONFIDENTIALITY, PLEASE DO NOT REPLY TO THIS EMAIL DIRECTLY; THIS ADDRESS IS NOT MONITORED. **If you have questions about the survey or have difficulty accessing it, please send an e-mail to CampusClimateHelp@westat.com or call 1 855-793-5324.**

From: April Castañeda

To: Caltech Student

Thank you to those of you who have submitted the survey responses! This message has gone to all students on campus because no identifying information is linked with the survey and we are unable to identify if you have completed the survey. Don't forget there is house equipment for undergraduates and a division party for graduate students at stake!

The closing date for the survey is March 8, 2019, so it is important to hear from you as soon as possible.

[LINK]

Thank you,

April Castañeda

Assistant Vice President for Equity & Equity Investigations

Title IX Coordinator

Use the link below to opt out of reminder emails for this survey

[Click here to opt out](#)

Reminder 4 - 3/11/2019

Reminder 5 - 3/14/2019

Subject: Due date extended: Reminder to complete the Campus Climate Survey of Sexual Assault and Sexual Misconduct

Text of email:

TO PROTECT CONFIDENTIALITY, PLEASE DO NOT REPLY TO THIS EMAIL DIRECTLY; THIS ADDRESS IS NOT MONITORED. **If you have questions about the survey or have difficulty accessing it, please send an e-mail to CampusClimateHelp@westat.com or call 1 855-793-5324.**

*****Due date extended to March 15, 2019*****

From: April Castañeda

To: Caltech Student

I am writing to remind you to complete the AAU campus climate survey. Due to the confidential nature of the survey, we are unable to identify individual completion. Thank you if you have already responded.

If you have not had a chance to take the survey yet, please do so as soon as possible by clicking on the link below. We know your time is valuable, but we hope you can find some time to respond to the survey before March 15, 2019. Remember, as an extra incentive, the undergraduate house with the highest percentage completion rate will be rewarded with a \$1,000 fund to go toward the purchase of house equipment. The division with the highest completion rate by graduate students will be rewarded with a graduate student division party.

While your participation in this survey is confidential and completely voluntary, a higher response rate will give us a more holistic and accurate understanding of the student experience.

The closing date for the survey is March 8, 2019, so it is important to hear from you as soon as possible.

[LINK]

Thank you,

April Castañeda

Assistant Vice President for Equity & Equity Investigations

Title IX Coordinator

Use the link below to opt out of reminder emails for this survey

[Click here to opt out](#)

Appendix 5. Results by Individual Status Code

A5.1 Definition of Completed Survey

We define a completed survey with two criteria: 1) the respondent answered at least one of the questions in each of the following victimization sections: sexual harassment (Section D), stalking (Section E), and sexual assault/other misconduct (Section G); and 2) the respondent took at least five minutes to fill out the survey.

When calculating response rates, we take the following response statuses into consideration:

- **Status 1:** Respondents who did not click on the link to access the Web survey
- **Status 2:** Respondents who clicked on the link to access the Web survey, but did not start the survey
- **Status 3:** Respondents who started the survey, but did not complete the victimization sections, and did not submit the survey
- **Status 4:** Respondents who completed and submitted the survey in less than five minutes
- **Status 5:** Respondents who submitted the survey, completed the survey in five or more minutes or started/submitted the survey on different days, but did not complete the victimization sections
- **Status 6:** Respondents who started the survey, completed the victimization sections, but did not submit the survey
- **Status 7:** Respondents who started the survey, completed the victimization sections, and submitted the survey

Based on the definition on completed survey, cases of Status 6 and 7 are considered as completed, whereas cases of Status 1 to 5 are considered as not completed. Therefore, the response rate is calculated as,

$$\text{Response Rate} = \frac{n_1 + n_2}{N}$$

Where N is the total number of students that received the survey invitation (for those schools that conducted a census, N represents the total number of registered undergraduate and graduate/professional students; for those few schools that did not conduct a census, N represents the total number of registered undergraduate and graduate/professional students that were sampled); n_1 represents the number of students who started the survey, completed the victimization sections, but did not submit the survey; n_2 represents the number of students who started the survey, completed the victimization sections, and submitted the survey.

Table A5.1. Frequency of survey response status for California Institute of Technology

	Status Description	n	%
1	Did not click on link	1,093	50.3%
2	Clicked on link, but did not start	89	4.1%
3	Started, did not submit, did not have enough responses	101	4.7%
4	Submitted, completed in <5 minutes	7	0.3%
5	Submitted, completed \geq 5 minutes or could not measure duration, did not did not have enough responses	4	0.2%
6	Started, not submitted, completed minimum responses	27	1.2%
7	Started, submitted, completed minimum responses	850	39.2%
	Total	2,171	100.0%

A5.2 Drop-out Rates

Students who consented to participate, then entered the survey but did not complete the victimization sections were not counted as a complete for the survey. Similarly, data for those students who completed the survey in less than five minutes were eliminated.

Approximately 11.3 percent of individuals that started the survey did not complete it using the criteria described above ($(112 / 989) = 11.3\%$). Once starting section G (sexual violence), 8 percent of respondents were dropped from the analysis dataset. Of those that did not complete the survey, 67 percent did not answer the first question in the Sexual Harassment section and 92 percent did not answer the first question in the first sexual violence section.

Table A5.2. Survey drop-out rate for California Institute of Technology: Percent Non-Missing Responses for Initial Item in Each Section for Respondents That Started the Survey^{1,2}

Section	Not Complete	Complete	Total
Section A – Background	98%	100%	100%
Section BB – General Perceptions of Campus	61%	100%	96%
Section B – Perceptions of Risk	52%	98%	93%
Section C – Knowledge of Resources	41%	100%	93%
Section D – Sexual Harassment	33%	100%	92%
Section E – Stalking	19%	100%	91%
Section G – SV Screener	8%	100%	89%
Section I – Perceptions of Responses to Reporting	7%	98%	87%
Section J – Bystander Behavior	6%	97%	87%
Submitted	11	850	861
Total Started	112	877	989

¹ Initial questions used by section are: A2, BB1, B1, C2a, D1, E1, G1, H1, I1, J1. Sections F and HH are not included because not all respondents were routed to these sections. Although all respondents answered questions in Section H, they began with H1 or H2 depending on when they enrolled at the school.

² See text for definition of a completed survey.

Appendix 6. Non-response Bias Analysis

Non-response bias is an issue that all surveys have to address. As described in the weighting section, non-response bias occurs when the survey variables are correlated with response propensities. For example, if those that do not respond have different rates of victimization as those that do respond, then the estimates of victimization will be biased because of non-response. The survey weights were obtained from the raking procedure that is intended to adjust for non-response (Section 2.6). This adjustment used characteristics that are related to both non-response and many of the survey outcomes. For example, the adjustment used gender, which is highly related to all types of victimization and response propensity. However, there is still the potential that the estimates are subject to non-response bias if there are other differences between respondents and non-respondents that the adjustment does not account for. For example, if women victims of assault are more likely to participate than women who are not victims, then there is potential for non-response bias even after the weight adjustment by gender.

To evaluate the possibility of bias in the fully weighted estimates, analysis was conducted that assessed bias for the 10 different outcome measures listed in the Table A6-1.

Table A6-1. Ten key variables used in the non-response bias analysis

Variable Number	Variable Description	Name or Description Used in Discussion
1	Indicates whether respondent experienced penetration by physical force or inability to consent or stop what was happening since entering college	Penetration by Physical Force or Inability to Consent
2	Indicates whether respondent experienced sexual touching by physical force or inability to consent or stop what was happening since entering college	Sexual Touching by Physical Force or Inability to Consent
3	Indicates whether respondent experienced penetration or sexual touching without active, ongoing voluntary agreement since entering college	Penetration or Sexual Touching without Ongoing Consent
4	Indicates whether respondent experienced sexual harassment that interfered with their academic or professional performance; limited their ability to participate in an academic program; or created an intimidating, hostile, or offensive social, academic, or work environment since entering college	Harassment
5	Indicates whether respondent experienced at least one incident of stalking by the same person more than once that made them afraid for their personal safety or caused them substantial emotional distress since entering college	Stalking

Table A6-1. Ten key variables used in the non-response bias analysis—continued

Variable Number	Variable Description	Name or Description Used in Discussion
6	Indicates whether respondent in a partnered relationship experienced intimate partner violence since entering college	Intimate Partner Violence
7	Indicates whether respondent is 'very' or 'extremely' knowledgeable about on-campus resources for sexual assault and other sexual misconduct	Knowledge of Resources
8	Indicates whether respondent feels it is 'very' or 'extremely' likely that campus officials will do both of the following in response to a report of sexual assault or other sexual misconduct: take the report seriously and conduct a fair investigation	Perceptions of Response to Reports
9	Indicates whether respondent took some sort of action after noticing someone making inappropriate sexual comments about someone else's appearance, sharing unwanted sexual images, or otherwise acting in a sexual way that they believed was making others feel uncomfortable or offended.	Bystander Behavior
10	Indicates whether sexual assault or other sexual misconduct is perceived as very or extremely problematic at the school	Perception of Problem

One standard method of assessing non-response bias is to assume that the respondents that required the most effort to convince to complete the survey are similar to the nonrespondents. One way to operationalize this idea is to examine the outcomes by when the survey was submitted. Those students who required less time, and fewer reminders, to complete the survey represent a group that required less effort, while those that responded later are those that required more effort. This analysis assumes that those who responded later have more in common with the nonrespondents than those who responded early. If this assumption is true, then a difference in the outcome measures between the early and late responders would be an indication of non-response bias. For this purpose, 'early' responders are defined as the first 60 percent of respondents at the minimum, who submitted their survey. The late responders are the remaining respondents, who submitted later.⁵⁵

The analysis compared the weighted estimates of the 10 key survey outcome variables at the total population and subgroup levels. The subgroups are defined by the categories of the auxiliary variables used in weighting which include gender, age, year in school,⁵⁶ and race/ethnicity (see Table 2 in Section 2.6). There are 18 categories of subgroups in total (2

⁵⁵Because the submission time was calculated in days instead of continuum of time, it was most of time not possible to divide the respondent sample by 60/40 split.

⁵⁶This is the variable that combines Student Affiliation (which indicates whether a student is undergraduate, graduate or professional), Year of Study (for undergraduate students), and Year in Program (for graduate and professional students).

Genders, 4 Age Groups, 7 categories of Year in School, and 5 categories of Race/Ethnicity). Comparisons are also made of subgroups defined by cross-classifications of the gender and student affiliation categories (four finer subgroups: undergraduate men, graduate/professional men, undergraduate women, and graduate/professional women). There were 230 comparisons overall, which corresponds to the sum of 10 population-level comparisons, 180 (= 10 key variables times 18 categories) subgroup-level comparisons, and 40 (= 10 key variables times four finer subgroups) finer subgroup-level comparisons.

Subgroup-level comparisons for the same auxiliary variable were made using the Benjamini-Hochberg multiple testing procedure (Benjamini and Hochberg, 1995)⁵⁷. For example, one t-test was performed to compare the estimate of Penetration by Physical Force or Inability to Consent for men. Another t-test was carried out for women in the same way. These two comparisons were made using the Benjamini-Hochberg procedure with an overall significance level of $\alpha=0.05$. Population-level comparisons were made individually with a 0.05 alpha-value.

Seven (70%) out of 10 population-level comparisons are individually significant at 5 percent – they are Sexual Touching by Physical Force or Inability to Consent, Penetration or Sexual Touching without Ongoing Consent, Harassment, Stalking, Intimate Partner Violence, Knowledge of Resources, Perceptions of Response to Reports. One issue with these comparisons is they do not fully control for differences that are adjusted in the survey weights (e.g., gender and affiliation status). While this analysis uses the weights, it does not control within early and late responder groups. For example, there may be more men who responded later, and comparing the early and late responder groups does not control for this difference. It is more instructive to examine the subgroup differences, which are specific to some of the characteristics that were used in the weighting. Twenty-three (12.78%) out of 180 subgroup comparisons are significant, and 5 (12.5%) out of 40 finer subgroup comparisons are significant.

It is useful to concentrate on the subgroup estimates, as they are used throughout the report and they disaggregate by important variables used in the weighting. Table A6-2 provides the differences for each of these outcomes for the early vs. late responders for the four finer subgroups defined by gender and affiliation status. For example, for male undergraduate students the rate for Sexual Touching by Physical Force or Inability to Consent for late responders is 2.56 percent and for early responders is 2.11 percent. This difference is not statistically significant at the 5 percent level for multiple comparisons with a P-value of 82.8 percent.

⁵⁷Benjamini, Y., & Hochberg, Y. (1995). Controlling the false discovery rate: a practical and powerful approach to multiple testing. *Journal of the Royal Statistical Society, Series B*, 57 (1): 289–300.

Table A6-2. Comparison of early and later responders for finer subgroups (by gender and school affiliation) for 10 key variables (estimates in percent)

Outcome ¹	Gender	Affiliation Status ²	Late Responders	StdErr ³	Early Responders	StdErr ³	Difference	P-value ⁴
1	M	UnderGr	3.10	1.83	0.47	0.39	2.63	17.50
1	M	Grad/Prof	1.04	0.81	1.63	0.93	-0.59	63.21
1	F	UnderGr	4.51	2.06	6.50	1.42	-1.99	43.50
1	F	Grad/Prof	6.45	2.40	5.89	2.22	0.56	86.69
2	M	UnderGr	2.56	1.59	2.11	1.21	0.45	82.80
2	M	Grad/Prof	0.00	0.00	3.58	1.62	-3.58	2.93
2	F	UnderGr	11.03	2.93	10.88	1.92	0.15	96.41
2	F	Grad/Prof	3.36	1.95	3.43	1.61	-0.07	97.88
3	M	UnderGr	1.03	0.83	4.81	1.24	-3.78	1.55*
3	M	Grad/Prof	0.00	0.00	3.12	1.20	-3.12	1.11*
3	F	UnderGr	10.64	2.78	11.31	1.82	-0.67	83.20
3	F	Grad/Prof	5.72	2.53	5.32	1.79	0.40	89.83
4	M	UnderGr	7.63	2.49	13.90	2.10	-6.27	5.55
4	M	Grad/Prof	5.97	1.59	12.58	2.57	-6.61	3.72
4	F	UnderGr	25.56	3.86	27.22	2.82	-1.66	73.86
4	F	Grad/Prof	24.96	4.50	33.69	4.12	-8.73	18.59
5	M	UnderGr	52.56	16.90	36.99	9.25	15.57	41.41
5	M	Grad/Prof	59.72	17.31	0.00	0.00	59.72	0.09*
5	F	UnderGr	52.90	10.68	45.86	7.41	7.04	56.45
5	F	Grad/Prof	71.11	11.07	41.82	13.48	29.29	11.43
6	M	UnderGr	11.53	4.44	8.65	2.54	2.88	58.16
6	M	Grad/Prof	10.51	2.79	5.45	2.11	5.06	10.68
6	F	UnderGr	17.86	4.34	8.58	2.00	9.28	4.51
6	F	Grad/Prof	14.39	4.12	9.76	2.92	4.63	35.25
7	M	UnderGr	44.55	4.26	42.73	3.22	1.82	73.87
7	M	Grad/Prof	35.43	3.76	42.97	3.64	-7.54	15.88
7	F	UnderGr	37.88	4.90	56.15	2.61	-18.27	0.08*
7	F	Grad/Prof	31.55	5.35	51.14	5.53	-19.59	2.43*
8	M	UnderGr	48.15	4.52	45.40	3.21	2.75	60.25
8	M	Grad/Prof	63.73	3.76	56.58	3.87	7.15	19.08
8	F	UnderGr	55.78	4.79	45.19	2.89	10.59	4.69
8	F	Grad/Prof	44.35	5.05	46.86	5.20	-2.51	75.73
9	M	UnderGr	57.24	8.60	65.40	5.26	-8.16	43.40
9	M	Grad/Prof	68.39	10.27	85.81	6.41	-17.42	14.73
9	F	UnderGr	70.88	8.52	74.13	4.33	-3.25	75.50
9	F	Grad/Prof	70.17	9.81	73.73	6.89	-3.56	76.71
10	M	UnderGr	6.67	2.57	5.81	1.43	0.86	77.22
10	M	Grad/Prof	6.58	1.75	7.50	2.04	-0.92	73.32
10	F	UnderGr	8.07	3.32	10.39	1.84	-2.32	55.69
10	F	Grad/Prof	8.83	3.71	15.18	3.37	-6.35	21.25

¹ See Table A6-1 for definitions of outcomes

² UnderGr = Undergraduate; Grad/Prof = Graduate/Professional Student

³ StdErr = Standard Error for the proportion

⁴ A significant result is asterisked (*).

As noted above, 12.5 percent of the differences in Table A6-2 are statistically significant. These results indicate there is some evidence of non-response bias, since the number of significant differences is more than what was expected by chance (i.e., 5 percent). Table A6-3 summarizes the comparisons that are statistically significant and the direction of the bias. A '+' sign indicates there is a positive bias and the estimate is too high. A '-' sign indicates there is a negative bias and the estimate is too low. These differences are described below after the table.

Table A6-3. Direction of non-response bias according to analysis of early and late responders for 10 outcome measures by gender and affiliation status

Outcome Variable	Male		Female	
	U	G/P	U	G/P
1. Penetration by Physical Force or Inability to Consent				
2. Sexual Touching by Physical Force or Inability to Consent				
3. Penetration or Sexual Touching without Ongoing Consent	+	+		
4. Harassment				
5. Stalking		-		
6. Intimate Partner Violence				
7. Knowledge of Resources			+	+
8. Perceptions of Response to Reports				
9. Bystander Behavior				
10. Perception of Problem				

U = Undergraduate, G/P = Graduate or Professional

Of the six outcome measures of sexual assault and sexual misconduct,⁵⁸ three out of the 24 possible finer subgroup comparisons are significant. The outcome measures that are significant are summarized below.

Penetration or Sexual Touching without Ongoing Consent. There are two significant differences. The differences for male undergraduate and male graduate/professional students are negative, indicating the survey estimates are too high.

Stalking. There is one significant difference. The difference for male graduate/professional students is positive, indicating the survey estimate is too low.

⁵⁸Six outcome measures of sexual assault and sexual misconduct include Penetration by Physical Force or Inability to Consent, Sexual Touching by Physical Force or Inability to Consent, Penetration or Sexual Touching without Ongoing Consent, Harassment, Stalking, and Intimate Partner Violence.

Of the four outcome measures of campus climate,⁵⁹ 2 out of the 16 possible finer subgroup comparisons are significant. The outcome measures that are significant are summarized below.

Knowledge of Resources. There are two significant differences. The differences for female undergraduate and female graduate/professional students are negative, indicating the survey estimates are too high.

Overall, this analysis of 40 finer subgroup comparisons indicates there is some evidence that there is bias in selected estimates. The estimates that are possibly affected are for

- Penetration or Sexual Touching without Ongoing Consent
- Stalking
- Knowledge of Resources

This was found for several gender and affiliation groups. The direction of the possible bias is different, depending on the measure that is being discussed.

One caution related to the above analysis is that while this is one of standard methods to evaluate non-response bias, the assumption that those responded late resemble the nonrespondents does not always hold.⁶⁰ Nonetheless, without more direct measures of bias, this type of analysis is one of the few methods to assess non-response bias.

⁵⁹Four outcome measures of campus climate include Knowledge of Resources, Perceptions of Response to Reports, Bystander Behavior, and Perception of Problem.

⁶⁰Lin, I-F., and Schaeffer, N.C. (1995). Using survey participants to estimate the impact of nonparticipation. *Public Opinion Quarterly* 59 (2), 236–58; Olson, K. (2006). Survey participation, non-response bias, measurement error bias and total bias. *Public Opinion Quarterly*, 70(5), 737-758.