INSTRUCTIONS: Complete Research Protocol

- Depending on the nature of what you are doing, some sections may not be applicable to your research. If so, you must provide the reason the section is not applicable for the response. For example, under the Grant Applicability section, many would answer, “This protocol is not funded by a grant or contract.”

- When you write a protocol, keep an electronic copy. You will need to modify this copy when making changes.

- Do not remove the italics instructions or headings.

- If you are pasting information from other documents be sure to use the “Merge Formatting” paste option so that the formatting of the response boxes is not lost. If information is presented outside of the response boxes, it will not be accepted.

- If this study involves multiple participant groups who participate in different research procedures, consent processes, etc., be certain to provide information in each applicable section for each participant group and clearly label each participant group within a section or subsection.


This application should be used only for Interview/Survey research that meets the criteria at 45CFR46.101(b)(2):

Research involving the use of survey (e.g., Interview/Survey) procedures, unless: (i) information obtained is recorded in such a manner that human participants can be identified, (e.g., audio or video tapping) directly or through identifiers linked to the participants; and (ii) any disclosure of the human participants’ responses outside the research could reasonably place the participants at risk of criminal or civil liability or be damaging to the participants’ financial standing, employability, or reputation.
In order to qualify for this exemption, the level of risk to participants may not exceed minimal risk (physical, psychological, social, undue stress and/or invasion of privacy.) Do not use this form if your research involves any activities other than Interviewing/Surveying.

In order to use this form, you must be able to check “YES” to the following statements:

<table>
<thead>
<tr>
<th>Yes ☐ No ☐</th>
<th>1. The level of risk to which participants are exposed in this Interview/Survey does not exceed minimal risk.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Yes ☐ No ☐</td>
<td>2. There are no activities in this research other than the Interview/Survey.</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
<td>3. This Interview/Survey will involve only persons 18 years of age and older.</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
<td>4. The population to be Interviewed/Surveyed is not considered “vulnerable to coercion”.</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
<td>5. Prisoners will not be Interviewed/Surveyed.</td>
</tr>
<tr>
<td>Yes ☐ No ☐</td>
<td>6. Individuals who lack the capacity to provide informed consent (e.g., Alzheimer’s patients, individuals with certain mental disabilities) will not be Interviewed/Surveyed.</td>
</tr>
</tbody>
</table>
PROTOCOL TITLE:

*Include the full protocol title.*

Response: SUNY Sexual Violence Prevention Campus Climate Survey

PRINCIPAL INVESTIGATOR:

*Name*
*Department*
*Telephone Number*
*Email Address*

Response: Co-Principal Investigator Joseph Storch: SUNY System Office of General Counsel, 518-320-1169, joseph.storch@suny.edu

Co-Principal Investigator Leah Wentworth: SUNY System Office of Academic Health and Hospital Affairs, 518-320-1405, leah.wentworth@suny.edu

FACULTY SPONSOR (for student projects):

*Name*
*Department*
*Telephone Number*
*Email Address*

Response: N/A (SUNY System project)

VERSION NUMBER:

*Include the version number of this protocol.*

Response: Version 1

DATE:

*Include the date of submission or revision.*

Response: January 11, 2019
1.0 Objectives

1.1. Describe the purpose and specific aims, for the research. If applicable, state specific hypotheses to be tested.

Per State Education Law §129-B and SUNY Board of Trustees policy, all SUNY campuses are required to administer a Sexual Violence Prevention (SVP) Campus Climate Survey at least every other year. This project is designed to meet that mandate utilizing controls to protect the privacy of survey participants. See [http://system.suny.edu/sexual-violence-prevention-workgroup/policies/campus-climate/](http://system.suny.edu/sexual-violence-prevention-workgroup/policies/campus-climate/) for more detailed information about SUNY’s Campus Climate Assessment Policy.

GOALS AND USE

The goal of the SVP is to evaluate the climate experienced by students and employees at SUNY campuses in regards to sexual violence. Climate assessments afford institutions the opportunity to better understand their campus and to make informed decisions when it comes to providing a safe educational environment.

The survey will address student and employee knowledge about:
- The Title IX Coordinator’s role;
- Campus policies and procedures addressing sexual assault;
- How and where to report sexual violence as a victim/survivor or witness;
- The availability of resources on and off campus, such as counseling, health, academic assistance;
- The prevalence of victimization and perpetration of sexual harassment, sexual assault, domestic violence, dating violence, and stalking on and off campus during a set time period;
- Bystander attitudes and behavior;
- Whether reporting individuals disclosed to the College/University and/or police, and reasons why they did or did not report.
- The general awareness of the difference, if any, between the institution’s policies and the penal law; and
- The general awareness of the definition of affirmative consent.

Individual student and employee participation in the SVP is voluntary and the responses to survey questions are not disclosed or used to make any judgments concerning individuals.
2. **Description of Participants and Recruitment Procedures**

2.1. *Describe the characteristics of the participants in the study. Include the source of the participants and the criteria that define who will be included or excluded in your final study sample.*

Response: There are two primary populations for the surveys. The *student survey* is administered to all students over the age of 18 who are enrolled in at least one class for credit at any SUNY institution. No high school students, regardless of age, will be included in the student population.

The *faculty/staff survey* will be administered to all current faculty and staff at all SUNY institutions, both full and part-time employees.

2.2. *If applicable, describe how individuals will be screened for eligibility.*

Response: Campuses will only provide the email addresses of individuals who meet the above criteria—please note that no one under the age of 18 will receive the survey.

2.3. *Indicate whether you will include non-English speaking individuals. Provide justification if you will exclude non-English speaking individuals.*

*(In order to meet one of the primary ethical principles of equitable selection of participants, non-English speaking individuals may not be routinely excluded from research.)*

*In cases where the research is of therapeutic intent or is designed to investigate areas that would necessarily require certain populations who may not speak English, the researcher is required to make efforts to recruit and include non-English speaking individuals; however, there are studies in which it would be reasonable to limit participants to those who speak English, e.g., pilot studies, small unfunded studies with validated instruments not available in other languages, numerous questionnaires, and some non-therapeutic studies which offer no direct benefit.)*

Response: We are not seeking non-English speaking individuals to complete the 2019 Campus Climate Survey. Because the campus climate survey is designed to understand the experiences of SUNY students, faculty, and staff, and the language of instruction and administration is English at SUNY institutions, we feel this is acceptable. In future administrations, the research team will consider the feasibility of administration in languages other than English.
2.4. **Indicate the total approximate number of participants.**

Response: The survey will be sent to all SUNY students over the age of 18 taking at least one course for credit, so up to 370,000 students will be contacted.

Will be sent to all faculty and staff (both part-time and full-time) at SUNY institutions, so up to 90,000 faculty and staff.

Total study population of up to 460,000, inclusive of all populations.

2.5. **Describe when, where, and how potential participants will be recruited.**

Response: Campuses will first identify the student and faculty/staff pools for survey administration, and send a message to potential participants, alerting them that an email from SUNY is coming. Campuses provide SUNY System with the names and email addresses of students and faculty/staff, with select demographic information for students, like gender and race/ethnicity. Campuses submit this information in a CSV file to suny.edu/survey/svp-upload; the upload link requires permission and is secure. SUNY will send a personalized email message to the students and employees with a link to the survey. Students and employees can complete part of the survey, save their responses and return to complete the rest of the survey later. SUNY will track respondents and send up to three reminder messages to non-respondents.

2.6. **Describe materials that will be used to recruit participants.** *(Attach copies of these documents with the application. For advertisements, attach the final copy of printed advertisements. When advertisements are taped for broadcast, attach the final audio/video tape. You may submit the wording of the advertisement prior to taping to preclude re-taping because of inappropriate wording, provided the HREB reviews the final audio/video tape.)*

Response: Initial and reminder email messages for students are first; initial and reminder emails for faculty/staff are second. See below.

Dear [First Name]:

Below is a link to the SUNY Campus Climate Survey. This survey is intended to gather information about the incidence of sexual and interpersonal violence and knowledge of related policies and resources available on campus. The survey takes about 15 minutes to complete. Your participation is voluntary. You may choose to skip questions, or stop responding at any point.

Your answers are confidential, and will only be reported in terms of groups of students, rather than as individuals. This survey does ask some questions about sexual and interpersonal violence. 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
about what we mean. Information on how to get help, if you need it, appears at the bottom of each page and is available anonymously at any time on the SAVR resource at response.suny.edu.

Students who participate in the 2019 Campus Climate Survey will be eligible to enter a randomized drawing for one of 150 $100 Amazon e-gift cards. After completing the Campus Climate Survey, you will be prompted to enter your name and email address in a separate incentive survey. Your answers to the Campus Climate Survey are not linked in any way to the incentive drawing survey; nothing you report in the Campus Climate Survey will be linked to your personal information and participation in the incentive survey is likewise voluntary. You are not required to answer a certain number of questions, or report specific experiences to be eligible to participate in the incentive survey.

Thank you for your honest feedback and responses. Your participation will help make our campus community a better place to live, work, and learn.

Dear [First Name]:

This is just a reminder that you still have time to complete the SUNY Campus Climate Survey, below. This survey is intended to gather information about the incidence of sexual and interpersonal violence and knowledge of related policies and resources available on campus. The survey takes about 15 minutes to complete. Your participation is voluntary. You may choose to skip questions, or stop responding at any point.

Your answers are confidential, and will only be reported in terms of groups of students, rather than as individuals. This survey does ask some questions about sexual and interpersonal violence. 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 about what we mean. Information on how to get help, if you need it, appears at the bottom of each page and is available anonymously at any time on the SAVR resource at response.suny.edu.

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Thank you for your honest feedback and responses. Your participation will help make our campus community a better place to live, work, and learn.

Dear faculty/staff member:

Below is a link to the SUNY Campus Climate Survey. This survey is intended to gather information about the incidence of sexual and interpersonal violence and knowledge of related policies and resources available on campus. The survey takes about 15 minutes to complete.
Your participation is voluntary. You may choose to skip questions, or stop responding at any point. Your answers are confidential, and will only be reported in terms of groups of employees, rather than as individuals. This survey does ask some questions about sexual and interpersonal violence—both your own experiences, and your experiences with students who have experienced sexual/interpersonal violence. 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 about what we mean. Information on how to get help, if you need it, appears at the bottom of each page and is available anonymously at any time on the SAVR resource at response.suny.edu.

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Thank you for your honest feedback and responses. Your participation will help make our campus community a better place to live, work, and learn.

2.7. Describe any monetary, subject pool credit or other forms of compensation which will be provided to participants and any conditions which must be fulfilled to receive compensation.

Response: SUNY System has $15,000 in incentive funding for student participants. After completing the campus climate survey, participants can choose to enter their name and email address in an entirely separate survey, and winners will be drawn at random by SUNY System to win $100 Amazon gift card codes; there will be a total of 150 incentives distributed. There is no link between the campus climate survey and the incentive survey, so personally identifying information from the incentive survey will not be linked to answers on the
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campus climate survey. Students do not have to complete a certain number of
questions to be eligible for incentives, and do not have to have any specific
experiences or answers to be eligible for incentives.

3. Study Timeline

3.1. Describe the duration of an individual’s participation in the study. Will you be
conducting surveys at two or more time periods? (for example conducting
follow-up surveys).

Response: For faculty/staff, there is only a single survey, which should take
approximately 15 minutes.

For students, there are up to two surveys. After they complete the Campus
Climate Survey, which should take approximately 15 minutes, the landing page at
the end of the Campus Climate Survey will link to an entirely separate survey for
anyone that chooses to enter the incentive random drawing. The incentive survey
will ask for name and email, so that winners can be notified of their incentive
prize.

If you are doing two or more surveys, how will you link them?

Response: For faculty and staff, there is only a single survey. The two surveys for
students (campus climate, incentive drawing) are not linked, intentionally. This
ensures that students’ information on the campus climate survey cannot be linked
to their personal contact information.

4. Procedures

4.1. Describe the methods of Interview/Survey administration in detail. For
example, will you be conducting a web-based survey, an in-person interview,
focus groups, a phone interview, or a paper and pencil survey?

Response: Both the student and faculty/staff climate surveys are online surveys,
sent through email; the email text for recruitment is outlined in question 2.6.
Campuses provide a data file for students and faculty and staff as separate files.
For students, campuses will provide campus identifier, first and last name, student
status (undergraduate or graduate, full or part-time), gender, race/ethnicity, and up
to three email addresses. For faculty/staff, campuses only provide first/last name
and email address. The full survey for both students and faculty/staff is attached;
please note that the survey uses skip logic, so that if a participant reports that
they have not had an experience, they will skip to the next new question.

4.2. Describe the sources of data about participants. Attach all surveys, scripts, and
data collection forms. Be sure to describe if you will be collecting data using
photographs, audiotapes and videotapes.
Response: For students, there are two sources of information. The first is the data file being provided by the campuses, which includes first and last name, email addresses, and a range of demographic information: student status (undergraduate or graduate, full or part-time), gender, and race/ethnicity. The data is submitted to SUNY System administration through a comma delimited file on a secure website. The second source of information is the campus climate survey itself. That includes their responses to survey questions about knowledge and experiences, as well as some demographic information (sexual orientation, affiliation with Greek organizations, athletics, etc.) Please note the personally identifying information given to administer the survey and the answers to the campus climate survey will be de-linked by Institutional Technology after a participant has completed the survey.

For faculty and staff, there are two sources of information. The data file from campuses only includes first and last name and email address. All demographics information is provided through the campus climate survey. Please note the personally identifying information given to administer the survey and the answers to the campus climate survey will be de-linked by Institutional Technology after a participant has completed the survey.

4.3. Document authorization of use or permission to modify a copyrighted instrument, or document access in the public domain of non-copyrighted instruments (if applicable).

Response: N/A

5. Data Analysis & Management

5.1. Describe the final form of the data (i.e. excel spreadsheet with codes, de-identified transcripts, video clips) that you plan to maintain and the steps that will be taken to secure the data (e.g., training, authorization of access, password protection, encryption, physical controls, certificates of confidentiality, and separation of identifiers and data) during storage, use, and dissemination.

Response: SUNY will process the completed surveys for scoring and analysis. SUNY provides campuses a basic report summarizing the responses to each question and prepares various reports from the electronic files for internal use. The internal reports may highlight differences between campuses and sectors, as well as other relevant factors, such as institutional size, location, mission, and student selectivity. Any external disclosures by SUNY will always be in aggregate and include appropriate protections to ensure both respondent and institutional anonymity. SUNY’s policy is to direct external requests for campus-specific information about the campus climate survey to individual campuses.
The data stored at SUNY System will follow best practices for data/information security, including restricted access network folders.

5.2. What information will be included in that data?

Response: Any data reporting will include participant status (faculty/staff or student), as well as demographic information like gender, sexual orientation, race/ethnicity, as long as the numbers are sufficient to protect the privacy of respondents. Reports may also include knowledge of concepts like consent, awareness of resources and reporting protocol, and experiences of sexual violence, to include harassment, stalking, sexual violence, and dating/domestic violence.

5.3. Will participants be identifiable?

Response: No, all information is reported in the aggregate. Any subpopulations (e.g., gender/sexual minorities, international students) will be reported in large enough groupings that no individual student can be identified—generally, sub analysis will be conducted by comparing like institutions to like, rather than using a single institution.

5.4. Who will have access to the data?

Response: Information Technology staff will be responsible for managing the student demographic information uploaded by the campus; the site is secure and requires permission for a campus to upload the information. IT is also responsible for de-linking the personally identifiable information and answers to the Campus Climate Survey. Once de-linked, that information cannot be reconnected. De-identified data (no email addresses or names; demographic information intact) for students, faculty, and staff will be available to the Principal Investigators, Information Technology staff, and Institutional Research staff after participants have taken the Campus Climate Survey. The research team will use best practices for uploading, storing, and analyzing data to ensure the minimum number of people possible have access to personally identifying information.

5.5. Describe the ways in which the data will be analyzed. For example, for a quantitative study, a description of any statistics should be provided. For a qualitative study, a description of the methods of data generation/process of analysis such as coding themes or heuristic engagement with the material, such as journaling and field notes, should be provided.
Response: SUNY will process the completed surveys for reporting purposes. SUNY provides campuses a basic report summarizing the responses to each question and prepares various reports from the electronic files for internal use and for such system-wide initiatives as the Campus Climate Assessment Policy. The internal reports may highlight differences between campuses and sectors, as well as other relevant factors, such as institutional size, location, and mission. Any external disclosures by SUNY will be in aggregate and include appropriate protections to ensure respondent anonymity. SUNY will, to the best of its ability, direct external requests for information about specific campus results in the SVP to individual campuses.

6. Risks to Participants

6.1. List the reasonably foreseeable risks, discomforts, hazards, or inconveniences to the participants related the participants’ participation in the research. Include, as may be useful for the HREB’s consideration, a description of the probability, magnitude, duration, and reversibility of the risks. Consider physical, psychological, social, legal, and economic risks. Please note that no study is considered “no risk.” Minimal risk is defined as risk not greater than that encountered in everyday life.

Response: We expect this study to be minimal risk for participants. The research team will use best practices when publishing information, so that no individual can be identified by their reported experience/s. The research team is using best practices for uploading, storing and accessing the data, requiring permission to upload information, and minimizing personnel with access to information. Student demographic information from campuses is submitted through a secure website, and as soon as a participant has completed the survey, personally identifiable information (like name and email) and answers to the campus climate survey will be de-linked. We recognize that sexual and interpersonal violence can be an emotional topic for students, faculty, and staff. It is possible that a survivor of sexual/interpersonal violence may be triggered by participating, and we have included resources on each page of the survey so that a student, faculty or staff member can seek local, appropriate assistance if they choose. The SAVR on each page is searchable by zip code, includes on and off-campus resources, and includes resources that would be appropriate for both students and faculty and staff. We have also set up an email specific to this survey, Climate.Survey@suny.edu, so that students, faculty, and staff can report considerations and concerns about the survey and the survey process.
7. Potential Benefits

7.1. Describe the anticipated benefits to participants, society and/or others. (There must be some benefit described)

Response: The SUNY System is the largest comprehensive university system in the country. The answers to this survey will be instructive in understanding the burden of sexual/interpersonal violence on college students. This project will also be foundational in describing how college faculty and staff understand and respond to issues of sexual and interpersonal violence, and may inform improvements in prevention and response programming for sexual and interpersonal violence.

8. External Approvals

8.1. Describe any approvals that will be obtained prior to commencing the research, e.g., school or external sites. Note: If this is an external agency or organization, a letter of cooperation from the highest ranking official is necessary to be submitted directly to the H.R.E.B. Office either on letterhead or their work place e-mail; after pending approval of the proposal is received.

Response: N/A—research team is internal.