

SUPPORTING STATEMENT - PART A

SAPR/SHARP Survey – 0704-0608

1. Need for the Information Collection

NORC has been contracted by the Department of Defense Sexual Assault Prevention and Response Office (DoD SAPRO) to conduct training/program evaluations for the Innovations in Sexual Assault Prevention Pilot Program (ISAPPP). As part of ISAPPP, NORC, in collaboration with the United States Naval Academy (USNA) and the United States Military Academy (USMA), is conducting the SAPR/SHARP surveys (a baseline survey and one follow-up survey) with USNA students (midshipmen) and USMA students (cadets) for the purpose of program evaluation. The results will be used by the Service Academies to evaluate and update their prevention programming.

2. Use of the Information

The purpose of the overall evaluation is to determine the effectiveness of military academy prevention programming in addressing sexual harassment (SH) and sexual assault (SA). Respondents are midshipmen in USNA class of 2023 and class of 2025, and cadets in USMA class of 2023 and class of 2025. Respondents will complete the web-based baseline (summer 2021) and a follow-up (spring 2023) survey on SH and SA because USNA and USMA are interested in learning whether their sexual assault prevention and response (SAPR) and sexual harassment and assault response and prevention (SHARP), respectively, programming is effective at ameliorating SH and SA events and promoting active bystander behaviors.

This survey data collection is anonymous. At both baseline and follow-up survey administrations, midshipmen and cadets who consent to participate will be advanced to a secure survey webpage to answer four questions that are durable personal information (i.e., not personally identifying, but memorable to facilitate exact replication at the follow-up survey, creating components of a “self-generated unique ID” [SGID]). NORC will program an algorithm (known to a limited subset of NORC programmers on this project who will not be involved in analyzing the survey data) to scramble the 10 letters/digits of the response data to create a unique 10-digit SGID. Thus, respondents will not know their own SGID; they will not need to remember an SGID; and they will not be able to risk a breach of respondent identity by having it written down somewhere for someone to find. However, by answering the same way to the same four questions at the follow-up survey, the same SGIDs will be generated. These SGIDs will link the baseline and follow-up responses while maintaining the anonymity of participants. We are following industry best practices and believe this is the strongest SGID protocol to date to protect individual anonymity in longitudinal research, both in terms of length of the ID and the additional algorithm that will be secured separately from the survey response data set. Further, the demographic questions asked on the survey have been carefully curated to minimize the risk of deductive disclosures. The survey will be programmed to collapse demographic response

categories before saving the raw data, such that no cell contains fewer than five (5) unique individuals. NORC will also conduct a disclosure analysis before data delivery to the respective academies to ensure that the anonymity of the data collection is protected.

Because the survey is web-based, submission of the anonymous online survey completes the data collection process. The data input by the respondent to the anonymous, online web survey is stored in a secure server once the respondents elect to submit their completed responses. The submitted anonymous survey data will be programmed to save SGID responses into one confidential data file not accessible to the research team, and the substantive survey responses into another confidential data file for analyses by the research team.

Recruitment to the program evaluation survey will be conducted slightly differently at USNA and USMA, for the classes of 2023 (juniors at the respective service academies, as of the summer of 2021) and 2025 (first year students/freshmen as of the summer 2021). The USNA class of 2025 will follow directions during the standard Freshman Summer schedule to proceed to a computer classroom with adequate spacing for privacy and either navigate to the survey link if they choose to participate in the survey or to an online Department of Navy SAPR regulations link for an alternative activity; these instructions are part of the USNA SAPR staff responsibilities and are not administered by NORC.

There are no overt direct benefits to the respondents who complete the survey. However, benefits may accrue to those who have not been victims of SH and SA by encouraging them to be more active bystanders and benefits may accrue for those who have been victims of SH and SA because it may provide a safe, anonymous avenue to share their story. Indirect benefits accrue to the USNA SAPR staff and the USMA SHARP staff which can use the results to improve upon their prevention programming, thus supporting safer, more inclusive academy settings. Further, midshipmen and cadets may benefit through the improvement of SAPR and SHARP programming to prevent SH and SA at the respective academies. The military and society at large will also benefit because military officers will be more knowledgeable about SH and SA and will be better able to intervene to prevent and to act in ways that stop SH and SA.

3. Use of Information Technology

One hundred percent (100%) of survey responses will be collected electronically. The survey is web-based and all respondents will be provided an anonymous survey link.

4. Non-duplication

The information obtained through this collection is unique and is not already available for use or adaptation from another cleared source.

5. Burden on Small Businesses

This information collection does not impose a significant economic impact on a substantial number of small businesses or entities.

6. Less Frequent Collection

Data collection will occur twice for each respondent; once in summer 2021 and once in spring 2023. Two data points are necessary to identify change over time. Surveys are administered prior to the intervention and again in the spring of the following academic year, after experiencing half of the intervention. Respondents will be recruited from the class of 2025 and the class of 2023 in order to provide coverage across the entire 4-year program experience at the respective academies. Without a follow-up data collection at both academies, we will be unable to assess the outcomes associated with the prevention programming. In other words, given the need to identify change over time, two surveys (pre/post) is the least number of surveys possible.

7. Paperwork Reduction Act Guidelines

This collection of information does not require collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

Part A: PUBLIC NOTICE

A 60-Day Federal Register Notice (FRN) for the collection published on Friday, July 23, 2021. The 60-Day FRN citation is 86 FR 39010 FRN 39010-39011.

No comments were received during the 60-Day Comment Period.

A 30-Day Federal Register Notice for the collection published on Tuesday, November 23, 2021. The 30-Day FRN citation is 86 FR 66542 FRN 66542.

Part B: CONSULTATION

NORC at the University of Chicago has been contracted by DOD SAPRO to provide program evaluation services. The NORC team has continued to consult with DOD SAPRO, USNA SAPR, USNA Leadership, USMA SHARP, and USMA Leadership on program information. A small sample of volunteer midshipmen participated in cognitive interviews to assure that the recruitment and survey language is understandable and acceptable to the target population of academy students in the classes of 2023 and 2025. Additionally, the NORC team regularly consults with a small panel of consultants which includes experts in the fields of SH and SA prevention, both within and outside the military context.

9. Gifts or Payment

Respondents will be offered tokens of appreciation for survey participation based upon the guidance of the respective military academy leadership. Tokens of appreciation have been

tailored to local context and geared to specific classes based on feedback from Academy personnel and students. Specifically:

Participants from the USNA class of 2025 will not receive an incentive during the baseline administration, consistent with past years of internal surveys conducted with USNA incoming first year students. For the baseline survey, participants from the USNA class of 2023 will receive a \$10 gift code to USNA campus stores and coffee shops. For the follow-up survey in the spring of 2023, participants from both USNA classes (2023, 2025) will receive a \$15 gift code to USNA campus stores and coffee shops.

Participants in the baseline survey from the USMA class of 2025 and the USMA class of 2023 will receive one “PMI” (which stands for PM Inspection), a relief of morning duty time. For the follow-up survey in the spring of 2023, participants from both USMA classes (2023, 2025) will receive two PMIs. (Notably, NORC IRB and USMA HRPP have approved two alternative token of appreciation plans for the USMA participants: (1) that USMA cadets’ tokens of appreciation for participation would match the USNA plan; (2) that there would be no tokens of appreciation for USMA cadets’ participation. However, at this time USMA leadership plans for NORC to implement the “PMI” token of appreciation plan.)

DoD’s Office of General Counsel (OGC) noted no legal objections to the use of tokens of appreciation, and the leadership at USNA and USMA have reviewed and approved these token of appreciation structures.

10. Confidentiality

The collection instrument does not require a Privacy Act Statement because the instrument is administered anonymously. There is no way to link participants’ responses to their identities.

A System of Record Notice (SORN) is not required for this collection because records are not retrievable by PII.

A Privacy Impact Assessment (PIA) is not required for this collection because PII is not being collected electronically. Only a single data point, respondent duty email addresses, will be collected. This single data point is not considered PII and survey responses are anonymous.

Anonymous records will be retained during analysis and data will be reported in aggregate to DOD SAPRO. At the time of the study’s close, anonymous records will be returned to their respective academy and all data housed at NORC at the University of Chicago will be destroyed following protocols consistent with federal guidelines.

11. Sensitive Questions

This data collection includes sensitive questions. The survey questions are drawn from existing, validated instruments or have been developed in close consultation with the stakeholders in this program evaluation study, and with input from NORC's experts and our small panel of experts in this field. These questions have also been cognitively tested with a small sample of volunteer USNA midshipmen to assure that the recruitment and survey language is understandable and acceptable to the target population of academy students in the classes of 2023 and 2025. The survey assesses topics such as rape myth acceptance, descriptive behavioral norms at the respective academies, experiences of SH and SA, alcohol-related sex expectancies, exposures as a witness to situations that might call for bystander intervention to prevent SH and/or SA, and personal responses when exposed to these situations. The measurement of these outcomes in the baseline and follow-up surveys at each academy is necessary to evaluate the impact of the SH and SA prevention programming being conducted at USNA and USMA. The survey instrument also includes questions about respondents' sex, sexual orientation, race/ethnicity, and varsity athletic participation; these sociodemographic responses are programmed to be recoded as binary indicators before the research team sees the data to prevent anyone from figuring out an individual participant's identity based on unique characteristics.

12. Respondent Burden and its Labor Costs

Part A: ESTIMATION OF RESPONDENT BURDEN

1) Collection Instrument(s)

SAPR/SHARP Survey Baseline

- a) Number of Respondents: 4,400
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 1
- d) Response Time: 15 minutes
- e) Respondent Burden Hours: 1,100 hours

SAPR/SHARP Survey Follow-up

- a) Number of Respondents: 4,400
- b) Number of Responses Per Respondent: 1
- c) Number of Total Annual Responses: 1
- d) Response Time: 15 minutes
- e) Respondent Burden Hours: 1,100 hours

2) Total Submission Burden (Summation)

- a) Total Number of Respondents: 4,400
- b) Total Number of Annual Responses: 8,800
- c) Total Respondent Burden Hours: 2,200 hours

Part B: LABOR COST OF RESPONDENT BURDEN

1) Collection Instrument(s)

SAPR/SHARP Survey Baseline

- a) Number of Total Annual Responses: 4400
- b) Response Time: 15 minutes
- c) Respondent Hourly Wage: \$7.41
- d) Labor Burden per Response: \$1.85
- e) Total Labor Burden: \$8,140

SAPR/SHARP Survey Follow-up

- a) Number of Total Annual Responses: 4400
- b) Response Time: 15 minutes
- c) Respondent Hourly Wage: \$7.41
- d) Labor Burden per Response: \$1.85
- e) Total Labor Burden: \$8,140

2) Overall Labor Burden

- a) Total Number of Annual Responses: 2
- b) Total Labor Burden: \$16,280

Military service academies pay their students monthly stipends. The above labor cost of respondent burden is calculated based on the following source (<https://militarypay.defense.gov/Portals/3/Documents/2021%20Pay%20Table%203%20percent%20-%20FINAL.pdf>) which indicates that a cadet at the United States Military Academy, the United States Air Force Academy, or the Coast Guard Academy, or a midshipman at the United States Naval Academy, is entitled to monthly cadet pay, or midshipman pay, at the monthly rate equal to 35 percent of the basic pay of a commissioned officer in the pay grade O-1 with less than two years of service. This calculation assumes a 40-hour work week at this rate of pay.

13. Respondent Costs Other Than Burden Hour Costs

There are no annualized costs to respondents other than the labor burden costs addressed in Section 12 of this document to complete this collection.

14. Cost to the Federal Government

Part A: LABOR COST TO THE FEDERAL GOVERNMENT

1) Collection Instrument(s)

SAPR/SHARP Survey Baseline

- a) Number of Total Annual Responses: 4,400
- b) Processing Time per Response: 0.5 hours (30 minutes)
- c) Hourly Wage of Worker(s) Processing Responses: \$138.21
- d) Cost to Process Each Response: \$69.73
- e) Total Cost to Process Responses: \$306,831.00

SAPR/SHARP Survey Follow-up

- a) Number of Total Annual Responses: 4,400

- b) Processing Time per Response: 0.5 hours (30 minutes)
 - c) Hourly Wage of Worker(s) Processing Responses: \$140.97
 - d) Cost to Process Each Response: \$71.13
 - e) Total Cost to Process Responses: \$312,967.62
- 2) Overall Labor Burden to the Federal Government
 - a) Total Number of Annual Responses: 8,800
 - b) Total Labor Burden: \$619,798.62

Part B: OPERATIONAL AND MAINTENANCE COSTS

- 1) Cost Categories
 - a) Equipment: \$0
 - b) Printing: \$0
 - c) Postage: \$0
 - d) Software Purchases: \$0
 - e) Licensing Costs: \$0
 - f) Other: \$27,798.47
- 2) Total Operational and Maintenance Cost: \$27,798.47

Part C: TOTAL COST TO THE FEDERAL GOVERNMENT

- 1) Total Labor Cost to the Federal Government: \$619,798.62
- 2) Total Operational and Maintenance Costs: \$27,798.47
- 3) Total Cost to the Federal Government: \$647,597.09

15. Reasons for Change in Burden

There has been no change in burden since the last approval.

16. Publication of Results

The results will be reported internally for DoD use first and then reviewed for potential publication, pending concurrence between DoD SAPRO, USNA and USMA.

17. Non-Display of OMB Expiration Date

We are not seeking approval to omit the display of the expiration date of the OMB approval on the collection instrument.

18. Exceptions to "Certification for Paperwork Reduction Submissions"

We are not requesting any exemptions to the provisions stated in 5 CFR 1320.9.