

Supporting Statement – Part A

**Emergency Request for Approval of an Information Collection for Office of Polar Programs (OPP) United States Antarctic Program (USAP) Sexual Assault and Harassment Prevention and Response (SAHPR) Data Collection Plan**

OMB No. 3145-XXXX

**A. JUSTIFICATION**

In accordance with requirements of the Paperwork Reduction Act of 1995, the National Science Foundation is requesting an emergency approval. Under the provisions of 44 U.S.C. 3507(j) (1), permits an agency head to request OMB issue an expedited clearance of a collection of information if it is needed sooner than the expiration of usual processing times, provided that it is essential to the mission of the agency, and the use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is reasonably likely to cause a statutory or court-ordered deadline to be missed.

**Project:** National Science Foundation, Office of Polar Programs, US Antarctic Program (USAP) Sexual Assault/Harassment Prevention and Response (SAHPR) Program

The purpose of this collection is to gather data to support the Sexual Assault and Harassment Prevention and Response (SAHPR) Needs Assessment, Implementation Plan, and Training Material for the U.S. Antarctic Program (USAP). NSF is requesting emergency approval for this collection to maintain the SAHPR Program Implementation timeline to begin to implement recommendations before the 2021/2022 austral summer, and honor our commitment to the research and support community to provide a safe and equitable workplace.

This single request will serve as an overall request for approval for two information collections as a part of the Needs Assessment: online survey and virtual focus groups. NSF, through and Interagency Agreement with the Department of Interior, has contracted with Leading and Dynamic Services and Solutions (LDSS) to manage the project. Subject matter experts (SMEs) in sexual assault and harassment prevention and response were subcontracted from Alteristic, Inc. and the Victim Rights Law Center (VRLC), respectively to fulfill the objectives of the SAHPR implementation planning process. The experts from Alteristic and VRLC will lead the collection of information in this request and will be referred to as SMEs throughout this document.

- 1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.**

**A.1. Data Collection Purpose**

The data collected during the Needs Assessment will inform the creation of a SAHPR program for USAP participants that can be implemented across OPP and partner organizations, and that

supports the program's four objectives of Community, Prevention, Response, and Accountability. The data collection will result in gathering the information necessary to inform the following project deliverables:

- SAHPR Needs Assessment Report
- SAHPR Implementation Plan
- SAHPR Training Materials

There are two types of information collections planned for this request: (1) survey of participants from the USAP over the past three calendar years and (2) focus groups composed of specific sub-populations of USAP participants.

The information collected will explore the current experiences of all USAP participants. USAP participants are defined as "all persons working or visiting at a USAP or an NSF managed station, field camp, other facility, ship, or aircraft. This includes, but is not limited to, researchers, students, contractors, federal civilian and military personnel." USAP participants will also be referred to as community members on the ice in this request.

The resulting Needs Assessment Report and SAHPR Implementation Plan will identify gaps and provide recommendations that can be addressed by OPP. The recommendations included in the SAHPR Implementation Plan will be informed by sexual assault and sexual harassment prevention and response research and best practice, balanced with realistic and feasible recommendations ascertained from the Needs Assessment findings. All elements of the SAHPR Implementation Plan are intended to be manageable for non-experts to implement and oversee and applied specifically within the unique contexts and culture of USAP participants.

### **Needs Assessment Focus Areas**

In order to develop a realistic and feasible SAHPR Implementation Plan, data collection will focus on understanding the current OPP capacity to effectively implement prevention and response-related activities in the following areas:

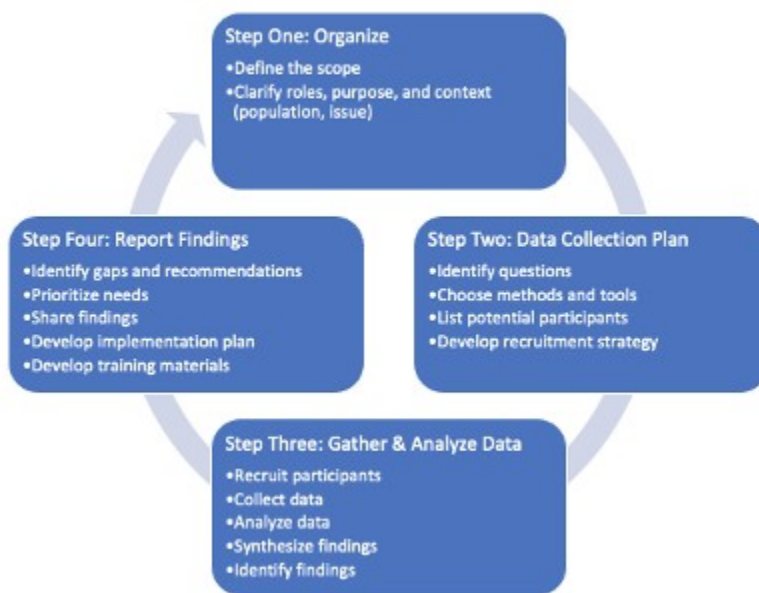
- **Infrastructure and Resources:** The structural systems necessary to support sexual assault and harassment prevention programming, response policies, reporting mechanisms, and critical resources like funding, training, organizational capacity, time allocation, leadership support, access to target populations, and the ability to develop, access and/or deliver culturally responsive, evidence-based prevention training and activities.
- **Prevention and Response Staffing:** The human resources necessary to implement sexual assault and harassment prevention programming and response protocols and policies successfully and with attention to fidelity.
- **Relationships:** The collaborative relationships between OPP and partner organizations that can contribute to the safety and well-being of all community members. This also includes the organizational and community culture on the ice, and the formal and informal interactions between USAP participants.

**2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.**

## A.2. Information Use

Subject matter experts (hereinafter “SMEs”) will utilize a well-established framework for conducting the Needs Assessment, as outlined in Figure 1 (CDC, 2013).

**Figure 1. Needs Assessment Framework**



### **Response Expertise**

The Victim Rights Law Center (VRLC) is contracted to provide subject matter expertise regarding reporting protocols, policies, and other response related activities on the ice. The VRLC is a non-profit, legal aid provider dedicated to providing civil legal remedies to victims of sexual violence. The VRLC’s attorneys are national experts in understanding systemic response to sexual misconduct and have provided technical assistance to the Department of Justice Office on Violence Against Women in a wide-ranging number of legal areas including privacy, campus sexual assault response, sexual assault and homelessness, and many others for over a decade. As a contracted SME, the VRLC will review all data collected and lead all discussions regarding perceptions of the current reporting and disciplinary policies within the USAP community.

### **Response Purpose:**

Survey and focus groups will provide critical information in assessing current processes and what training is needed within OPP to implement changes to reporting protocols, policies, and whether oversight of disciplinary actions is needed. The survey and focus groups will provide insight into:

- Perceptions (and information) regarding incidences of, and response to, sexual harassment and sexual assault on the ice,

- Cultural insight into connections between major groups (i.e. military, contractor, and grantee), differences between stations, and specific challenges and opportunities present in the intersections of these groups and locations,
- Perceptions of leadership support and resources available to community members on the ice,
- Understanding of current reporting procedures and their ability to meet the needs of victims of sexual harassment and sexual assault within the community, and
- Participants' ideas and recommendations to improve response to sexual assault and harassment.

### **Prevention Expertise**

Alteristic is a non-profit organization committed to the prevention of sexual assault, harassment, and other forms of harm in workplaces, communities, and educational institutions. Alteristic's prevention experts have years of experience developing evidence-based prevention strategies, providing consultation, training, prevention capacity building, and in-person (when conditions allow), virtual, and e-learning programs.

### **Prevention Purpose:**

To determine the best approach to a prevention strategy on the ice, survey and focus group questions will focus on understanding the current state of behaviors relating to sexual assault and harassment, perceptions of leadership accountability relating to the issues, bystander behaviors, community norms relating to the response and prevention of sexual assault and harassment, and the capacity within OPP to implement a prevention plan that includes the following five key elements.

- **Training and Activities:** Prevention training and activities should be evidence-based and/or research-informed, implemented across various levels of authority and influence, culturally responsive, appropriately tailored to ensure relevance for target populations, and delivered in an engaging way.
- **Sufficient Dosage:** USAP participants need to be exposed to enough prevention training and activities to have an effect. Dosage can be measured in the quantity and quality of prevention programming employees experience. In addition to initial exposure to prevention training or activities, effective prevention programs should include some type of refresher or follow-up sessions to support the durability of program impact and to reinforce new skills and behaviors over time (Nation et al., 2003).
- **Policies:** Policies relating to sexual assault and harassment prevention should be proactive, effectively communicated, and consistent with an anti-violence/anti-harassment stance. Relevant policies should support an environment that is safe and respectful for all USAP participants.
- **Evaluation:** All prevention training and activities should be evaluated. An appropriate program evaluation plan should result in a detailed, descriptive, and nuanced understanding of the fidelity, reception, and impact of prevention training and activities. Evaluation findings can be used to inform leadership and make program improvements.
- **Sustainability:** Prevention programs should include a strategic plan that allows for the maintenance of prevention training and activities through staff and leadership turnover, advances in prevention research, and evolving social norms.

There are two types of information collections planned for this request:

1. **Online Survey.** The survey will collect information about organizational and community culture on the ice, perceptions of the issues of sexual assault and harassment, perceptions of leadership support, and the formal and informal interactions between USAP participants on the ice. The surveys will enable the data analysis effort to explore the differences in experience across a diversity of demographics. Unlike focus groups, surveys allow respondents to provide their perceptions anonymously, without the fear of possible repercussion. Given the nature of the power dynamic involved in sexual harassment and sexual assault, providing an option for those USAP community members who wish to participate without identifying themselves is important. The survey will be conducted via Survey Monkey and will not collect any personally identifiable information. The questions will be developed by professionals and will represent best practices for similar efforts. The target audience will be USAP participants who have deployed to Antarctica within the previous three years.
  
2. **Virtual Focus Groups.** The focus groups will be used to ascertain an understanding of organizational and community culture on the ice, perceptions of the issues of sexual assault and harassment, bystander behaviors, perceptions of leadership support, unique needs of the community, and the formal and informal interactions between USAP participants on the ice. The focus groups will be facilitated by the contracted SME's and will follow a prescribed script. The groups will be composed of USAP participants selected for specific groups based on organization, deployment type, work schedule, and unique location. Focus groups will be facilitated virtually on an accessible online platform like Zoom.

Focus group sub-populations were selected based on the unique experiences of USAP participants based on location, job role, level of influence, and demographic identifiers. Each USAP station has its own unique characteristics and culture. Conditions can vary by population, location, season, access to resources, access to transportation, close quarters, and group dynamics. Generally, sexual assault and harassment are behaviors where there is a power dynamic that ensures the victim - who typically has less power than the perpetrator - is afraid to report or for bystanders to intervene. To ensure that future prevention, training, and response protocols meet the needs of those less powerful, some focus group sub-populations are focused on those USAP participants with less social and formal influence. The data collected will provide key information to inform new programs, policies, and practices that meet every USAP participant's needs.

For additional information about the target sub-populations, demographics, and purpose for each focus group, refer to Table A.2. below.

**Table A.2. Virtual Focus Group Demographics and Purpose**

Sub-Population	Demographics	Purpose
<b>1. South Pole</b>	A mix of USAP participants who have worked at the South Pole station for a minimum	This focus group will capture the unique perceptions of non-supervisors/management employees

Sub-Population	Demographics	Purpose
	stay of two weeks. Includes Antarctic Support Contract (ASC) (prime and subs), grantees, and federal employees (NSF, NOAA, etc.), with a focus on individuals lower in the organizational hierarchy.	regarding recent employment conditions at the South Pole Station.
<b>2. Palmer Station</b>	A mix of USAP participants who have worked at the Palmer station for a minimum stay of one month. Includes ASC (prime and subs), grantees, federal employees, etc., with a focus on individuals lower in the organizational hierarchy.	This focus group will capture the unique perceptions of non-supervisors/management employees regarding recent employment conditions at the Palmer Station.
<b>3. Research Vessels</b>	A mix of USAP participants who voyaged aboard the NBP and LMG research vessels. Includes ASC (prime and subs including vessel crew), grantees, federal employees, etc., with a focus on individuals lower in the organizational hierarchy.	This focus group will capture the unique perceptions of non-supervisors/management employees regarding recent employment conditions on research vessels.
<b>4. Department of Defense (DoD)</b>	A mix of USAP participants from DoD agencies at any USAP location, military and civilian. Includes Air Force, Navy, and Air National Guard. A diverse cross-section of military personnel; with a focus on lower to mid-level.	Those deployed from the military to Antarctica, whether it be on any station or research vessel, bring their own culture and experiences to the ice. Additionally, the military has its own well-established prevention and reporting structures that must intersect with USAP protocols. To ensure that future prevention, training, and response protocols for USAP members do not conflict with the military processes, as well as acknowledge the needs of those less powerful military members, this focus group will capture perceptions regarding conditions on the ice while in the military.
<b>5. McMurdo: Seasonal</b>	A mix of ASC participants contracted to work as seasonal employees at McMurdo	This focus group will be important to understand the experiences of USAP participants during both seasons, but

Sub-Population	Demographics	Purpose
	Station for a minimum stay of one month over the austral summer, winter, or both. No full-time-employees: ASC contracted only. Focus on non-supervisors, galley staff.	especially the summer season, when McMurdo Station can have over 1,000 employees deployed. It is important to capture the perceptions of the largest group at McMurdo - contract employees. This focus group will capture perceptions of non-full-time employees in mid-to-lower-level positions regarding recent employment conditions at the McMurdo Station who have spent some of the summer or winter season as a part-time employee.
<b>6. McMurdo: Seasonal Women</b>	ASC women participants contracted to work as a seasonal employee at McMurdo for a minimum stay of one month over the austral summer, winter, or both. No full-time-employees: ASC contracted only. No men. Focus on non-supervisors, galley staff.	This focus group will include only part-time, female contract employees who make up the over 1,000 employees deployed at McMurdo Station in the summer or winter seasons. A woman-only focus group will allow female-identified respondents to feel comfortable and safe discussing the issues with others who may have similar experiences and perspectives.
<b>7. McMurdo: Full Time Employees</b>	A mix of ASC participants employed full time by Leidos ASC or one of its subcontractors who deployed to McMurdo for a minimum stay of one week. No supervisors.	Full-time employees may not face the same concerns as a part-time employee who fears losing their job due a report. This focus group will work to understand the perceptions of full-time employees who may provide training, interact with complainants, and see patterns over time that a seasonal employee would not be aware of.
<b>8. McMurdo: Full Time Supervisors</b>	A mix of ASC participants employed full time by Leidos ASC or one of its subcontractors who deployed to McMurdo for a minimum stay of one week. Supervisors only.	Full-time supervisors will likely be involved in providing training, overseeing complaints, and implementing protocols. This focus group will work to understand the perceptions of full-time supervisors who may see patterns over time that a seasonal, or mid-to-lower-level employee would not be aware of.
<b>9. McMurdo: Grantees</b>	A mix of USAP grantees who deployed to McMurdo – minimum stay of one month. Includes any private citizen deploying under an NSF grant	For those deployed to McMurdo Station as part of a grant from an institution of higher education, the working relationships and connection to other groups (i.e. contractor or

Sub-Population	Demographics	Purpose
	or any individual deploying as part of a partner agency’s scientific endeavor. Includes NASA and NOAA and individuals contracted by a grantee or institution. Focus on graduate and undergraduate students.	military) at McMurdo can be different. This focus group will capture the perceptions of graduate and undergraduate students working on these grants, including the power dynamics on-and-off the ice that could influence behavior.
<b>10. McMurdo: Grantee Women</b>	USAP women grantees who deployed to or through McMurdo. Includes any woman deploying under an NSF grant or any individual deploying as part of a partner agency’s scientific endeavor. Includes NASA and NOAA and individuals contracted by a grantee or institution. Includes graduate and undergraduate students, female PIs.	While not exclusive, sexual harassment and sexual assault victims are disproportionately women. A woman-only focus group will allow female-identified respondents to feel comfortable and safe discussing the issues with others who may have similar experiences and perspectives. This focus group will capture the perceptions of female-identified grantees, including the power dynamics on-and-off the ice that could influence behavior.
<b>11. Near Field</b>	A mix of USAP participants who work at near field sites such as the Dry Valleys, LDB, etc. Work within a helo-ride of McMurdo. Includes ASC (prime and subs), grantees, federal employees. Includes graduate and undergraduate students.	Similar to other stations, near field research sites bring their own safety and employment concerns. Near field research camps within a helo-ride of McMurdo Station are both logistically and culturally different from any station (i.e., very small group, inability to physically distance from other employees). It is important to collect information from the unique environments of near field research sites.
<b>12. Deep Field</b>	A mix of USAP participants who work at deep field sites such as Thwaits. Work within a plane-ride or traverse from McMurdo or South Pole. Includes ASC (prime and subs), grantees, federal employees. Includes graduate and undergraduate students.	Similar to other stations, deep field research sites bring their own safety and employment concerns. Deep field research camps are both logistically and culturally different from any station (i.e., inability to get out quickly, inability to physically distance from other employees). It is important to collect information from the unique environments of near field research sites.
<b>13. Ice Allies</b>	USAP participants who	USAP participants have created a



Sub-Population	Demographics	Purpose
	identify as a member of the Ice Allies group, who formed to hold leadership accountable to on-ice sexual harassment, sexual assault, and other sexually discriminatory behaviors.	grassroots group to address their concerns regarding sexual harassment, sexual assault, and other sexually discriminatory behaviors they have witnessed, or been a victim of, while on-ice. This focus group would capture the perceptions of participants regarding concerning behaviors on-ice and potential changes to systems and training that could better address sexual misconduct within this community.

3. **Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g., permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.**

Automated, electronic, mechanical, or other technological collection techniques are not an issue with this ICR.

4. **Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in Item 2 above.**

Duplication is not an issue with this ICR.

5. **If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.**

Burden on small businesses or entities is not an issue with this ICR.

6. **Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.**

Any delays in this approval could significantly impact NSF's Office of Polar Programs' commitment to the research and support community to provide a safe and equitable workplace.

7. **Explain any special circumstances that would cause an information collection to be conducted in a manner inconsistent with the general information guidelines in 5 CFR 1320.5.**

There are no special circumstances with this ICR.

- 8. Provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8 (d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments.**

The emergency Federal Register notice was published on June 29, 2021, at 86 FR 34281.

**Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and record-keeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

NSF's Office of Polar Programs has consulted with the contracted SME's who will conduct the focus groups and survey, to determine respondents and estimated burden times.

- 9. Explain any decision to provide any payment or gift to respondents.**

Not applicable.

- 10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.**

Both the survey and focus group information collections contain assurances of confidentiality:

**Online Survey:** The online survey will have an introductory page that provides information about the Needs Assessment and SAHPR project. It will include the following information about confidentiality:

*We are holding several focus groups and administering surveys as a part of this Needs Assessment with many USAP participants. We will not be asking you to provide any identifying information. Your participation in this survey is voluntary. Please feel free to skip questions you cannot or do not wish to answer. You may skip and quit at any time. If you wish to participate in this survey, please click "Next" to proceed. If you do not wish to participate, you can exit the survey platform now.*

**Virtual Focus Groups:** Focus group participants will receive information about confidentiality during registration when they will be asked to sign a consent form (Attachment A), and during the introduction to the focus group when the facilitator will read a script to explain the project and share information about confidentiality including:

*Thank you for taking the time to meet with us and discuss your experience. We are holding several, focus groups and administering surveys as a part of this Needs Assessment with many USAP participants. We are going to record our conversation today and [INSERT NAMES OF NOTETAKERS] will be taking notes. We will capture*

*the actual words that are said, to ensure the Needs Assessment accurately reflects participants' experiences and perceptions. After we complete the data collection process, we will analyze the information and identify themes to inform the Needs Assessment Report. **Please note, we will not link your name to your words.** Recordings and transcripts will be available only to the Needs Assessment Team. When we are done with the data collection process, we will preserve them to inform the project and then delete them. They will not be made available to members of OPP or Partner Organizations. Themes and data will be summarized in group form for the Needs Assessment Report and responses will be reported as a group and not attributed to a single individual. I do ask that you keep what is spoken here confidential. I will let you know before I start recording. You can skip any questions you don't want to answer, and you may take a break or quit at any time. If there is something you would like to share with one of us privately, we will provide our contact information in the chat box, and you can feel free to contact us directly.*

**11. Provide additional justification for any questions of a sensitive nature.**

The topics of this Needs Assessment, sexual assault and harassment, are sensitive issues, however, SMEs will not be asking respondents to share any personal experiences victimization or perpetration. Questions focus on current conditions, policies, practices, reporting mechanisms, and bystander behaviors.

Demographic questions are included in the survey to determine if perceptions of the issues, understanding of response and prevention activities, and bystander experiences differ by demographic identity. This includes a question about each of the following: gender, race, sexual orientation, age, income, and education-level. Bystander behaviors, likelihood of reporting, and other perceptions of prevention and response activities can be impacted by a person's identity. It will be important to SMEs and program developers to understand these differences to ensure prevention and response practices are inclusive and relevant across a diversity of identities.

**12. Provide estimates of the hour burden of the collection of information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I. Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories.**

The burden estimates are outlined in Table A.12. below.

**Table A.12. Estimates of Hour Burden of Collection of Information**

Information Collection Type	Number of Respondents	Burden Estimate	Total
<b>Survey</b>	1,200*	15 minutes	300 hours
<b>Focus Groups</b>	130	2 hours	260 hours
<b>Totals</b>	<b>1130</b>		<b>560 hours</b>

The survey will be sent to USAP participants who have deployed within the last three years (2018-present). This amounts to approximately 4,000 participants. The estimated burden assumes a 30% response rate.

Individuals will be identified for focus group participation and will be invited to participate through scheduled virtual meetings. The SME will work to fill all 130 focus group spots.

Both the survey and focus group respondents will be from a wide range of positions throughout the USAP program. Positions could range from retail and food service positions to tenured faculty at institutions of higher education. Both information collections are voluntary and there is no current way to accurately predict which employees will respond to either the survey or focus groups. Given the wide range of potential hourly waged positions, the annual cost burden to respondents was calculated using the July 2021 U.S. Bureau of Labor Statistics median private industry hourly wage of \$30.54 (<https://www.bls.gov/news.release/empsit.t19.htm>). The estimated cost to respondents for hourly burden is \$14,102

**13. Provide an estimate of the total annual cost burden to respondents or record-keepers resulting from the collection of information.**

These information collection activities do not place any additional costs on respondents or record keepers.

**14. Provide estimates of annualized cost to the Federal government; provide a description of the method used to estimate cost which should include quantification of hours, operational expenses, and any other expense that would not have been incurred without this collection of information.**

Through an Inter-Agency Agreement with the Department of Interior, NSF has contracted with Leading and Dynamic Services and Solutions (LDSS) to manage the project. Subject matter experts (SMEs) in sexual assault and harassment prevention and response were subcontracted from Alteristic, Inc. and the Victim Rights Law Center (VRLC), respectively to fulfill the objectives of the SAHPR implementation planning process.

The cost to perform this data collection for the needs assessment is \$187,536.

**15. Explain the reasons for any program changes or adjustments (reasons for changes in burden).**

There are no changes in burden; this is a new request.

**16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and**

**ending dates of the collection of information, completion of report, publication dates, and other actions.**

Nothing will be published as a result of this ICR.

- 17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.**

There is no request for approval of non-display of the expiration date.

- 18. Explain each exception to the certification statement identified in Item 19, “Certification for Paperwork Reduction Act Submissions” of OMB Form 83-I.**

There are no exceptions to the certification statement.

## **B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the Form OMB 83-I is checked "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:

- 1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection.**

### **Respondent Universe and Sampling Methods**

Below is a description of the respondents for each data collection method: (1) online surveys for participants from the USAP over the past three calendar years; (2) virtual focus groups composed of specific sub-populations of USAP participants.

#### **(1) Online Surveys for Participants from the USAP (2018 to Present)**

The universe of respondents includes approximately 4,000 USAP representatives who participated from 2018 through current deployment. USAP representatives/participants are defined as “all persons working or visiting at a USAP or an NSF managed station, field camp, other facility, ship, or aircraft. This includes, but is not limited to, researchers, students, contractors, federal civilian and military personnel.” (These representatives will be referred to as survey invitees throughout this document). Two surveys were developed for (1) all USAP participants and (2) military personnel serving in the USAP. Expected response rate is 30% for the universe of survey respondents.

**Table B.1: Number of Survey Invitees from the USAP**

Survey Type	Number of Survey Invitees
<b>USAP Participants</b>	3,500
<b>USAP Military Personnel</b>	500
<b>Total</b>	4,000

The survey invitees will be identified with the assistance of the Antarctic Infrastructure and Logistics team at OPP. USAP maintains a list of deployed participants with corresponding emails. The NSF Working Group will provide the SAHPR contracted teammates with an email list of participants and the SAHPR contracted teammate will distribute the link to the survey.

## (2) Virtual Focus Groups Composed of Specific Sub-Populations of USAP Participants

The universe of respondents for the focus groups will include up to eight USAP participants from each of the categories in Table B.2. below. Questions are tailored for each sub-population, with the goal of understanding the unique experiences and perceptions of each group. Focus group questions for each sub-population are available in the attached Survey Request Form.

**Table B.2. Focus Group Sub-Populations of USAP Participants**

Sub-Population of USAP Participants	Description of Sub-Population
<b>South Pole</b>	A mix of USAP participants who have worked at the South Pole Station for a minimum stay of two weeks. Includes Antarctic Support Contract (ASC) (prime and subs), grantees, federal employees (NSF, NOAA, etc.), with a focus on individuals lower in the organizational hierarchy.
<b>Palmer</b>	A mix of USAP participants who have worked at the Palmer station for a minimum stay of one month. Includes ASC (prime and subs), grantees, federal employees, etc., with a focus on individuals lower in the organizational hierarchy.
<b>Research Vessels</b>	A mix of USAP participants who voyaged aboard the NBP and LMG research vessels. Includes ASC (prime and subs including vessel crew), grantees, federal employees, etc., with a focus on individuals lower in the organizational hierarchy.
<b>Department of Defense (DoD)</b>	A mix of USAP participants from DoD agencies at any USAP location, military and civilian. Includes JTF-SFA, ANG, NIWC, USAF. A diverse cross-section of military personnel; with a focus on lower to mid-level.
<b>McMurdo: Seasonal</b>	A mix of ASC participants contracted to work as seasonal employees at McMurdo for a minimum stay of one month over the austral summer, winter, or both. No full-time-employees: ASC contracted only. Focus on non-supervisors, galley staff.
<b>McMurdo: Seasonal</b>	ASC women participants contracted to work as a seasonal

<b>Women</b>	employee at McMurdo for a minimum stay of one month over the austral summer, winter, or both. No full-time-employees: ASC contracted only. No men. Focus on non-supervisors, galley staff.
<b>McMurdo: Full-time Employees</b>	A mix of ASC participants employed full time by Leidos ASC or one of its subcontractors who deployed to McMurdo for a minimum stay of one week. No supervisors.
<b>McMurdo: Full-time Supervisors</b>	A mix of ASC participants employed full time by Leidos ASC or one of its subcontractors who deployed to McMurdo for a minimum stay of one week. Supervisors only.
<b>McMurdo: Grantees</b>	A mix of USAP grantees who deployed to McMurdo – minimum stay of one month. Includes any private citizen deploying under an NSF grant or any individual deploying as part of a partner agency’s scientific endeavor. Includes NASA and NOAA and individuals contracted by a grantee or institution. Focus on graduate and undergraduate students.
<b>McMurdo: Grantee Women</b>	USAP women grantees who deployed to or through McMurdo. Includes any woman deploying under an NSF grant or any individual deploying as part of a partner agency’s scientific endeavor. Includes NASA and NOAA and individuals contracted by a grantee or institution. Includes graduate and undergraduate students, female-identified PIs.
<b>Near Field</b>	A mix of USAP participants who work at near field sites such as the Dry Valleys, LDB, etc. Work within a helo-ride of McMurdo. Includes ASC (prime and subs), grantees, federal employees. Includes graduate and undergraduate students.
<b>Deep Field</b>	A mix of USAP participants who work at deep field sites such as Thwaites. Work within a plane-ride or traverse from McMurdo or South Pole. Includes ASC (prime and subs), grantees, federal employees. Includes graduate and undergraduate students.
<b>Ice Allies</b>	USAP participants who identify as a member of the Ice Allies group, who formed to hold leadership accountable to on-ice sexual harassment, sexual assault, and other sexually discriminatory behaviors.

USAP maintains a list of deployed participants with corresponding emails. Thirteen focus groups have been designed in support of this effort. The NSF SAHPR working group will identify possible participants as it relates to each focus group makeup. The NSF Working Group will provide the contracted SMEs with a list of focus group participants and the contracted SMEs will be responsible for conducting the focus group meetings.

**2. Describe the procedures for the collection of information including:**

- **Statistical methodology for stratification and sample selection.**
- **Estimation procedure.**
- **Degree of accuracy needed for the purpose described in the justification.**

- **Unusual problems requiring specialized sampling procedures, and**
- **Any use of periodic (less frequent than annual) data collection cycles to reduce burden.**

### **Procedures for Online Surveys**

- The USAP maintains a database of deployers that includes names and email addresses. USAP will provide LDSS with a list of email addresses in support of this survey. The list will include individuals who have deployed from 2018 up to the present.
- Introductory email – LDSS will send an introductory email to survey invitees. The purpose is to provide an overview of the Needs Assessment and encourage participation in the survey.
- LDSS will distribute the USAP survey email using Microsoft Exchange Online. Exchange Online is configured to handle all email traffic for LDSS through the custom domain, LDSSCorp.com. LDSS will use Outlook to create and distribute the email messages with the survey link. The users will be separated in groups and addressed in the blind carbon copy (BCC) field to ensure recipients' identity is not disclosed and remains private. The email messages will be distributed from the custom email address: [survey@ldsscorp.com](mailto:survey@ldsscorp.com). Access to this address will be restricted to only personnel required to send and monitor the distribution of the survey emails. LDSS has engaged Microsoft to ensure the distribution of the email remains within the limits of the Exchange Online service and it does not get classified as spam or junk mail.
- Invitation email (Attachment B) – Within 24 hours of the introductory email being sent, LDSS will send the invitation email to complete the online survey to invitees. The invitation email explains the purpose of the Needs Assessment and the survey; emphasizes that participation in the survey is voluntary; lists the closing date of the survey; identifies who will have access to the data. The survey will be open for four weeks.
- Reminder emails (Attachment B) – LDSS will send reminder emails at weekly intervals to encourage those who have not accessed the hyperlink to participate in the survey. The first reminder email will be sent one week after the email invitation.

### **Procedures for Focus Groups**

- The USAP maintains a database of deployers that includes names and email addresses. USAP will provide LDSS with a list of email addresses in support of the focus groups. The list will include individuals who have deployed from 2018 up to the present. The USAP will sort and categorize the database of deployers to match the focus group descriptions.
- Introductory email – LDSS will send an introductory email to focus group invitees. The purpose is to provide an overview of the Needs Assessment and encourage participation in the focus group.
- LDSS will distribute the USAP survey email using Microsoft Exchange Online. Exchange Online is configured to handle all email traffic for LDSS through the custom domain, LDSSCorp.com. LDSS will use Outlook to create and distribute the email messages with the survey link. The users will be separated in groups and addressed in the blind carbon copy (BCC) field to ensure recipients' identity is not disclosed and remains private. The email messages will be distributed from the custom email



address: [survey@ldsscorp.com](mailto:survey@ldsscorp.com). Access to this address will be restricted to only personnel required to send and monitor the distribution of the survey emails. LDSS has engaged Microsoft to ensure the distribution of the email remains within the limits of the Exchange Online service and it does not get classified as spam or junk mail.

- Invitation email (Attachment C – Within 24 hours of the introductory email being sent, LDSS will send the invitation email to register for the virtual focus group. The invitation email explains the purpose of the Needs Assessment and the focus group; emphasizes that participation in the focus group is voluntary; lists the closing date for registration; identifies who will have access to the data. Registration will include information about consent. Registration for each focus group will be open for four weeks.
- Reminder emails (Attachment C) – LDSS will send reminder emails at weekly intervals to encourage those who have not registered for the focus group to participate. The first reminder email will be sent one week after the email invitation.
- Focus groups will be facilitated via Zoom by SMEs from Alteristic and the Victim Rights Law Center.

### **Analysis Procedures for Online Surveys**

Quantitative and qualitative data will be analyzed to address the Needs Assessment questions and gain a better understanding of the current conditions related to prevention and response of sexual assault and sexual harassment in USAP.

-  
Survey responses will be analyzed using descriptive statistics such as frequency distributions and measures of central tendency (i.e., mean, median, and mode). Cross-tabulation analysis will be used to examine differences in the perceptions and experiences across demographic identities. As appropriate, responses to open-ended questions will be grouped into categories and summarized with descriptive statistics as well.

### **Analysis Procedures for Virtual Focus Groups**

Qualitative content analysis will be used to analyze data collected from virtual focus groups. The content analysis involves coding responses, creating categories to summarize coded responses, and identifying themes across categories to explore relationships among all responses. To ensure reliability, two analysts will independently code the qualitative data.

The data analysis will inform the creation of a SAHPR program for USAP participants that can be implemented across OPP and partner organizations, and that supports the four objectives of Community, Prevention, Response, and Accountability. The data collection will result in gathering the information necessary to inform the following project deliverables:

- SAHPR Needs Assessment Report
- SAHPR Implementation Plan
- SAHPR Training Materials

- 3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied.**

See section B.2. above. In addition, participation in these data collection endeavors can be mentioned to currently deployed personnel through normal channels such as mandatory on-ice in briefings and all hands meetings.

- 4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information.**

**Online Survey:** Questions in the survey have been used by SMEs for Needs Assessments in other setting, including workplaces, military communities, and government agencies. Questions relating to community perceptions of bystander and help-seeking behaviors, perceptions of organizational support, and personal influence were adapted from questions created and validated by Drs. Victoria Banyard and Katie Edwards at the University of New Hampshire. Feedback on the survey tool was provided by team members from NSF-SAHPR, LDSS, Alteristic, and VRLC.

**Focus Group Questions:** Focus group questions have been used by SMEs for Needs Assessments in other setting, including workplaces, military communities, and government agencies.

- 5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.**

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## **Attachment A**

### **Consent Form for Virtual Focus Groups**

The National Science Foundation Office of Polar Programs is gathering data to support the Sexual Assault and Harassment Prevention and Response (SAHPR) Needs Assessment, Implementation Plan, and Training Material for the U.S. Antarctic Program (USAP). The NSF is hosting a series of focus groups and a survey to assess the current landscape within the USAP regarding sexual harassment and sexual assault.

You have volunteered to take part in one of the focus groups. To have a complete record of your comments, your focus group will be audio taped (and/or videotaped). We will capture the actual words that are said, to ensure the Needs Assessment accurately reflects participants' experiences and perceptions. After we complete the data collection process, we will analyze the information and identify themes to inform the Needs Assessment Report. Please note, we will not link your name to your words. Recordings and transcripts will be available only to the Needs Assessment Team. When we are done with the data collection process, we will preserve them to inform the project and then delete them. They will not be made available to members of OPP or Partner Organizations. Themes and data will be summarized in group form for the Needs Assessment Report and responses will be reported as a group and not attributed to a single individual.

This study is authorized by law (42 U.S.C. 1862 Section 3.a.6.). The OMB control number for this study is XXXX-XXX.

I have volunteered to participate in this focus group, and I give permission for information I provide to be used for the purposes stated above. (Check Box in registration form).

## **Attachment B**

### **Email Invitation for Online Survey**

The National Science Foundation Office of Polar Programs is gathering data to support the Sexual Assault and Harassment Prevention and Response (SAHPR) Needs Assessment, Implementation Plan, and Training Material for the U.S. Antarctic Program (USAP). The NSF is hosting a survey and a series of focus groups to assess the current landscape within the USAP regarding sexual harassment and sexual assault.

We would like to invite you to participate in the USAP participant survey. This is an opportunity to share your perspectives and suggest ways to improve the response and prevention of sexual assault and harassment in the USAP.

Your participation in the survey is voluntary. You don't have to answer any questions you don't want to answer, and you can stop participating at any time. We will not ask you any identifying information and none of your answers will be linked to your name. The survey will take 10-15 minutes to complete.

This study is authorized by law (42 U.S.C. 1862 Section 3.a.6.). The OMB control number for this study is XXXX-XXX.

Please follow this link to participate in the survey:

XXX

Please complete the survey by XX-XX-XXXX.

## Attachment C

### Email Invitation for Virtual Focus Groups

The National Science Foundation Office of Polar Programs is gathering data to support the Sexual Assault and Harassment Prevention and Response (SAHPR) Needs Assessment, Implementation Plan, and Training Material for the U.S. Antarctic Program (USAP). The NSF is hosting a survey and a series of focus groups to assess the current landscape within the USAP regarding sexual harassment and sexual assault.

You are invited to participate in a focus group with the following group: XXX

**Purpose:** USAP is unique program. The information gathered in the focus groups will help ensure the programs developed are relevant across contexts and resonate with diverse USAP participants.

**Platform:** The focus groups will take place virtually using Zoom.

**Length:** 90-minutes.

**Confidentiality:** Your participation in the focus group is voluntary. You don't have to answer any questions you don't want to answer and you can leave at any time. The focus groups will be audio recorded and transcribed. However, your answers to focus group questions will be kept confidential. Only the researchers analyzing the data will have access to the transcripts of the focus groups, and NSF OPP will only receive a combined summary report.

**Topics:** Questions will be asked about your work climate, organizational culture, what behaviors relating to harassment and sexual assault look like, how people react, reporting mechanisms, and potential solutions.

**Groups:** The USAP community is diverse and different groups have different experiences. In an effort to include many perspectives, the Needs Assessment team will hold several group-specific focus groups including:

*[INSERT FOCUS GROUP CATEGORIES, DATES, AND TIMES, REGISTRATION LINK]*