

# Action Collaborative on Preventing Sexual Harassment in Higher Education

## Year 1 Rubric for Reporting Actions Taken

### Background and Instructions

Launched on April 10th, 2019, the [Action Collaborative on Preventing Sexual Harassment in Higher Education](#) brings together leaders from over 60 academic and research institutions and key stakeholders to work toward targeted, collective action on addressing and preventing sexual harassment across all disciplines and among all people in higher education. Upon joining the Action Collaborative, each Member Organization commits to:

1. Developing new approaches to address the issue of sexual harassment from a preventative orientation;
2. Implementing and testing new or revised programs, policies, and practices each year;
3. Sharing the results from these new or revised approaches each year; and
4. Identifying and engaging a group of additional individuals at the organization who can assist and inform this work.

Below, you will find the Year 1 Rubric for Reporting Actions Taken, based on the 2018 National Academies [Sexual Harassment of Women](#) report, to assist in identifying innovative work at your organization that is relevant to the Action Collaborative.

### *Instructions for Completing the Rubric*

Each Member Organization participating in the Action Collaborative is responsible for completing by June 1, 2020 the [Year 1 Rubric](#), including a [brief description of the work you plan to describe](#) later. At each Organization, Action Collaborative Representatives should consult with one another, and other relevant individuals at their organization, to identify which innovative work to share with the Action Collaborative at the end of Year 1.

### *Instructions for Completing Description(s) of Work*

Each Member Organization participating in the Action Collaborative is responsible for completing relevant Descriptions of Work by August 3, 2020. **Based on how your organization fills out the Areas of Work within the Rubric, each Member Organization must submit at least one Description of Work (2-3 pages); we welcome additional Descriptions of Work, and suggest each Organization submit 1-5 of their most significant work.**

## *How will this information be used?*

- Each Member Organization's [Descriptions of Work](#) will be shared on the Action Collaborative website next to the organization's name.
- The [Descriptions of Work](#) and information compiled from [Rubrics](#) will be used by the Working Groups to identify "Innovative Ideas" and "Promising Practices" emerging from the Action Collaborative.
- [Rubrics](#) and relevant [Descriptions of Work](#) will be used by NASEM staff to compile an annual public report that summarizes work being done across Action Collaborative Member Organizations.

## *Timeline for Completion*

- **June 1, 2020:** [Rubric](#) due to the National Academies (based on this information, a preliminary summary of work being done by Action Collaborative member organizations will be provided before the June Members Meeting): <https://bit.ly/Year1RubricSubmission>
- **August 3, 2020** [Descriptions of Work](#) due to the National Academies (based on how your organization filled out the Rubric): <https://bit.ly/Year1DescriptionOfWorkSubmission>
- **September 22, 2020:** National Academies will post the following items to the Action Collaborative website:
  - Each organization's [Descriptions of Work](#)
  - Action Collaborative Annual Report

## *What qualifies as relevant innovative work?*

For each category, in order to qualify, your program, policy, or practice must:

1. **Connect to NASEM Report:** Be consistent with the findings and recommendations of the [2018 NASEM report](#) as outlined under each area of work in the [Rubric](#),
2. **Reflect Work Being Done:** Be in the process of finalizing a plan/action, currently being implemented, or implemented.
3. **Fit Timeline Criteria:** Be either
  - a. New for your organization (created, implemented, or revised since 04/10/19),
  - b. New or uncommon for higher ed space (created, implemented, or revised since 04/10/17)<sup>1</sup>,

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<sup>1</sup> You will be expected to explain why you think this work is new or uncommon for higher education.

Each area of work in the Rubric is described and specific examples are often provided to assist you in identifying relevant innovative work at your organization.

Name of Institution:

## Rubric

### *Prevention*

1. **Embedding the Values of Diversity, Inclusion, and Respect into Hiring, Promotion, Advancement, and Admissions.** Research shows that an organization that is male-dominated (in number, leaders, and/or culture) is one of the strongest predictors of sexual harassment<sup>2</sup>. Therefore, organizations should take explicit steps to achieve greater gender and racial equity in hiring and promotions<sup>3</sup>, and to improve minoritized representation at every level. Building on the 2018 NASEM report on *Sexual Harassment of Women* and the 2020 NASEM report on *Promising Practices for Addressing the Underrepresentation of Women*, this includes:
  - Strategies for hiring that take into account and gather information about behavior at prior institutions
  - Develop processes to evaluate behavior in promotion / advancement and performance review
  - Develop processes for promotion/advancement and performance reviews to recognize and reward an individual's contributions to promoting equity, diversity, and inclusion<sup>4</sup>
  - Educating faculty hiring committees, with particular attention to how to mitigate biases within the hiring process<sup>5</sup>
  - Write job descriptions so that it appeals to a broad range of applicants (such as avoiding gendered wording and writing job descriptions as broadly as possible, not limited to narrowly defined topics)<sup>6</sup>
  - Develop evaluation criteria for each job in advance of beginning the hiring process<sup>7</sup>
  - Changes to DEI staff or structure to support office (e.g., hiring chief diversity officer, centralizing / decentralizing staff structure, etc.)<sup>8</sup>
  - Ensuring fair and equitable access to resources and information about those resources to all employees and students, rather than relying on informal communications<sup>9</sup>
  - Focusing evaluation and reward structures on cooperation, respectful work behavior, and professionalism rather than solely on individual-level teaching and research performance metrics

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<sup>2</sup> <https://www.nap.edu/read/24994/chapter/4#46>

<sup>3</sup> [https://www.nap.edu/read/24994/chapter/8#chapter06\\_pz144-6](https://www.nap.edu/read/24994/chapter/8#chapter06_pz144-6)

<sup>4</sup> See Strategy 4: <https://www.nap.edu/read/25585/chapter/7#106> And see Box 4-4: <https://www.nap.edu/read/25585/chapter/7#108>

<sup>5</sup> See Strategy 8: <https://www.nap.edu/read/25585/chapter/7#100>

<sup>6</sup> See Strategy 2: <https://www.nap.edu/read/25585/chapter/7#93>

<sup>7</sup> See Strategy 4: <https://www.nap.edu/read/25585/chapter/7#96>

<sup>8</sup> <https://www.nap.edu/read/25585/chapter/8#123>

<sup>9</sup> See Strategy 1: <https://www.nap.edu/read/25585/chapter/7#110>

Your program, policy, or practice qualifies if it does one or more of these things.

2. **Civility or Respect Promotion Programs.** The 2018 NASEM report recommends that anti-harassment efforts be combined with civility or respect promotion programs as a mechanism for highlighting behaviors that faculty, staff, and students should engage in, rather than focusing just on those behaviors they should avoid (such as sexual harassment, bullying, and incivility).<sup>10</sup>
3. **Leadership Education and Skill Development.** The 2018 NASEM report found that strong and effective leaders at all levels in an organization are required to make system-wide changes to climate and culture in higher education, and that they play a significant role in establishing and maintaining an organization's culture and norms.<sup>11</sup> This includes programs and resources that support and facilitate leaders at every level (e.g., university, school/college, department, classroom, laboratory, etc.) in developing relevant skills. Building on the 2018 NASEM report, this includes programs and resources that:
  - Provide skills on how to recognize, correct, and/or address sexual harassment, especially gender harassing behaviors (e.g., gender-insulting remarks, profane terms of address, sexually degrading images in the ambient environment), before they become severe or pervasive enough to constitute illegal sexual harassment
  - Provide skills on setting expectations for behavior
  - Prepare on how to handle a notification of sexual harassment
  - Teach how to take explicit steps to create a culture and climate to reduce and prevent sexual harassment—and not just protect the organization against liability
  - Develop conflict resolution, mediation, negotiation, and/or de-escalation skills
  - Ensure a clear understanding of policies and procedures for handling sexual harassment issues

Your program or resource qualifies if it does one or more of these things.

4. **Bystander Intervention Programs (specific to higher education or field, and/or audience).** Bystander intervention programs as a concept is an important tool in teaching people how to recognize and respond when they see problematic behavior. An underlying premise of this type of education is that it promotes a culture of support, not one of silence, by calling out negative behaviors on the spot.<sup>12</sup> The 2018 NASEM report recommends institutions make all members of an academic community responsible for

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<sup>10</sup> <https://www.nap.edu/read/24994/chapter/8#130>

<sup>11</sup> <https://www.nap.edu/read/24994/chapter/8#147>

<sup>12</sup> <https://www.nap.edu/read/24994/chapter/8#132>

- helping to create a culture where abusive behavior is seen as an aberration, not as the norm.<sup>13</sup> It also notes that training/education should be tailored<sup>14</sup> to a specific population or group in higher education (e.g., graduate students, staff, faculty) and/or to a specific academic environment (e.g., engineering department, small liberal arts college setting, etc.).
5. **Audience-specific anti-sexual harassment education.** The 2018 NASEM report recommends that anti-sexual harassment education programs clearly communicate behavioral expectations and specify consequences for failing to meet those expectations. Education programs should specifically focus on and be evaluated for their ability to change behavior (not beliefs). Education programs should explicitly identify gender harassment as the most common form of sexual harassment, and convey the damage of gender harassment. Finally, education should be conducted using live, qualified trainers and offer participants specific examples of inappropriate conduct. Anti-sexual harassment education should be tailored to a specific population or group in higher education (e.g., graduate students, postdocs, staff, or faculty) and tailored to a specific academic environment (e.g., department, field of work/study, external education programs like field research or internships, etc.)<sup>15</sup>
  6. **Ally or Ambassador Programs.** According to the 2018 NASEM report, all members of a campus community -- staff, trainees, students, faculty, administrators -- as well as members of research and training sites should assume responsibility for promoting civil and respectful education, training, and work environments, and stepping up and confronting those whose behaviors and actions create sexually harassing environments.<sup>16</sup> To foster ownership of addressing this issue, ally<sup>17</sup> or ambassador programs train and/or work to support cohorts of faculty, students, or staff embedded within existing academic ecosystems (departments, colleges, etc.) in leading change. These programs could focus work on either a relevant specific topic (sexual harassment, bias, diversity, etc.) or a specific cohort of people (for example: those who identify as men or as cisgender heterosexual). These types of programs aim to make the entire academic community responsible for reducing and preventing sexual harassment.
  7. **Prevention Program or Toolkits.** The 2018 NASEM found that systemwide change to the culture and climate in higher education is required to prevent and effectively address all three forms of sexual harassment. Despite significant attention in recent years, there is no evidence to suggest that

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<sup>13</sup> See Recommendation 15: <https://www.nap.edu/read/24994/chapter/9#187>

<sup>14</sup> <https://www.nap.edu/read/24994/chapter/8#152>

<sup>15</sup> [https://www.nap.edu/read/24994/chapter/8#chapter06\\_pz170-2](https://www.nap.edu/read/24994/chapter/8#chapter06_pz170-2)

<sup>16</sup> See Recommendation 15: <https://www.nap.edu/read/24994/chapter/9#187>

<sup>17</sup> <https://www.nap.edu/read/25585/chapter/6#89>

- current policies, procedures, and approaches have resulted in a significant reduction in sexual harassment. It is time to consider approaches that address the systems, cultures, and climates that enable sexual harassment to perpetuate.<sup>18</sup> In line with this, individualized Prevention Programs or toolkits may prove useful in helping organizational leaders engage with students and other campus community members to address the issue. Included here are innovative, multi-step programs or toolkits that allow specific academic cohorts or ecosystems (departments, colleges, academic leaders, etc.) to identify and develop a roadmap for collective prevention of sexual harassment. These programs might help organize an action team, facilitate review of relevant data to develop a tailored strategy, consider the ecosystem's culture to identify potential areas for improvement, etc.
8. **Identifying and Reinforcing Community Values.** The 2018 NASEM report found that environments with organizational systems and structures that value and support diversity, inclusion, and respect are environments where sexual harassment behaviors are less likely to occur.<sup>19</sup> Efforts to identify, develop, and reinforce shared community values (at various levels within an organization) will build buy-in for and underline the importance of maintaining a civil and respectful environment.
  9. **Other efforts to address or prevent sexual harassment.** The 2018 NASEM report found that judicial interpretation of Title IX and Title VII has incentivized organizations to create policies, procedures, and training on sexual harassment focused on symbolic compliance with current law and avoiding liability, and not on preventing sexual harassment.<sup>20</sup> A major goal of the Action Collaborative is to move beyond solutions that reflect adherence to legal requirements, which are necessary but insufficient to drive the change needed to address sexual harassment.<sup>21</sup> *If you are piloting an effort that takes this challenge to heart, that can be connected with the findings and recommendations from the 2018 NASEM report on the Sexual Harassment of Women, and is not clearly linked to another category in this section, you can make a case for why it qualifies.*

## **Response**

10. **Improved Policies:** Policies and procedures around preventing/addressing sexual harassment and standards of behavior should be specific, clear, accessible, consistent, and shared with your community.<sup>22</sup> Building on the 2018 NASEM report, improved policies are ones that:

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<sup>18</sup> <https://www.nap.edu/read/24994/chapter/9>

<sup>19</sup> [https://www.nap.edu/read/24994/chapter/8#chapter06\\_pz144-6](https://www.nap.edu/read/24994/chapter/8#chapter06_pz144-6)

<sup>20</sup> See Finding 2 from Chapter 5: <https://www.nap.edu/read/24994/chapter/7#118>

<sup>21</sup> See Finding 1 from Chapter 5: <https://www.nap.edu/read/24994/chapter/7#118>

<sup>22</sup> <https://www.nap.edu/read/24994/chapter/8#143>

- Provide clear, specific, and accessible expectations of behavior, explicitly including gender harassment
- Include a range of clear disciplinary actions that correspond with the severity of the harassment.
- Describe options for reporting/handling an experience of harassment
- Is consistent or standardized across different populations and/or parts of an organization
- Articulate that sexual harassment is considered equally important as research misconduct in terms of its effect on the integrity of research.
- Clearly state that the policy applies to educational, research, or work situations that are off campus as well and describes how the process works in those situations.
- Provide timelines for the grievance process
- Provide disciplinary action or sanction guidelines for what action should be taken when a specific kind of violation occurs and when multiple violations occur (like sentencing guidelines in the criminal justice system)
- Describe the timelines and process for handling disciplinary actions for those with tenure

Your policy qualifies if it does one or more of these things.

11. **Treating Sexual Harassment as a Violation of Research Integrity:** The 2018 NASEM report recommends that “academic institutions should consider sexual harassment equally important as research misconduct in terms of its effect on the integrity of research.”<sup>23</sup> They should:
- Increase collaboration among offices that oversee the integrity of research (*i.e., those that cover ethics, research misconduct, diversity, and harassment issues*);
  - Centralize resources, information, and expertise;
  - Provide more resources for handling complaints and working with targets; and
  - Implement sanctions on researchers found guilty of sexual harassment.”

Implementing this recommendation may also include efforts to clearly classify, communicate, and discipline sexual harassment as a serious violation of research integrity.

12. **Trauma-Informed Response and Education Programs:** Research by Smith and Freyd shows that institutional responses that are not trauma-informed can cause significant harm to the person reporting the harassment;

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<sup>23</sup> [https://www.nap.edu/read/24994/chapter/7#chapter05\\_pz134-2](https://www.nap.edu/read/24994/chapter/7#chapter05_pz134-2)

sometimes this harm can be worse than the original harassment they experienced.<sup>24</sup> Trauma-informed work can apply to:

- How an institution sets up and implements their response system (*i.e. using knowledge of trauma and post-traumatic stress disorder when designing the system; centralizing organizational responses for all types of harmful behavior so the target does not have to determine what behavior they experienced to report the behavior and can be assisted in gaining access to the support services they need*),
- How individuals at an organization respond when someone discloses information or is interviewed about an experience

**13. Providing Anonymous and Non-mandatory Reporting Resources and Tools:**

The 2018 NASEM report recommends that institutions “provide alternative and less formal means of recording information about the experience and reporting the experience, and/or for notifying the institution about the experience.”<sup>25</sup> These non-formal mechanisms would also enable targets to access support services without requiring a formal report to the organization. As described in the 2018 NASEM report, such alternative and informal mechanisms include:

- Anonymous reporting mechanisms or tools;
- Tools for documenting and “time-stamping” an experience without notifying an organization; and
- Enabling some faculty and staff to serve as “student or victim directed” responsible employees that can provide support, information, and resources and can respect the person’s wishes regarding reporting/notifying the organization about any and all sexual harassment that was disclosed (Such as the University of Oregon’s policy<sup>26</sup>)
- Channels outside of the faculty or usual workplace hierarchy, such as an ombudsperson

**14. Implementing Restorative or Transformative Justice and Alternative Means of Resolutions:**

The 2018 NASEM report states that “in an effort to change behavior and improve the climate, it may also be appropriate for institutions to undertake some rehabilitation-focused measures, even though these may not be sanctions per se. Such responses might include opportunities to learn, empathize, and recognize and value differences, and they might involve focus groups with professional facilitators, participation in

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<sup>24</sup> <https://dynamic.uoregon.edu/jjf/articles/sf2013.pdf> and <https://dynamic.uoregon.edu/jjf/articles/sf2017.pdf> and <https://psycnet.apa.org/record/2014-36500-001>

<sup>25</sup> See recommendation 6: <https://www.nap.edu/read/24994/chapter/9#182> and section on Target-led Institutional Response: <https://www.nap.edu/read/24994/chapter/8#138>

<sup>26</sup> <https://investigations.uoregon.edu/student-directed-employee>

restorative justice circles, and empathy training.”<sup>27</sup> Additionally, the report notes that “target-led resolution options and mechanisms” can reduce the harm that targets experience when reporting an experience of sexual harassment.<sup>28</sup> Examples of a target-led resolution can include restorative or transformative justice and the use of an ombuds officer.<sup>29</sup>

15. **Improved Communication and Increased Transparency:** The 2018 NASEM report describes the importance of the community believing that reports of sexual harassment will be taken seriously, that those reporting experiences will not be harmed, and that perpetrators will be held accountable (because these factors signal an organizational climate that does not tolerate sexual harassment and such a climate is a predictor of lower rates of sexual harassment).<sup>30</sup> For a community to believe these things, the 2018 NASEM report cites the importance of increased transparency and clear communication<sup>31</sup>. This includes, but is not limited to:

- **Effectively Communicating about Policies and Resources**, such as transparently and effectively communicating about the process for reporting, investigating, and adjudicating sexual harassment, and about the resources available to those who experience sexual harassment;<sup>32</sup>
- **Courageously Communicating about Sexual Harassment that Occurs:** as the research by Freyd<sup>33</sup> describes, this includes cherishing and honoring those who report or blow the whistle; bearing witness, being accountable, and apologizing; and talking openly about the findings from self-studies and anonymous climate surveys;
- **Increased Transparency About the Handling of Reports of Sexual Harassment**, such as providing statistical annual reports on the sexual harassment that is reported to an organization<sup>34</sup>;
- **Sharing Findings of Responsibility During Reference Checks**, such as policy changes to allow the sharing of findings of responsibility with other institutions that are checking references for an employee;
- **Banning the Use of Confidentiality and Non-Disclosure Agreements** that protect the perpetrator in cases of sexual harassment, and thus harm the target by not allowing them to share and discuss their experience.<sup>35</sup>

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<sup>27</sup> <https://www.nap.edu/read/24994/chapter/8?term=rehabilitation-focused#145>

<sup>28</sup> <https://www.nap.edu/read/24994/chapter/8#141>

<sup>29</sup> <https://www.nap.edu/read/24994/chapter/8#138>

<sup>30</sup> <https://www.nap.edu/read/24994/chapter/8>

<sup>31</sup> [https://www.nap.edu/read/24994/chapter/8#chapter06\\_pz163-3](https://www.nap.edu/read/24994/chapter/8#chapter06_pz163-3)

<sup>32</sup> <https://www.nap.edu/read/24994/chapter/8#143>

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<https://theconversation.com/when-sexual-assault-victims-speak-out-their-institutions-often-betray-the-m-87050>

<sup>34</sup> <https://www.nap.edu/read/24994/chapter/8#145>

<sup>35</sup> See Recommendation 11: <https://www.nap.edu/read/24994/chapter/9#185>

16. **Addressing Gender Harassment and Other Bad Behaviors:** The 2018 NASEM report found that gender harassment is by far the most common form of sexual harassment<sup>36</sup>, that it is as harmful as the other types of sexual harassment<sup>37</sup>, and that addressing gender harassment may prevent the other forms of sexual harassment.<sup>38</sup> Additionally it found that incivility can create environments where sexual harassment thrives and is more likely to occur.<sup>39</sup> Addressing incivility, bullying, gender harassment, other bad behaviors early can help ensure behaviors don't escalate. Strategies and mechanisms to do this may include:

- Educating department chairs to address and call out bad behavior
- Developing consequences for initial incidents and potential consequences if the behavior is continued
- Developing a guide to recognizing such behaviors
- Clearly articulating that such behaviors violate the policies and values of the organization
- Incorporating consideration of such behaviors in performance reviews

### **Remediation**

17. **Increased or Enhanced Confidential Resources and Support Services:** The 2018 NASEM report notes that providing confidential support services, which allow a target or survivor to speak with someone in confidence, can be “the difference between getting help and staying silent” (*Not Alone – The First Report of the White House Task Force to Protect Students From Sexual Assault*).<sup>40</sup> Providing support services is an important part of organizations reducing the harm that sexual harassment inflicts and creating supportive environments for targets of sexual harassment. Such confidential support services may include:

- On-campus counselors and advocates—like those who work or volunteer in sexual assault centers, victim advocacy offices, women's and health centers, and ombuds offices
- Healthcare providers that specialize in sexual violence and trauma
- Counselors that specialize in sexual assault and trauma
- Legal services

Importantly, these resources should be made available to populations beyond students (i.e. faculty, staff, post-doctoral candidates, interns, fellows, and medical residents).

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<sup>36</sup> See Finding 6 from chapter 2: <https://www.nap.edu/read/24994/chapter/4#49>

<sup>37</sup> See Finding 2 from chapter 4: <https://www.nap.edu/read/24994/chapter/6#90>

<sup>38</sup> See Recommendation 2: <https://www.nap.edu/read/24994/chapter/9#181>

<sup>39</sup> <https://www.nap.edu/read/24994/chapter/4?term=incivility#27>

<sup>40</sup> <https://www.nap.edu/read/24994/chapter/8#140>

18. **Honoring Targets:** The 2018 NASEM report recommends that “institutions should convey that reporting sexual harassment is an honorable and courageous action.”<sup>41</sup> This type of commitment should be extended to targets, victims, or survivors who come forward to share or report their experience.
19. **Preventing Retaliation:** The 2018 NASEM report recommends that academic institutions should develop approaches to prevent the target from experiencing or fearing retaliation in academic settings.<sup>42</sup> Implementing this recommendation may include:
- Anti-retaliation plans
  - Policies and educational materials that clearly outline what retaliation looks like and how to identify it when it occurs
  - Policies that clearly outline actions that can and will be taken to ensure the target of the harassment is able to continue their academic work, (*such as mutual no contact orders between the accused and accuser, changing class schedules, changing the locks at the housing facility or workplace, rescinding building access for the accused, and reassigning advisors, mentees, and supervisors*).
  - Education programs or information on how to not inadvertently retaliate
  - Education programs and guides for how leaders should handle retaliation when it occurs.
20. **Reintegration Strategies and Programs:** The 2018 NASEM report states that “institutions need to consider the kind of support individual targets might need immediately after the incident(s) and how to help them continue to manage their education and work over the long term.”<sup>43</sup> Efforts to follow this guidance may include:
- Procedures for and ways to reintegrate those involved in sexual harassment cases (targets, bystanders, and accused persons) into the campus community and into their work.
  - Use of restorative justice to develop plans for how a target and perpetrator can proceed going forward.
21. **Reducing Power Differentials:** The 2018 NASEM report recommends that academic institutions should consider power-diffusion mechanisms to reduce the risk of sexual harassment.<sup>44</sup> Implementing this recommendation may include:
- **Funding Models** to reduce power differentials between Advisors and Trainees, such as programs and policies that provide bridge funding,

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<sup>41</sup> See Recommendation 6: <https://www.nap.edu/read/24994/chapter/9#182>

<sup>42</sup> See Recommendation 6: <https://www.nap.edu/read/24994/chapter/9#182>

<sup>43</sup> <https://www.nap.edu/read/24994/chapter/8#142>

<sup>44</sup> [https://www.nap.edu/read/24994/chapter/8#chapter06\\_pz154-6](https://www.nap.edu/read/24994/chapter/8#chapter06_pz154-6) and Recommendation 5: <https://www.nap.edu/read/24994/chapter/9#182>

allow the decision making around student funding to be made by committee rather than a single individual.

- **Research or Other Academic Mentorship Structures** to reduce power differentials, such as programs and/or policies that facilitate mentorship through a network, committee-based structure, or that identifies a group of faculty that can serve as advisors outside of a student's department
- **Faculty Professional Development and Mentorship Programs** to reduce power differentials between junior and senior faculty, such as programs and/or policies that facilitate skills development, cohort creation, and navigation of the promotion and advancement processes with peer and near-peer faculty members.

22. **Other efforts to remediate the harm of sexual harassment and/or support those that experience sexual harassment**, such as:

- Strategies and services that provide support to the target (even if not confidential), and that limit the damage from sexual harassment.
- Other avenues for reducing the power differential between advisors and trainees or between junior and senior faculty such that there are fewer opportunities to use harassment to exert power over people.
- Strategies, policies, and process that support populations that are particularly vulnerable to sexual harassment or experience sexual harassment more often (i.e. international students with visas, women of color, and sexual and gender minorities).

### *Evaluation*

23. **Conducting a Climate Survey.** The 2018 NASEM report recommends that organizations should not rely on official/formal reports of sexual harassment as a measure of the prevalence of the problem because it is rare for targets of sexual harassment to formally notify or report their experience. As such, climate surveys that use standardized, well-validated measures are the best way to estimate the prevalence of sexual harassment in a population. Climate surveys should avoid specifically using the term “sexual harassment” or “sexual misconduct” in the survey (title, questions, answers, etc.), and should assess specific behaviors without requiring the respondent to label the behaviors as “sexual harassment” or “sexual misconduct”.<sup>45</sup> Work in this area qualifies if an organization has done one of the following:

- Conducted a climate survey for the first time
- Improved an existing climate survey by adjusting questions, approaches, analyses, etc. to align with research outlined in the 2018 NASEM report, or

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<sup>45</sup> See Recommendation 8: <https://www.nap.edu/read/24994/chapter/9#183>

- Designed or applied a climate survey to assess the experiences of a population that hasn't been adequately studied (faculty, staff, or post-docs)

24. **Conducting qualitative research on the experiences of sexual harassment.** Though qualitative assessments are not a substitute for climate surveys, they can be useful in providing key background information and highlighting the experiences and perceptions of targets of oppression (such as those who have experienced sexual harassment). Additionally, in small organizations or units in which it would not be possible to ensure anonymity for climate survey respondents, qualitative research methods can be utilized to understand how sexual harassment is being experienced (but will not be able to provide prevalence numbers).<sup>46</sup> Your work qualifies if it involves any of the following qualitative research on the experiences of sexual harassment: interviews, case studies, focus groups, exit interviews, and/or sociolegal methods.
25. **Publicly sharing the results/data from evaluation work.** The 2018 NASEM report recommends that summaries of the results of climate assessments are provided to the public, or at the very least to those within the organization.<sup>47</sup> This is because transparency helps to demonstrate to the community that the organization takes the issue seriously; it also helps increase accountability for working to reduce sexual harassment.
26. **Using Climate Assessments to Inform Action.** The results of climate assessments can be used to inform next steps that an organization takes in addressing the issue of sexual harassment in their community. This might include:
- Identifying specific populations in the organization that are experiencing more harassment, to determine ways to specifically address that disparity
  - Identify specific kinds of behavior that is occurring, to develop interventions targeted towards combating that behavior
  - Evaluate the community's understanding of the organizational climate
27. **Other methods for monitoring climate on an ongoing basis.** Climate surveys are designed to be periodic assessments that occur at >1 year intervals, leaving significant gaps of time during which the climate isn't being monitored. Organizations should monitor climate between survey intervals using mechanisms that do not rely on formal reports and investigations.<sup>48</sup>

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<sup>46</sup> See <https://www.nap.edu/read/24994/chapter/4#36> and Recommendation 8b: <https://www.nap.edu/read/24994/chapter/9#183>

<sup>47</sup> See Recommendation 8d: <https://www.nap.edu/read/24994/chapter/9#184>

<sup>48</sup> [https://www.nap.edu/read/24994/chapter/4#chapter02\\_pz50-1](https://www.nap.edu/read/24994/chapter/4#chapter02_pz50-1)

28. **Conducting needed research.** The 2018 NASEM report recommends that necessary research be conducted, including:

- **Evaluating the Experiences of Vulnerable Populations.**<sup>49</sup> Organizations studying sexual harassment in their environments should take into consideration the particular experiences of people of color and sexual and gender minorities, and they should utilize methods that allow them to disaggregate their data by race, ethnicity, sexual orientation, and gender identity to reveal the different experiences across populations. Further, research should be conducted to better understand the sexual harassment experiences of those in underrepresented and/or vulnerable groups, including people of color, disabled people, immigrants, sexual and gender minorities, postdoctoral trainees, and others.
- **Evaluating Prevention Programs.**<sup>50</sup> While sexual harassment training/education can be useful in improving knowledge of policies and of behaviors that constitute sexual harassment, it has not been demonstrated to prevent sexual harassment or change people's behaviors or beliefs, and some training shows a *negative* effect (or impact). Therefore, sexual harassment prevention efforts need to be evaluated and studied to determine their efficacy (e.g., do they deter harassing conduct?) and safety (e.g., are those who report harassment protected from retaliation?), and also to indicate where they need to be changed or improved. The 2018 NASEM report recommends that academic institutions should work with researchers to evaluate and assess their efforts to create a more diverse, inclusive, and respectful environment, and to create effective policies, procedures, and education programs.
- **Evaluating policies and procedures.**<sup>51</sup> Research should be conducted to assess ability to prevent and stop sexually harassing behavior, to alter perception of organizational tolerance for sexually harassing behavior, and to reduce the negative consequences from reporting the incidents. This includes research on formal and informal reporting mechanisms, mandatory reporting requirements, and approaches to supporting and improving communication with the target.

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<sup>49</sup> See Recommendation 14a: <https://www.nap.edu/read/24994/chapter/9#186>

<sup>50</sup> See Recommendation 14b: <https://www.nap.edu/read/24994/chapter/9#186>

<sup>51</sup> See Recommendation 14 b, c, d, and e: <https://www.nap.edu/read/24994/chapter/9#186>

## ***Work You Plan to Describe***

*(Based on the areas you checked above)*

### ***Area of Work #1 (REQUIRED)***

**Name or Title of Work:**

**1-2 Sentence Description of Work:**

**This Work Applies to Rubric Items:** (For example: 2, 6, and 10)

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### ***Area of Work #2***

**Name or Title of Work:**

**1-2 Sentence Description of Work:**

**This Work Applies to Rubric Items:** (For example: 2, 6, and 10)

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### ***Area of Work #3***

**Name or Title of Work:**

**1-2 Sentence Description of Work:**

**This Work Applies to Rubric Items:** (For example: 2, 6, and 10)

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***Area of Work #4***

**Name or Title of Work:**

**1-2 Sentence Description of Work:**

**This Work Applies to Rubric Items:** (For example: 2, 6, and 10)

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***Area of Work #5***

**Name or Title of Work:**

**1-2 Sentence Description of Work:**

**This Work Applies to Rubric Items:** (For example: 2, 6, and 10)

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**After filling out your institution's Year 1 Rubric (this pdf) and saving the file, please submit it by June 1, 2020 by uploading it here:**  
<https://bit.ly/Year1RubricSubmission>

## Description(s) of Work

### *Information to Include in Description of Work*

[Please use this template for formatting your public Description\(s\) of Work](#). Please fill out the template for each area of work you are reporting on and limit each document to 2-3 pages). At the top of the document, please list one or more items in the rubric that this work applies to (i.e., Prevention #4). In the description of your work, you must describe:

1. The purpose and goals of what you did or what you are doing, and how you did it;
2. How it is consistent with the findings and recommendations of the 2018 NASEM report (as outlined within the Rubric);
3. The current status of the work: in the process of finalizing a plan/action, currently being implemented, or implemented;
4. How this work is either:
  - New for your organization (created, implemented, or revised since 04/10/19); or
  - New or uncommon for higher ed space (created, implemented, or revised since 04/10/17)<sup>52</sup>
5. Plans to evaluate the work and/or evaluation results or impacts of the work;
6. How you involved or are involving stakeholders in the plans and/or work
7. What you envision the next steps for this work to be; and
8. Link to more information about the effort and/or contact information for someone to learn more.

**Please submit your institution's Description(s) of Work by August 3, 2020 by uploading the files here:**

<https://bit.ly/Year1DescriptionOfWorkSubmission>

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<sup>52</sup> You will be expected to explain why you think this work is new or uncommon for higher education.