

SOCIETIES CONSORTIUM ON SEXUAL HARASSMENT IN STEMM

An initiative to advance professional and ethical conduct, climate & culture

Consortium Members Survey of Policies and Practices

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Summary of Findings And Perspectives About the Current State of Societies' Policies and Practices

Survey Background:

Building on the commitment of a large number of STEMM societies that are Consortium members, and with a 71 percent response rate, the Members Survey issued in June 2019 is the subject of the working draft ***Members Survey of Policies and Practices: Report of Key Findings*** (Working Draft Survey Report), which was released at the Convening **for internal use of Consortium member-societies (but not for their members) at this time**. The Working Draft Survey Report reveals strengths to build upon and areas requiring work.

- Data in the Working Draft Survey Report are only aggregate data; the Members Survey does not address incidence or incidents of harassment.
- Each society may use the Working Draft Survey Report to gauge its baseline respecting the existence of key policies and associated actions, and to set policy-related priorities. Consider:
 - What you might want to report to your governing board about the Working Draft Survey Report and your society's status;
 - How you might benchmark your society's policies, actions and initiatives in light of key findings;
 - What input on priority actions you might want to elicit from your society's members (without sharing the Working Draft at this time);
 - How you might use the Working Draft Survey Report and member input to engage your governing board and set priorities for action by your society.

Context for Findings

- All societies are nonprofits with resource constraints; all societies are equals in, and equally important to, the Consortium. Tiers were created based on revenues only to ensure that membership is affordable to all committed societies, regardless of revenues.
 - But resources are helpful; higher revenue societies (in relative terms) are more likely to have policies in place, to enforce policies regularly, to have training/orientation programs, and to collect data on types and incidents of sexual harassment.
- The **Working Draft Survey Report and Overview of Key Findings are meant only for internal use by Consortium members and their governing boards at this time**.

Overview of Key Findings in the Working Draft Survey Report

- Areas of strength include:
 - 89% of respondents have a meetings policy that specifically prohibits sexual harassment, prohibits harassment generally, or are in the process of adopting one.

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- 81% have a general conduct policy that specifically prohibits sexual harassment, prohibits harassment generally, or are in the process of adopting one.
- Areas in need of focus for improvement include:
 - Among existing meetings policies of respondents, a lower percentage, 72%, explicitly prohibits sexual harassment;
 - Among existing general conduct policies, an even lower percentage, 66%, explicitly prohibit sexual harassment;
 - Only 44% of respondents provide means of confidential reporting;
 - Only 54% of respondents collect data on incidence/concerns of sexual harassment—and, of those 54%, only 32% report out (on numbers and types of concerns raised and how they are addressed);
 - Considering those data above—and the fact that 37% of respondents say that they have not received any reports of sexual harassment at meetings and 40% say that they have not received reports of sexual harassment in general—the question is why? Do stakeholders know how to raise concerns, think they will be taken seriously, and feel comfortable doing so? Has the society demonstrated that the costs are mitigated by the benefits?

Members' Reaction

Based on polling members' responses to questions at the convening to gauge members' reaction to the Survey results:

- the most significant gaps are:
 - **25%** responded: "Orientation for expected conduct at meetings is only 37%, even less for orientation to generally prevent harassment (32%);"
 - **22%** responded: "While over 80% of respondents have or are developing sexual harassment prevention policies for meetings and in general, ~40% of respondents with a policy don't know if their policy is enforced, and also have no reports of incidents;"
 - **18%** responded: "Bystander and ally training is rare when not provided as part of meeting orientations;"
 - **18%** responded: "Only 44% of respondents provide for confidential reporting;"
 - **17%** responded: "Only 54% of respondents collect data on incidence of sexual harassment—and, of those that do, only 32% report-out."
- the highest impact resources from the Consortium could be:
 - **23%** reported: "Guidance on options to resolve conduct complaints/concerns in a manner that will advance an inclusive climate and culture, including restorative practices and sanctions;"
 - **18%** responded: "Bystander and ally training/orientation programs (compendium of vetting existing programs or new ones);"
 - **16%** responded: "Model codes of conduct both for meetings and in general—including guidance on how to make it easier for people to raise conduct concerns, including confidentially, ombuds programs, and others;"
 - **14%** responded: "Guidance on how to collect data and report on types and incidence of sexual and other harassment to communicate intolerance of harassment;"
 - **9%** responded: "Self-assessment tool on quality/adequacy (not just existence) of policies;"

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- **8%** responded: “Means of information sharing and collaborative response to incidents by societies with their members’ home/employing institutions;”
- **8%** responded: “Engagement initiatives with students to advance inclusive norms of conduct, climate and culture;”
- **5%** responded: “Guidance on how to discuss difficult subjects, while advancing an inclusion of all talent.”
- the highest impact actions societies could take are:
 - **22%** responded: “Begin to provide orientation on existing policies (meetings and general), include all participants in society activities, employees and leaders;”
 - **21%** responded: “Begin to enforce existing policies;”
 - **15%** responded: “Use or adapt the Convening’s Conduct Ground Rules for meetings (and possibly in general), and get organized to further develop conduct policies soon (model policies are being created in the 4th quarter);”
 - **15%** responded: “Begin reporting out on types/numbers of conduct concerns, and what the society does in response—or initiatives to begin to do so;”
 - **13%** responded: “Begin collecting data on reported conduct concerns and how they are resolved;”
 - **10%** responded: “Develop an Honors and Awards policy that considers conduct as well as work produced (consider and adapt the Consortium’s model policy);”
 - **5%** responded: “Use the Survey Report to inform and get feedback from members and to elevate understanding of leadership of the need for action.”

DRAFT 9.10.19



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Members Survey of Policies and Practices: Report of Key Findings

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Complementary Resources

Note: The Survey Report is currently intended for Consortium Members (and their members') information only.

Introduction

A Members Survey titled **2019 Societies Consortium Survey: Baseline Policies, Aspirations and Needs** was conducted through the Societies Consortium on Sexual Harassment in STEMM (Societies Consortium) between June and July 2019. The Survey and this Report of Key Findings are intended to:

- (1) provide useful benchmarking and modeling data to the Societies Consortium's Members and their leadership about existing policies and practices relating to conduct, climate and culture in STEMM societies and fields;
- (2) set a baseline for society and field efforts to measurably elevate conduct standards and advance an inclusive, professional and ethical climate and culture; and
- (3) contribute to the development and impact of Consortium deliverables.

Limitation: This Survey measures the *existence* of policies and certain categories of associated actions that research indicates may help advance inclusive, professional and ethical conduct, climate and culture. However, due to concerns that complexity would create barriers to responding, and the benefit of a high participation rate, the Survey does not measure the *quality or sufficiency* of policy/practice design or implementation.

Consequently, as a follow up to the survey, the Societies Consortium will provide a self-assessment tool, which societies will have the option to use to more deeply evaluate the *quality and effectiveness* of their policies and actions in light of what research and practice indicate is most effective.

I. Methodology

Introduction: For the information described in this report, EducationCounsel, in close consultation with leadership in the Societies Consortium commissioned and designed a survey titled “2019 Societies Consortium Survey: Baseline Policies, Aspirations and Needs” also referred to as the Members Survey of Policies and Practices. The survey was conducted (in English) online via Google Forms, for approximately six weeks starting June 2019. The survey consisted of multiple-choice questions, open-ended questions, and opportunities for respondents to upload related policy files. Additionally, respondents had the option to skip questions, respond “not applicable,” as well as explain many if not all answer choices through an open ended “other” space. The survey was available only to the 110 Societies Consortium Members at the time the Survey was open.¹

Survey Administration: EducationCounsel was responsible for the design and administration of the Members Survey with high level input from the Societies Consortium Executive Committee and Leadership Council, and with actively engaged assistance of a working group of Societies Consortium Members with professional expertise in survey design, implementation and evaluation.

EducationCounsel was also responsible for data collection and processing, with actively engaged assistance of the expert working group on interpretation and reporting of results. The expert working group consisted of:

- Felice Levine, American Educational Research Association
Co-Chair of the Societies Consortium Executive Committee
- Marc Beebe, Institute of Electrical and Electronics Engineers
Co-Vice Chair of the Societies Consortium Executive Committee
- Rachel Ivie, American Institute of Physics
Member of the Leadership Council of the Societies Consortium

Response rate based on Tiers:

It is important to note that all members are equal in the Societies Consortium. Tiers are based on society annual revenues (consolidated) and were created **only** to ensure that Consortium membership fees (assessed on a revenues-based sliding scale) and participation are inclusive and affordable for all interested societies. While all member-societies are nonprofit organizations with limited resources, Tier 1 societies have (on a relative basis) the highest annual revenues, and Tier 7 societies have the lowest annual revenues. “Revenues-based Tier” results in this Survey Report are relevant as an admittedly rough indicator of the extent to which societies may be constrained in undertaking efforts because of resources.

¹ Membership in the Societies Consortium remains open and new members have joined since the Survey closed.

Tier	Responded/Total Members*	Percentage
Tier 1	5/7	71%
Tier 2	10/11	91%
Tier 3	11/14	79%
Tier 4	8/14	57%
Tier 5	6/9	67%
Tier 6	10/16	63%
Tier 7	28/39	72%
Overall Response	78/110	71%

* These figures represent response rate overall; where a society skipped/left blank a particular question, the society was not included in calculated totals for that question for data collection purposes.

II. High-level Findings

Through the survey, the Consortium is proactively generating data to:

- Establish a baseline for benchmarking progress
- Prioritize the Consortium's work on 2 tracks:
 1. Model policies, guidance, tools to advance ethical and professional conduct
 2. Community-building to advance inclusive climate and culture

With a 71% response rate, the survey measures the **existence** of policies and some key actions at a **percentage** of the Societies Consortium's member-societies

- It **focuses** on policies and actions demonstrating **intolerance** of harassment, which are useful to discourage harmful conduct
- It does **not** address incidence of sexual harassment
- It does **not** report on any individual society

Strengths in Foundations

- We always aim for continuous improvement, but the Survey identified some good foundations to build upon.
- More than 80 % of society-respondents have (or have in process) polic(ies) that prohibit sexual harassment, whether expressed generally or specifically.
- Policies apply broadly to everyone involved in societies activities
- 86% of societies with the highest revenues enforce their policies regularly (resources matter)
- 84% of societies with policies post them on their websites

Focus Needed on Anti-harassment Action*

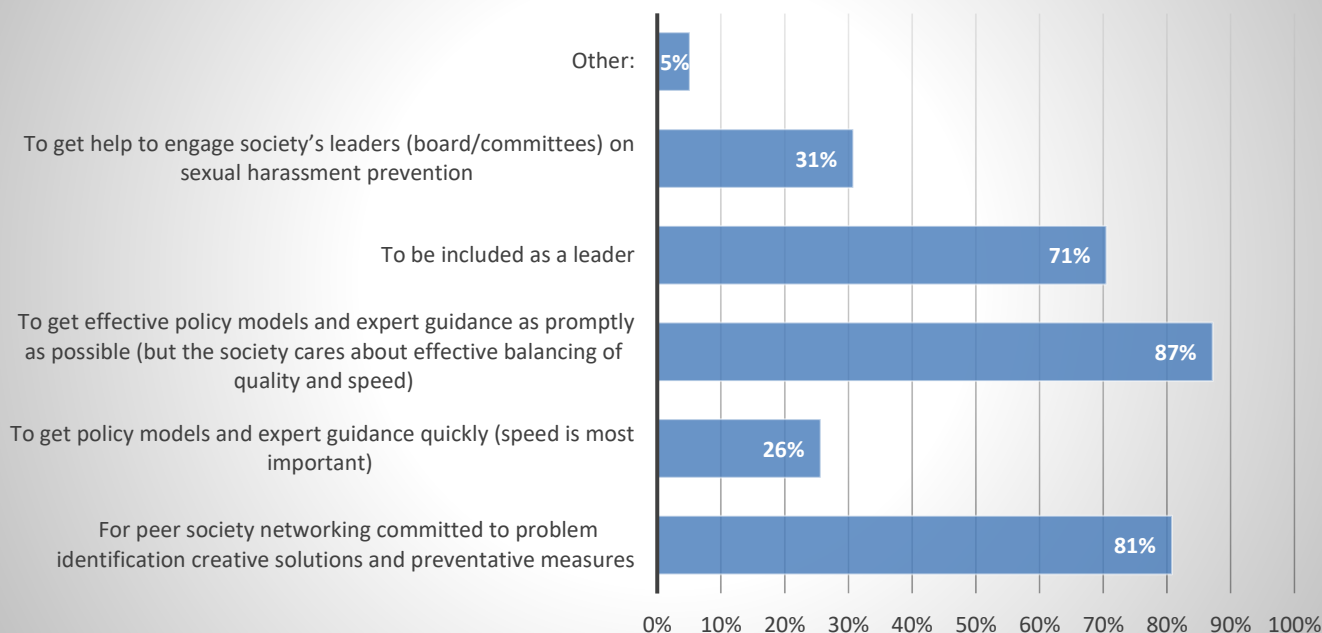
- Of all respondents with anti-harassment policies:
 - Approximately 50% of societies regularly enforce policies
 - Approximately 40% do not know whether their policies are enforced
 - Approximately 40% do not receive claims of harassment (why not?)
- 68% of respondents do not have general orientations to prevent harassment
 - the 32% that do, mainly orient employees
 - a bystander/ally focus is rare
- 63% do not have meetings-related orientation
 - the 37% that do, do not orient volunteer leaders
 - of them, 67% address bystanders/allies
- 53% of respondents collect data on incidents of sexual harassment
 - of those, 32% report-out data (i.e., a tool to show intolerance)

* This is exactly why the Societies Consortium was formed: to help STEMM societies (and the fields broadly) to determine the greatest needs and highest impact actions; and to support their taking effective action in a time and cost-efficient manner.

III. Summary Report of Findings

Why societies joined the Consortium?

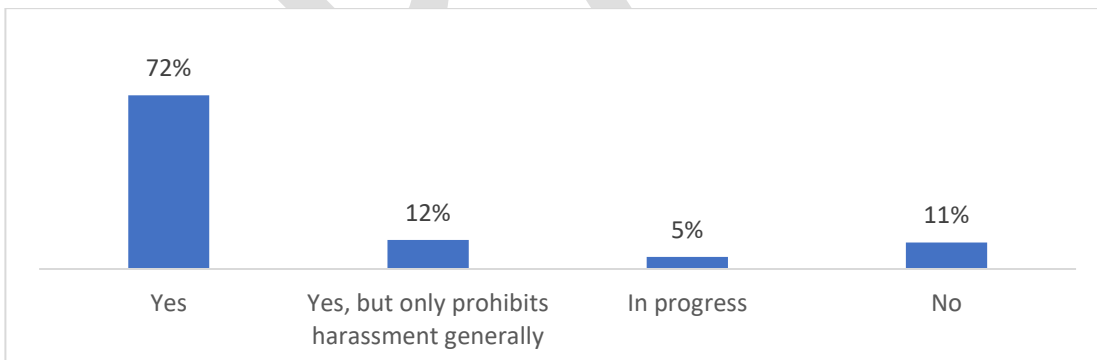
Reasons for Joining the Societies Consortium*



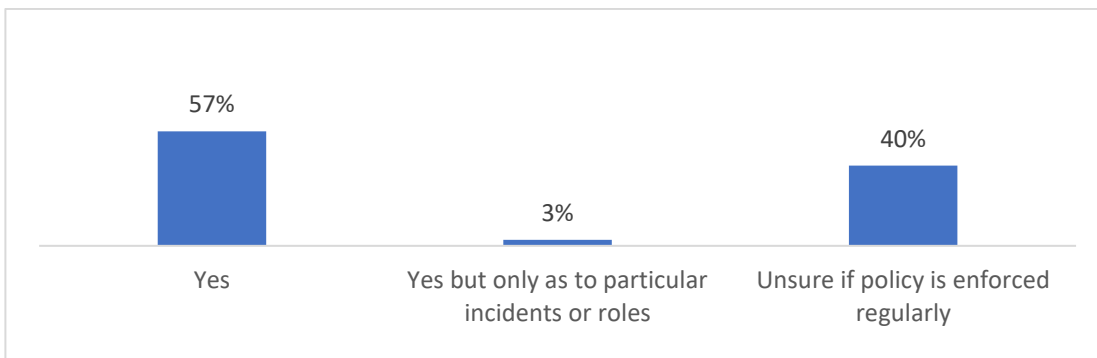
* Multiple responses allowed.

Meetings policies exist and are enforced? (Survey Q.s 13-19)

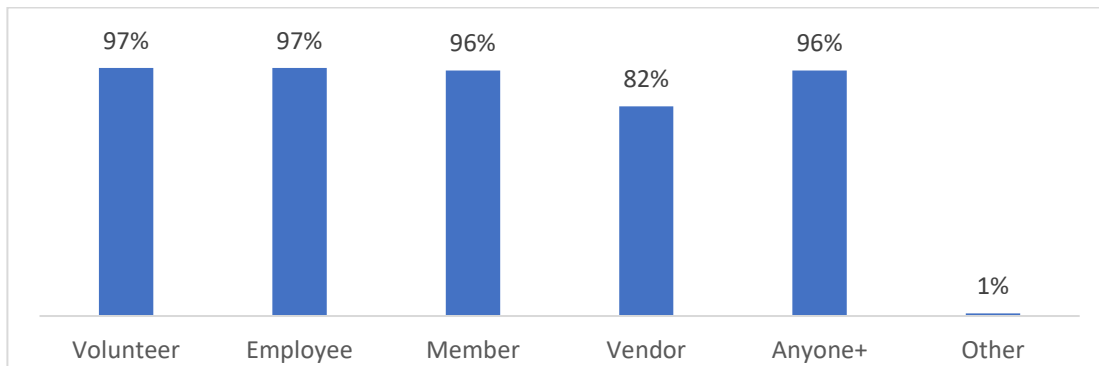
Does Society have a Meetings Policy specifically prohibiting sexual harassment?



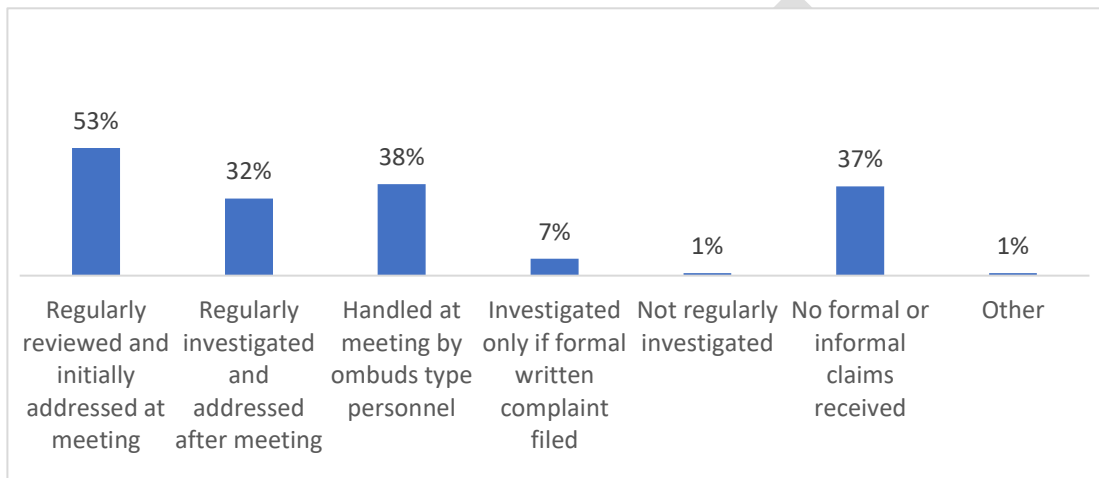
For Societies with a Meetings Policy, is the policy enforced regularly?



For Societies with a Meetings Policy, the policy applies to...



For Societies with a Meetings Policy, claims of violations are addressed...



If response was only "anyone participating in society meeting," **yes to all options** was also assumed to apply.

Areas showing some strengths:

- **89% of responders have, or are in the process of adopting, a meetings policy that either specifically prohibits sexual harassment, or prohibits harassment generally.**
- This percentage is fairly closely distributed over the various revenues-based Tiers; a lower percentage (79%), but still a substantial majority, of societies with the lowest revenues (Tier7) have a policy.
- **Over 80% of societies with a policy apply it broadly to all involved in society meetings, including vendors.**
- **Of those with policies, 7% require a formal written complaint to investigate a concern.**

Areas needing attention:

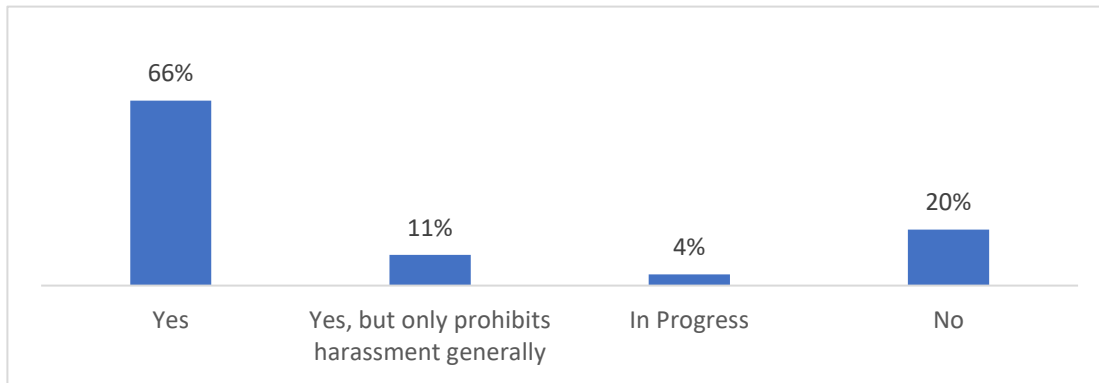
- **37% of responders with a meetings policy, or that are in the process of developing one, report no formal or informal complaints received.** Data collected are insufficient to determine the reason, but consideration is warranted as research indicates that targets often do not report concerns due to a perception that the costs of reporting will outweigh the benefits.
- Of those societies with a meetings policy, **40% do not know whether or not the policy is regularly enforced; and about 50% address conduct issues during a meeting where they occurred.**

Additional Information:

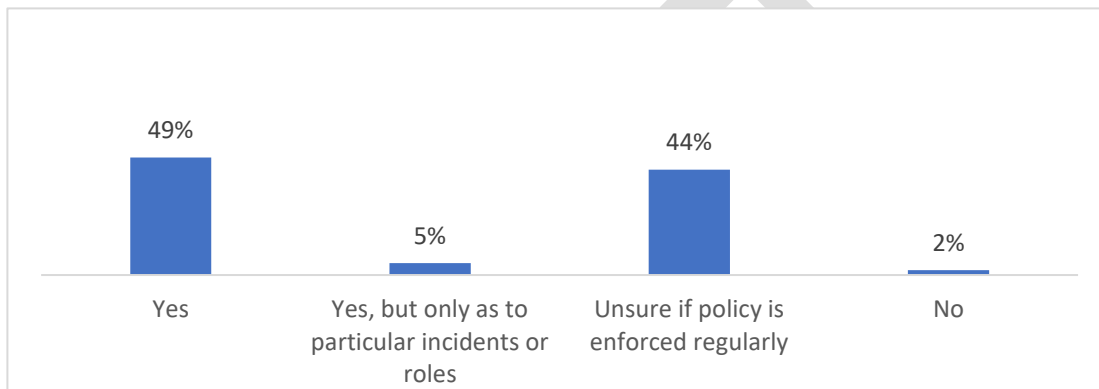
- Development and administration of meetings policies most often involve multiple society entities/roles, but for a majority of responders the governing board is involved (57%). Legal counsel is involved 7% of the time, external consultants 6%.
- Approximately 40% of responders identified senior staff as one entity responsible for the administration, enforcement, and investigation of its meetings policy.

General Conduct/Ethics policies exist and are enforced? (Survey Q.s 29-36)

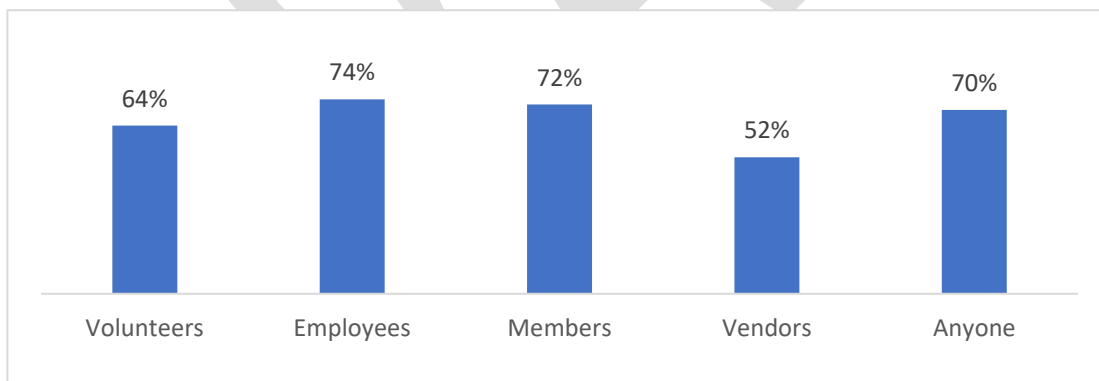
Does the Society have a Conduct/Ethics Policy specifically prohibiting sexual harassment?



Does the Society enforce its Conduct/ Ethics Policies regularly?

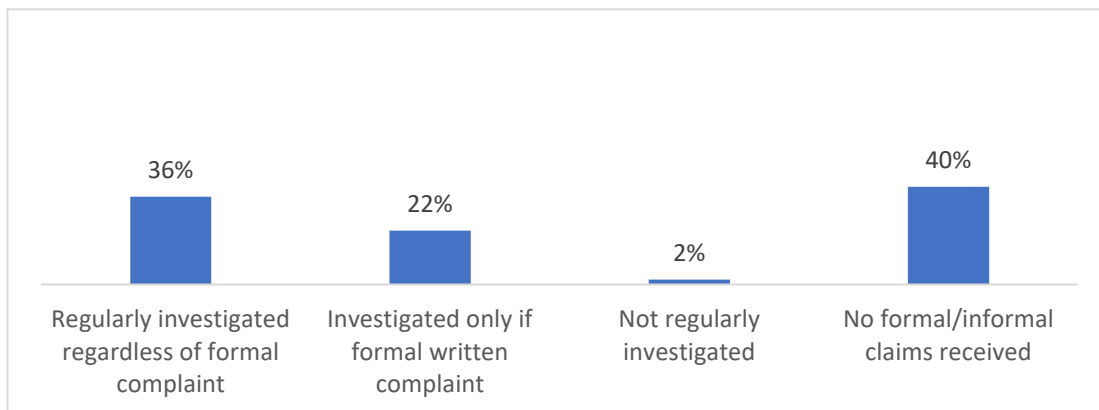


Society's Conduct/Ethics Policy Applies to...



If response was only "anyone participating in society meeting," **yes to all options** was also assumed to apply.

Claims of Conduct/Ethics Policy violations are...



Areas showing some strengths:

- **81% of responders have, or are in the process of adopting, broadly applicable conduct/ethics policies (not just focused on meetings) that either specifically prohibit sexual harassment or prohibit harassment generally.**

Areas needing attention:

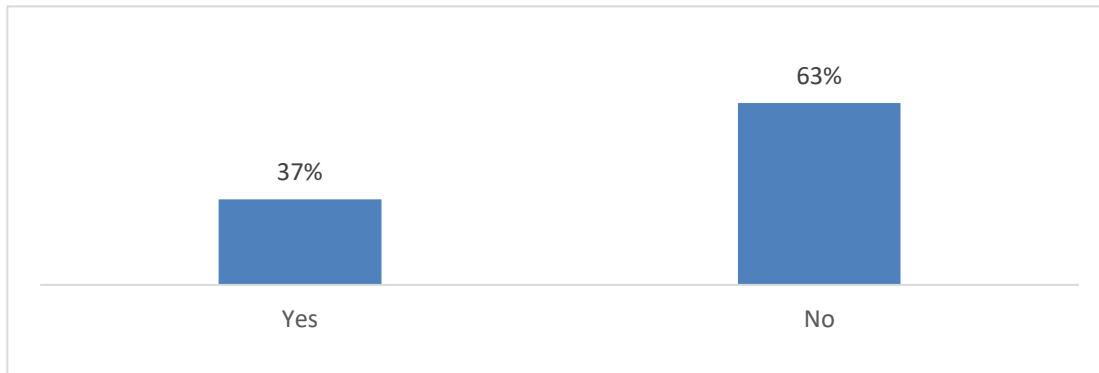
- Of responding societies with conduct/ethics policies: **64% apply it to volunteers and 52% apply it to vendors.**
- **Less than 50% enforce the policy regularly; 44% don't know if the policy is enforced.**
- **36% of complaints are investigated, formally or informally; 22% require a formal complaint to investigate.**
- **40% report receiving no complaints. The Survey data collected are insufficient to determine why, but this warrants consideration** as research indicates that targets often do not report concerns because of a perception that the costs of reporting will outweigh the benefits.
- **While a majority of societies with the least revenues (Tier 7) have or are in the process of developing a broadly applicable conduct or ethics policy that prohibits harassment, the percentage (61%) is lower than for other Tiers.**

Additional Information:

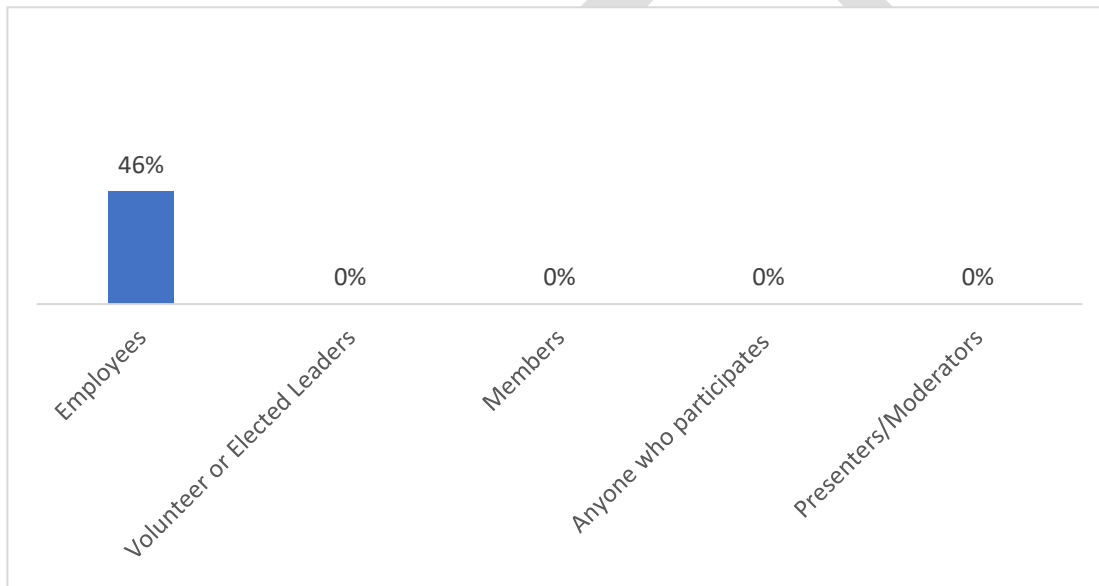
- The majority of responders identified senior staff and executive leadership as involved in the development and administration of its ethics/conduct policies (56%), with the second most frequent being governing board or council (35%).
- A majority of responders identified similar entities/roles for both administration and enforcement of its general ethics/conduct policies.

Training/orientation for significant meetings? (Survey Q.s 23-27)

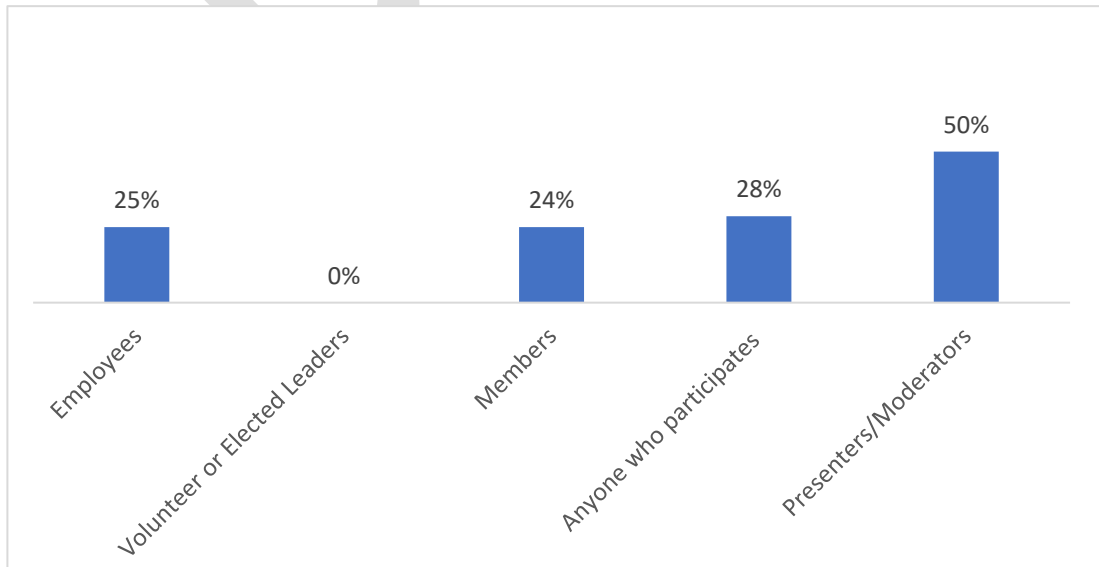
Does the Society have (or have in process) trainings/orientation programs for significant meetings that identify sexual harassment as unprofessional and unethical conduct?



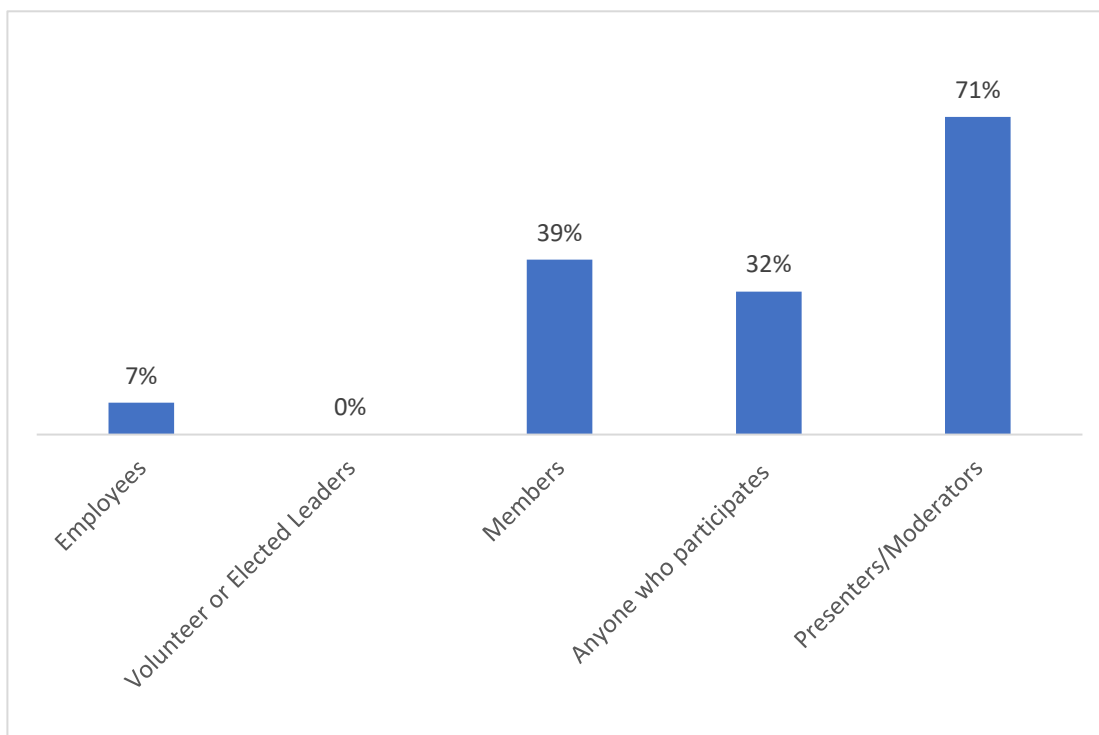
For Societies with meetings training/orientation programs, they are required for...



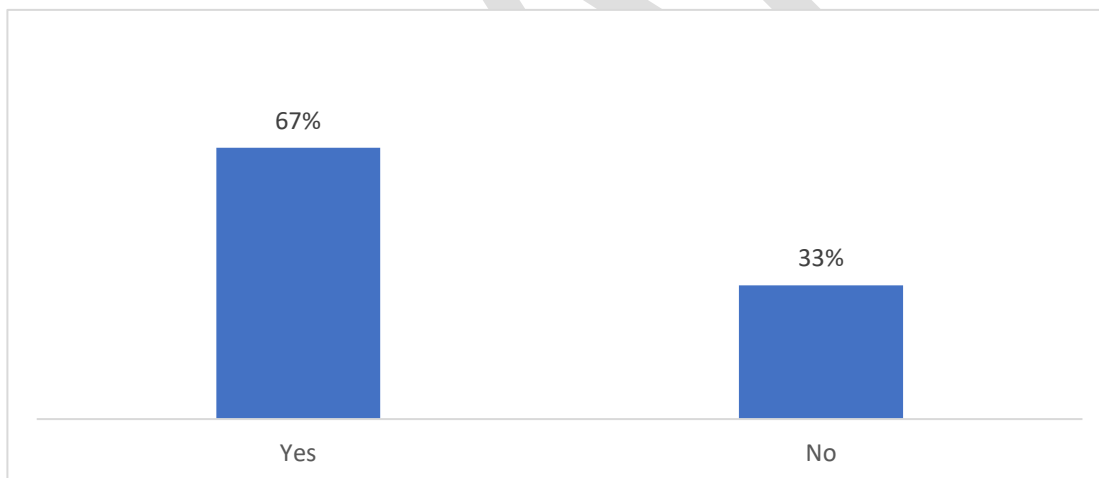
For Societies with meetings training/orientation programs, they are available and encouraged for...



Meetings training/orientation programs are **not** available for...



For Societies with meetings training, does training specifically encourage bystanders and allies to intervene or report to an official?



Areas needing attention:

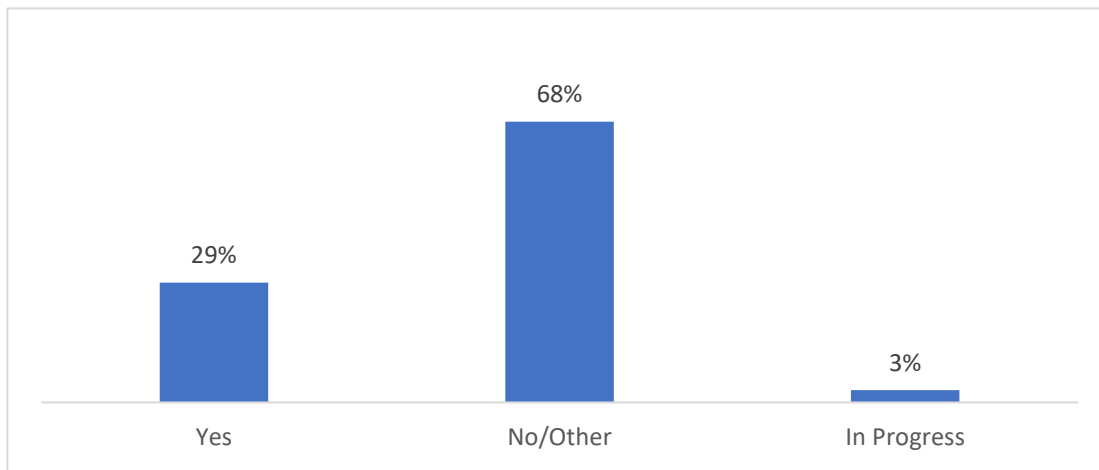
- **37% of responders have, or have in progress, conduct training or orientation for significant meetings.**
- The rates were lower for societies with least revenues, Tier 7 at 32% with such training (or in progress) and Tier 5&6 at 13%.
- Of that 37%, 46% **required training/orientation for specific roles such as employees or senior staff.**
- **Of that 37%, 67% have training for significant meetings that specifically encourage bystanders or allies to intervene or report to an official.**

Additional Information:

- A majority of societies that responded utilize an external consultant to develop and deliver its training programs for significant meetings (52%).

Training/orientation to prevent harassment? (Survey Q.s 40-46)

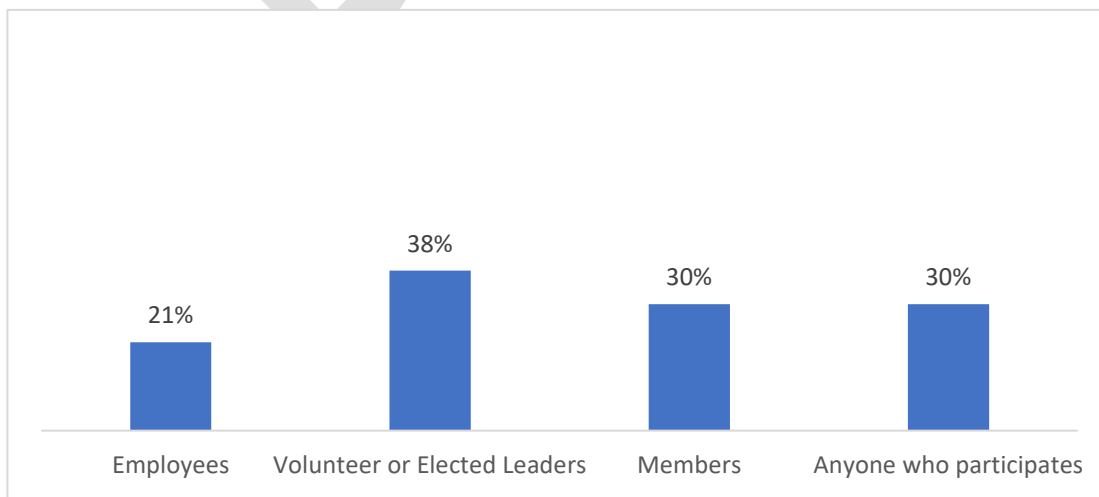
Does the Society have (non-meetings) trainings/orientation programs to prevent sexual harassment and identifying sexual harassment as unprofessional and unethical conduct?*



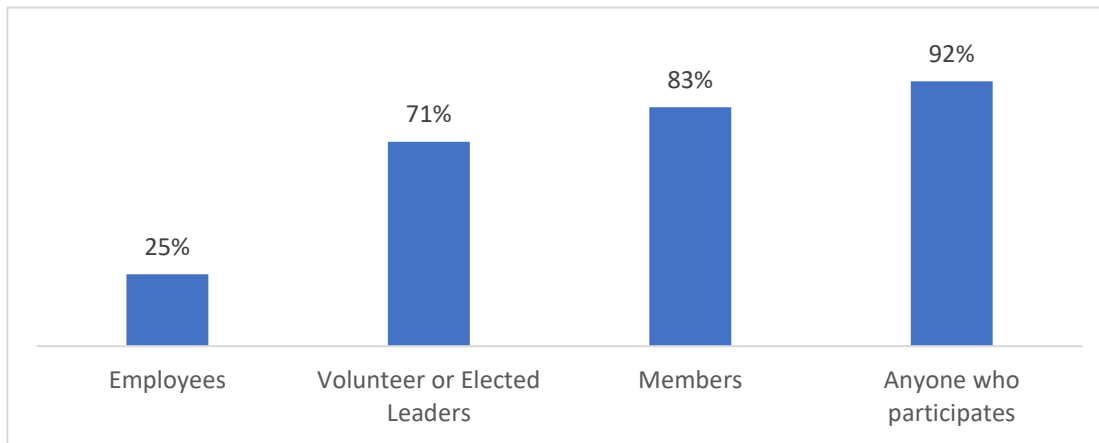
For Societies with non-meetings training/orientation programs, they are required for...



For Societies with non-meetings training/orientation programs, they are available and encouraged for...



*These training/orientation programs are **not** available for...*



Does the society have non-meetings training that specifically encourages bystanders and allies to intervene or report to an official?



Areas showing some strengths:

- Overall, 32% of respondents have (or are in the process of developing) harassment prevention training/orientation programs. Broken down further, **71% of societies with the most revenues (Tiers 1 and 2)** have harassment prevention training/orientation programs.
- Among the societies that have harassment prevention training/orientation programs, **83% require training for employees.**

Areas needing attention:

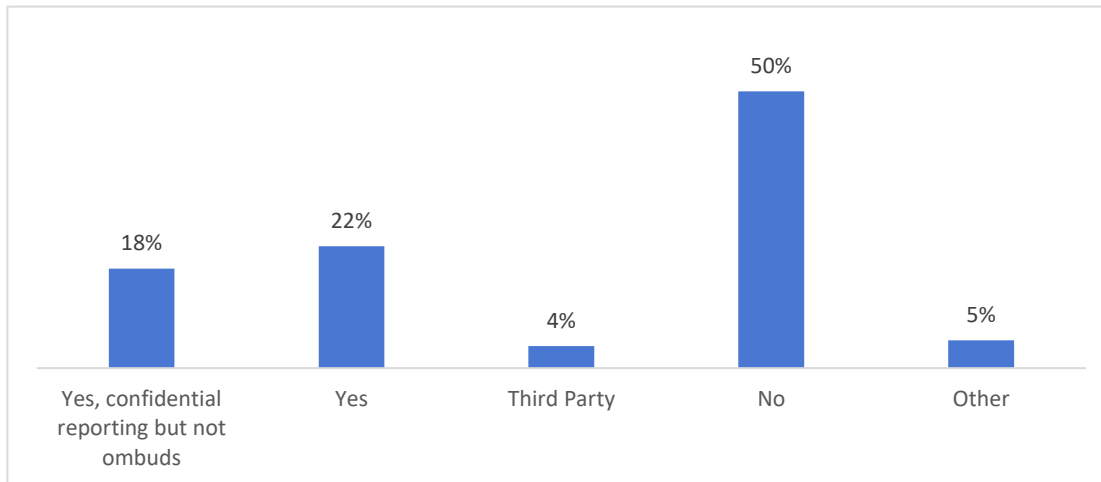
- **32% of responders have, or are in the process of developing, a training or orientation program on conduct/ethics policies to prevent sexual harassment.**
- **56% of those that responded to the first question (whether a training/orientation program exists), also responded to the question whether their training encourages bystanders and allies to intervene or report to an official. Of those who answered, only 33% have bystander/allies training (which is required (7%) or available (26%)).**

Additional Information:

- 42% of the responding societies utilize an external consultant to develop and administer its training/orientation programs to prevent harassment.

Confidential reporting? (Survey Q. 39)

Does the society have a confidential reporting program with an ombuds?

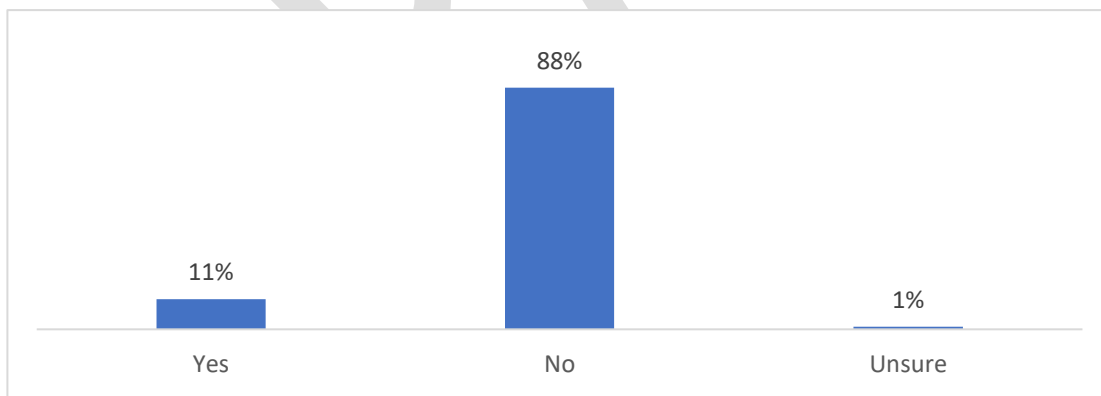


Areas needing attention:

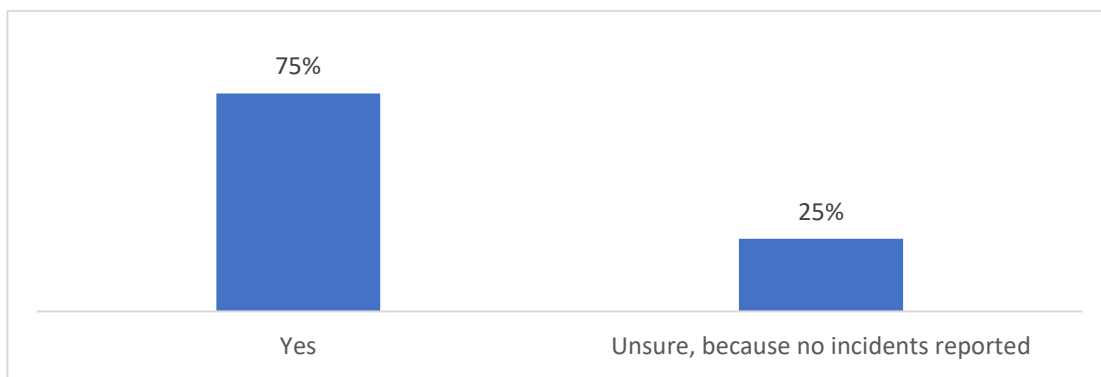
- 22% of responders to a question about the availability of confidential reporting state that they provide for such with an ombuds program.
- 22% provide for confidential reporting without an ombuds program (including through a third-party mechanism)

Research Misconduct policies exist and are enforced? (Survey Q.s 48-53)

Does the Society have a written research misconduct policy that specifically includes sexual harassment in the definition of research misconduct?



For Societies with such a research misconduct policy, is it enforced respecting sexual harassment, regularly?



Informational Only/Not Characterized as a Strength or Needing Attention:

- 11% of responders have a research misconduct policy that specifically includes sexual harassment in the definition of research misconduct. (Societies may choose to do so or to include sexual harassment in the definition of misconduct or scientific misconduct. We are not judging any of these choices.)

Areas showing some strengths:

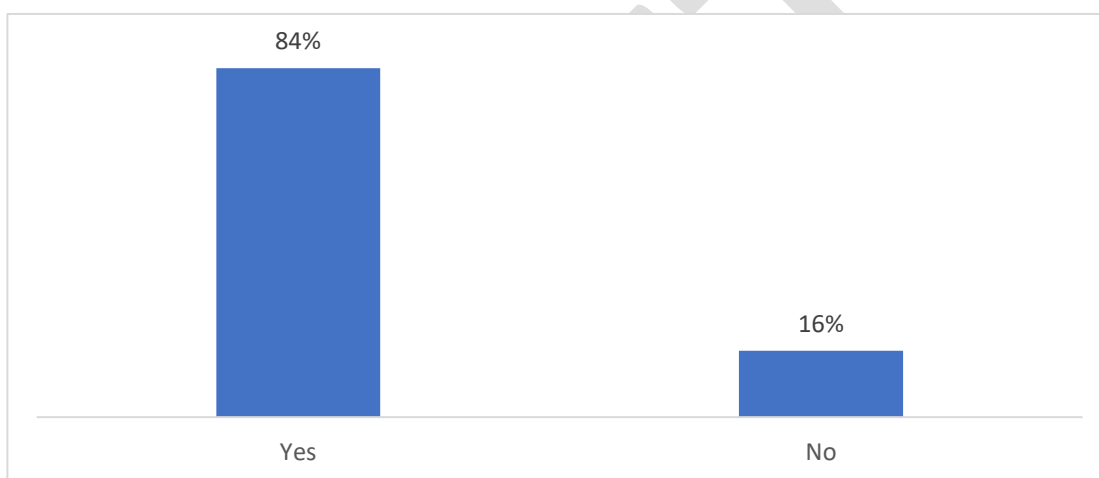
- **Of the societies that reported having a research misconduct policy that specifically includes sexual harassment in the definition, 75% enforce regularly.**

Additional Information:

- 88% of societies that have a research misconduct policy described above, identified the same entities/roles involved in both development/administration and enforcement of the policy.

Publicize policies? (Survey Q. 56)

Are any of the policies identified in this Survey and/or information about how to report incidents or violations, posted on the Society's Webpage?

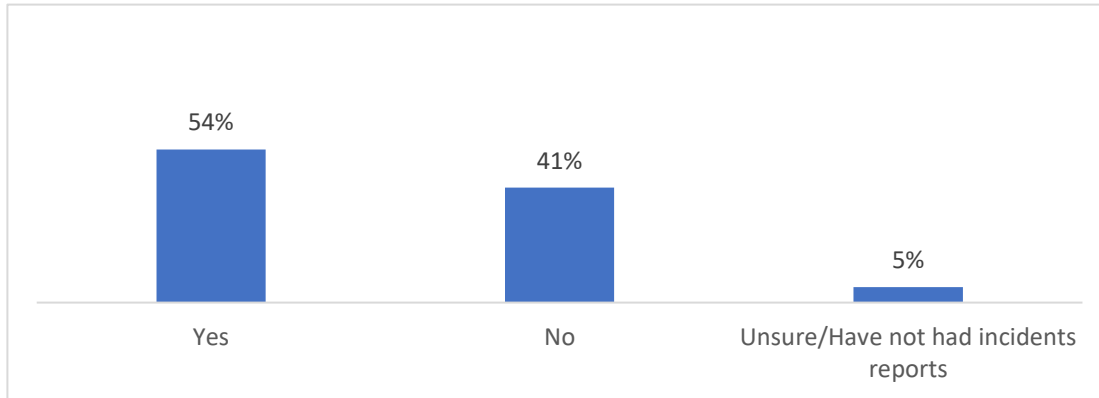


Area showing some strengths:

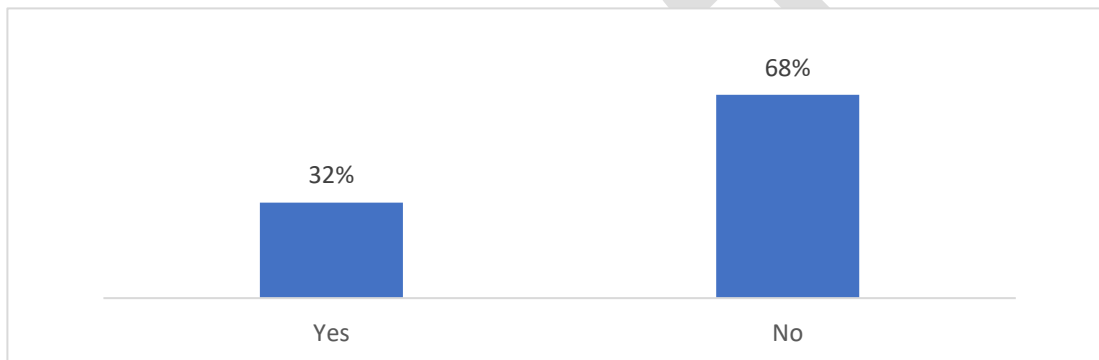
- **84% of responders post their policies and/or information about how to report incidents or violations on the society's webpage.**

Data collection and reporting? (Survey Q.s 60-65)

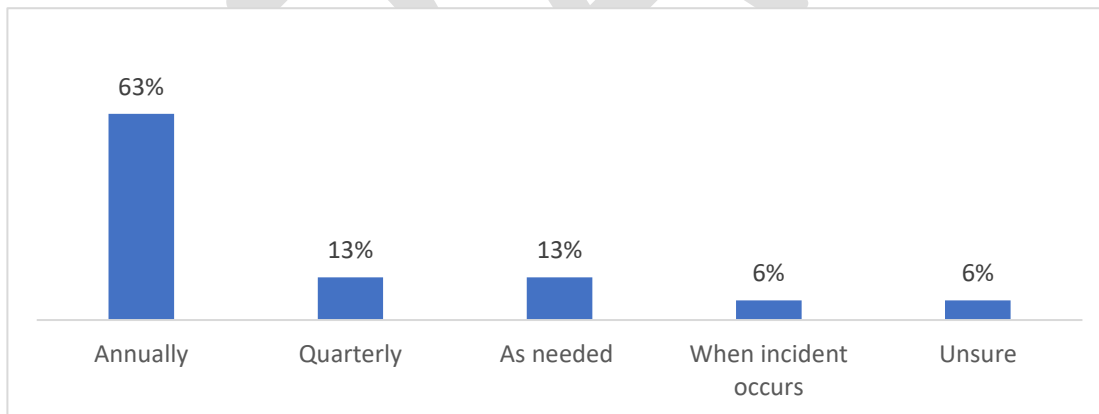
Does the Society Regularly Collect Data on Incidents of Sexual Harassment?



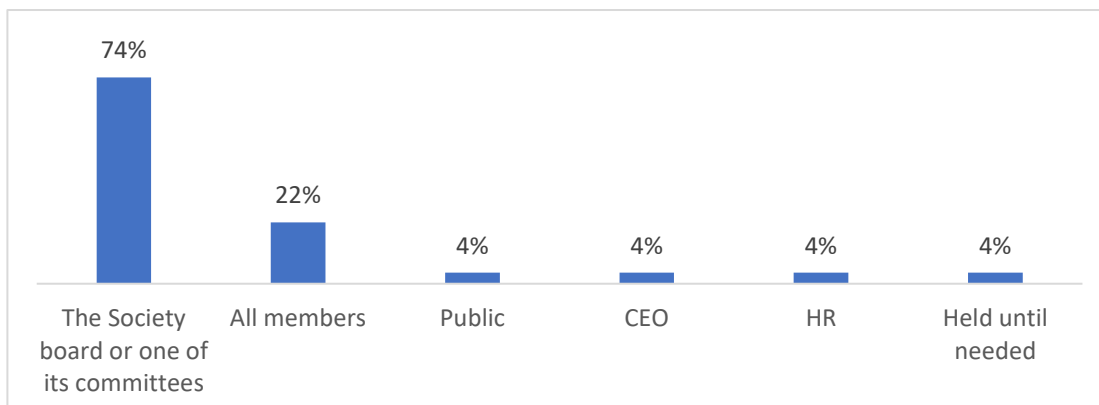
Does the Society issue a report-out on types and numbers of (de-identified) incidents of sexual harassment?



How often is the report produced?



For those that issue a report, to whom is the report made?



Areas showing some strengths:

- **79% of societies with the most revenues (Tier 1 & 2) responded that they regularly collect data on incidents of sexual harassment.**

Areas needing attention:

- **54% of all responders regularly collect data on incidents of sexual harassment;** fewer than 70% of societies in Tiers 3-6 are doing so; 33% of societies with the least revenues (Tier 7) are doing so.
- **Of those that collect data, 32% issue a report of types and numbers of incidents.**

Highlights Identified by Responders (Survey Q. 57)

- Several societies have recently instituted new comprehensive policies;
- Others have implemented specific new policies including a self-disclosure requirement for individuals being considered for governance positions or an award, a revocation policy for elected fellows, and an ethics policy including harassment as research misconduct;
- Use of anonymous, on-line reporting has been effective in surfacing issues.

Gaps Identified by Responders (Survey Q. 58)

- Societies reported a need for enforceable policies regarding sexual harassment, including meetings policies that move beyond employee conduct, and policies that apply beyond in-person meetings;
- Societies reported a need for guidance related to honors and awards (including revocation) and handling substantiated allegations against past awardees;
- Societies reported a need for guidance on enforcement, adjudication processes, and administering sanctions, including what to do about reintroducing “reformed” members; this includes:
 - Need for clearer policy on how to report complaints, how to include anonymous reporting as an option, and how to handle complaints once reported, including a process that allows for confidentiality;
 - Need for training/orientation (including for those tasked with enforcing the policy) related to policies and other resources such as ombuds programs;
 - Need for guidance on what to do when societies learn of reports of misconduct in a member’s home institution, or learn that a member has been sanctioned by an entity other than the society.

See Appendix B -- Detailed Findings on the highlighted topics and more

2019 Societies Consortium Survey: Baseline Policies, Aspirations and Needs

This survey of over 100 Members of the Societies Consortium on Sexual Harassment in STEMM (Societies Consortium) is intended to:

- (1) provide useful benchmarking and modeling data to the Members and their leadership about existing policy, climate and culture in STEMM societies and fields;
- (2) set a baseline for society and field efforts to measurably improve climate and culture; and
- (3) contribute to the development and impact of Consortium deliverables.

Please answer the questions to the best of your ability. There are no right or wrong answers. We will report out the results of this survey at the September 16, 2019 convening of all Members. We will not identify any society in our report or communications (unless a society consents).

WE ARE AIMING FOR 100% PARTICIPATION—PLEASE HELP REALIZE THE POWER OF OVER 100 MEMBERS!

The information you provide will contribute to the value of Societies Consortium membership and resources for your society and all Members.

We would appreciate your response by **TUESDAY, JULY 9, 2019**.

Thank you in advance for your time and attention.

*** Required**

Instructions

Time needed to complete: We estimate that the survey will take, on average, less than 2 hours to complete, taking into account gathering of and any need to review materials.

HOW TO SAVE RESPONSES BEFORE COMPLETION: At the bottom of some sections you will have the option to skip to the end to submit. Make a note of the last section you completed, then press submit. Once submitted, you will have an option to "edit your response." Click on that link, and then you will be directed to the beginning of the survey. Copy the web URL, and save it.

HOW TO CONTINUE RESPONDING: When you wish to continue work on the survey, use the web URL you copied and saved. It will take you to the beginning of the survey. Click next twice. At the end of the questions about member composition, use the drop down menu and select whatever section of the survey you wish to go to, then click next, and continue with the survey.

WHO AT THE SOCIETY SHOULD RESPOND: It's up to the society. It may help to identify a lead representative with good general knowledge of the Society and sexual harassment issues—who can enlist a few colleagues for limited focused assistance if needed. Knowledge of conduct policies, training, meetings, society membership, and leadership help.

WHEN TO ANSWER "OTHER": Choose "other" if you don't know the answer, or "yes" or "no" is inadequate and you want to explain more.

FEDERATION RESPONSES: A federation society should answer for itself, not for each of its members. Any society that is a member of both a federation and the Societies Consortium should answer for itself.

NAME & CONTACT INFORMATION: This is needed for communications about the survey. The email address a society provides will be the only email address used for correspondence on the survey. Personal emails (i.e. the name and photo associated with your Google account, if such account exists) will not be recorded or retained by the Consortium.

UPLOADING MATERIALS: Several questions give the Society the option to upload policies that the Society considers particularly comprehensive and effective. The Society has the option to upload policies while taking the survey, or separately (at a later time) using this link <https://forms.gle/Dn1Q7voY3QfUozhi6>. If choosing to upload files at a later time, please submit those files by JULY 15, 2019.



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Society Name and Contact Information

1. Insert Society Name *

2. Name of Contact for Survey *

3. Email Address You Would Like to be Contacted At

4. Phone Number

5. What are the most important reason(s) why the Society joined the Societies Consortium?

Check all that apply. If "other," please specify.

Check all that apply.

- ☐ To be included as a leader
- ☐ For peer society networking committed to problem identification, creative solutions, and preventative measures
- ☐ To get policy models and expert guidance quickly (speed is most important)
- ☐ To get effective policy models and expert guidance as promptly as possible (but the Society cares about effective balancing of quality and speed)
- ☐ To get help to engage Society's leaders (board/committees) on sexual harassment prevention
- ☐ Other: _____

6. What is the approximate number of total members in the Society?

(Feel free to answer "Don't Know")

7. Provide a breakdown (or feel free to answer "don't know")

Students?

8. Academic professional members?

9. Academic/clinical practice members?

10. Private sector/industry members?

11. Government members?

12. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue
- ☐ Society Policies On Meetings *Skip to question 13.*
- ☐ Trainings/Orientation For Meetings *Skip to question 22.*
- ☐ Society Policies On Conduct And Ethics (Other Than Specific To Meetings) *Skip to question 29.*
- ☐ Society Trainings/Ombuds *Skip to question 39.*
- ☐ Research Policy *Skip to question 48.*
- ☐ Policies Related To Professional Journals *Skip to question 55.*
- ☐ Conduct-Related Policies—Highlights and Gaps *Skip to question 56.*
- ☐ Data Collection *Skip to question 60.*

EXISTING POLICIES ON PROFESSIONAL AND ETHICAL CONDUCT — AND RELATED TRAINING

This part of the survey addresses Societies Consortium Members' conduct policies — and related training — for three purposes, to:

- (1) enable high-level benchmarking of how many Consortium Member-societies have a policy — and related training — on key subjects and associated top-line information;
- (2) serve immediate needs by collecting and making accessible to all Consortium Member-societies existing policies —

and training materials — that some Member-societies believe are comprehensive and effective; and

(3) allow EducationCounsel to further add to or enhance elements of promising existing policies (from policy and law perspectives), as part of the flexible model policies it delivers to Consortium Members. Individual societies will not be named or identified when data and policies are shared in the report on survey responses, unless doing so is requested or agreed to by the Society.

Society Policies On Meetings

13. Does the Society have written polic(ies) that establish standards of conduct at meetings and specifically prohibit sexual and other bases of harassment?

Mark only one oval.

- ☐ Yes
- ☐ Yes, but the polic(ies) only prohibit harassment generally (specific type(s) of harassment are not enumerated)
- ☐ No *Skip to question 22.*
- ☐ Other: _____

Society Policies On Meetings

14. Written polic(ies) that specifically prohibit sexual and other bases of harassment at meetings apply to:

Check all that apply. If "other," please specify.

Check all that apply.

- ☐ Volunteer leaders or electeds (board, committees)
- ☐ Employees
- ☐ Members
- ☐ Anyone participating in society meetings
- ☐ Vendors
- ☐ Other: _____

15. Does the Society enforce the(se) polic(ies) regularly?

If policies are enforced only for particular types of incidents or against people in particular positions/roles, please explain which ones in the "other" section below in the "other" section below.

Mark only one oval.

- ☐ Yes
- ☐ Yes, but only as they apply to particular types of incidents and people in particular positions/roles
- ☐ Unsure, because incidents have not been reported
- ☐ No (e.g., the policy is aspirational or otherwise not enforced)

16. Other:

17. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) DEVELOP and ADMINISTER the(se) polic(ies)?

18. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) ENFORCE the(se) polic(ies) and conduct related REVIEWS or INVESTIGATIONS?

19. Claims of policy violations at meetings...

Check all that apply. If "other," please specify.

Check all that apply.

- ☐ are regularly reviewed and initially addressed during the meeting
- ☐ are regularly investigated and addressed after the meeting
- ☐ are reviewed or investigated only if a formal written complaint is filed
- ☐ may be handled by an ombuds person or other on site personnel who is available and identified at meetings to receive complaints
- ☐ are not regularly investigated and addressed
- ☐ no formal complaints or informal claims of policy violations have been received
- ☐ Other: _____

20. If the society considers its meeting polic(ies) to be particularly comprehensive and effective, please upload the polic(ies) here.

Upload now, or upload at another time using this link <https://forms.gle/Dn1Q7voY3QfUozhi6>

Files submitted:

21. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Trainings/Orientation For Meetings

22. Does the Society have training/orientation programs for significant meetings that specifically identify sexual harassment and other bases of harassment as prohibited unprofessional and unethical conduct?

Mark only one oval.

- ☐ Yes
- ☐ Yes, sexual and other bases of harassment are prohibited but not defined as unprofessional and unethical conduct
- ☐ No Skip to question 29.
- ☐ Other: _____

Trainings/Orientation For Meetings

23. Training/orientation programs for meetings that address sexual harassment and other bases of harassment are...

Check all that apply.

Check all that apply.

	Moderators	Presenters	Members	Employees	All participants in society meetings
Required for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not required but is available and encouraged for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (specify below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

24. Other:

25. Does the Society's meetings training or orientation specifically encourage bystanders and allies to intervene, or report to an official who can intervene, to stop sexual harassment or other forms of harassment?

Mark only one oval.

- ☐ Yes
- ☐ No
- ☐ Other: _____

26. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) DEVELOP and DELIVER the Society's meetings training/orientation programs that address sexual harassment?

27. If the Society considers its training to be comprehensive and effective, and has the right to share training materials, please attach copies, or upload file(s) here.

Upload now, or upload at another time using this link <https://forms.gle/Dn1Q7voY3QfUozhi6>

Files submitted:

28. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Society Policies On Conduct And Ethics (Other Than Specific To Meetings)

29. Does the Society have one or more written polic(ies) that specifically prohibit sexual and other bases of harassment (e.g., general policy; member code of conduct; ethics policy; honors and awards policy; employee-related conduct policy)?

Mark only one oval.

- ☐ Yes
- ☐ Yes, but the polic(ies) only prohibit harassment generally (no specific type of harassment is enumerated)
- ☐ No *Skip to question 39.*
- ☐ Other: _____

Society Policies On Conduct And Ethics (Other Than Specific To Meetings)

30. Written polic(ies) that specifically prohibit sexual and other bases of harassment apply to:

Check all that apply. If "other," please specify.

Check all that apply.

- ☐ Volunteer or Elected Leaders (board, committees)
- ☐ Employees
- ☐ Members
- ☐ Anyone participating in society activities
- ☐ Vendors
- ☐ Other: _____

31. Does the Society enforce the(se) polic(ies) regularly?

If policies are only enforced for particular types of incidents or against people in particular positions/roles, please explain which ones in the "other" section below.

Mark only one oval.

- ☐ Yes
- ☐ Yes, but only as they apply to particular types of incidents and people in particular positions/roles, please explain in the "other" section below for which types of incidents or particular positions/roles there is enforcement
- ☐ Unsure, because incidents have not been reported
- ☐ No (e.g., the policy is aspirational or otherwise not enforced)

32. Other:

33. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) DEVELOP and ADMINISTER the(se) polic(ies)?

34. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) ENFORCE the(se) polic(ies) and conduct related REVIEWS or INVESTIGATIONS?

35. Claims of policy violations...

Please explain under the "other" section below, if you feel the first four answer options do not suffice.
Mark only one oval.

- ☐ are regularly investigated whether or not a written formal complaint is filed
- ☐ are investigated only if a written formal complaint is filed
- ☐ are not regularly investigated
- ☐ no formal complaints or informal claims of policy violations have been received

36. Other:

37. If the Society considers one or more of its polic(ies) to be particularly comprehensive and effective, please upload polic(ies) here.

Upload now, or upload at another time using this link <https://forms.gle/Dn1Q7voY3QfUozhi6>
Files submitted:

38. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Society Trainings and Ombuds Programs

39. Does the Society have a confidential reporting program with an ombuds position or office (i.e., independent person or office allowing informal and confidential reporting) that addresses sexual and other harassment?

Mark only one oval.

- ☐ Yes
- ☐ Yes, the Society has a confidential reporting program but not an ombuds role
- ☐ No
- ☐ Other: _____

40. Does the Society have trainings/orientation programs to prevent sexual and other forms of harassment that identify sexual and other bases of harassment as unprofessional and unethical?

Mark only one oval.

- ☐ Yes
- ☐ Yes, the Society has prevention programs but they do not identify harassment as unprofessional and unethical
- ☐ No After the last question in this section, skip to question 48.
- ☐ Other: _____

41. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end Stop filling out this form.
- ☐ Continue

Society Trainings

42. These trainings/orientation programs on prevention of harassment are...

Check all that apply.

Check all that apply.

	Volunteer or Elected Leaders	Employees	Members	Anyone who participates in society activities
Required for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not required but available and encouraged for	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Not available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other: (specify below)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

43. Other:

44. **Does the Society have training that specifically encourages bystanders and allies to intervene, or report to an official who can intervene, to stop sexual harassment or other forms of harassment?**

Mark only one oval.

- ☐ Yes, and training is required
- ☐ Yes, and training is available but not required
- ☐ No, training exists but it does not specifically address intervention
- ☐ Other: _____

45. **What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) DEVELOP and DELIVER the Society's training/orientation programs that address sexual harassment?**

46. **If the Society considers the training to be comprehensive and effective, and has the right to share training materials, please attach copies or upload file(s) here.**

Upload now, or upload at another time using this link <https://forms.gle/Dn1Q7voY3QfUozhi6>

Files submitted:

47. **Need to leave and come back later?**

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Research Policy

48. **Does the Society have a written research misconduct policy that specifically includes sexual harassment in the definition of research misconduct?**

The Consortium is not taking a position. It is just identifying Members' customs. Please explain under the "other" section below, if you feel the first two answer options do not suffice.

Mark only one oval.

- ☐ Yes
- ☐ No *After the last question in this section, skip to question 55.*
- ☐ Other: _____

49. **Other:**

Research Policy

50. Does the Society enforce this policy, as it relates to sexual harassment, regularly?

If policies are enforced only for particular types of incidents or against people in particular positions/roles, please explain which ones in the "other" section below

Mark only one oval.

- ☐ Yes
- ☐ Yes, but only as they apply to particular types of incidents and people in particular positions/roles
- ☐ Unsure, because incidents have not been reported
- ☐ No (e.g., the policy is aspirational or otherwise not enforced)

51. Other:

52. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) DEVELOP and ADMINISTER the research misconduct policy as it applies to sexual harassment?

53. What internal or external bod(ies), committee(s), entit(ies) or employee/consultant position(s) ENFORCE the policy as it applies to sexual harassment and conducts REVIEWS or INVESTIGATIONS?

54. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Policies Related To Professional Journals

55. Does the Society have different (or additional) policies on sexual harassment that relate to the Society's journal activities?

Mark only one oval.

- ☐ Yes
- ☐ No
- ☐ Do not publish a journal
- ☐ Other: _____

Conduct-Related Policies—Highlights And Gaps

56. Are any of the policies which have been identified in this survey (meetings, codes of conduct, research misconduct, etc.), and/or information about how to report incidents or violations, posted on the Society's webpage?

Mark only one oval.

- ☐ Yes
- ☐ No
- ☐ Other: _____

57. Are there specific aspects of the Society's policies that you would like to highlight as particularly effective and comprehensive? If so, briefly explain.

58. What key gaps or concerns (regarding substance and/or implementation) has the Society already identified about its policies?

(For each gap/concern, identify the associated policy subject matter)

59. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

DATA COLLECTION AND SOCIETY REPORTS

This portion of the survey has two purposes, to:

(1) to determine and benchmark whether societies collect data on which they can assess where they and their fields are (baseline status), where they would like to be (aspirations), and what the most important

next steps are for them and others in their fields (priority actions) as they strive to achieve an inclusive climate and culture that best advances excellence; and

(2) to determine and benchmark whether societies are reporting on existence of and consequences for harassment as part of changing climate.

While we may provide aggregate key take-aways in the report on survey responses, we will not name any individual Society.

Data Collection

60. Does the Society collect data regularly on incidents of sexual harassment?

Check all that apply.

Check all that apply.

- ☐ Yes on the type/subject of incidents
- ☐ Yes on the number of formal complaints filed with the Society annually
- ☐ Yes on number of formal or informal reports to the Society annually
- ☐ Yes on disposition (outcome and any sanction imposed if substantiated)
- ☐ No
- ☐ None of the above
- ☐ Other: _____

61. Does the Society produce a report-out on types and numbers of (de-identified) incidents of sexual harassment and their disposition (outcome and any sanctions imposed if substantiated)?

Please explain under the "other" section below, if you chose "certain types and numbers of incidents".

Mark only one oval.

- ☐ Yes
- ☐ Yes, but only on certain types and numbers of incidents
- ☐ No *After the last question in this section, stop filling out this form.*
- ☐ Other: _____

62. Other:

63. Need to leave and come back later?

Mark only one oval.

- ☐ Skip to end *Stop filling out this form.*
- ☐ Continue

Society Reports

64. How often is the report on incidents and outcomes produced?

If you mark "other," please specify.

Mark only one oval.

- ☐ Annually
- ☐ Bi-annually
- ☐ Other: _____

65. To whom is the report on incidents and outcomes made to?

Check all that apply. If you mark "other," please specify.

Check all that apply.

- ☐ The Society board or one of its committees
- ☐ All members
- ☐ Other: _____

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Appendix B – Detailed Findings

Meetings Policies – By the Number								
Q.13 Does the Society have a Meetings Policy specifically prohibiting sexual harassment*?	Yes	Yes, but only prohibits harassment generally	In progress	No	Tiers 1 & 2 Yes**	Tiers 3 & 4 Yes**	Tiers 5 & 6 Yes**	Tier 7 Yes**
(n=76 responders)	55/76 72%	9/76 12%	4/76 5%	8/76 11%	14/15 93%	17/18 94%	15/15 100%	22/28 79%
Q.15. For Societies with a Meetings Policy, is the policy enforced regularly?	Yes	Yes but only as to particular incidents or roles	Unsure if policy is enforced regularly		Tiers 1 & 2 Yes***	Tiers 3 & 4 Yes***	Tiers 5 & 6 Yes***	Tier 7 Yes***
(n = 68 combined yes** to Q.13)	39/68 57%	2/68 3%	27/68 40%		12/14 86%	11/17 65%	9/15 60%	7/22 32%
Q.14. For Societies with a Meetings Policy, the policy applies to...	Volunteer	Employee	Member	Vendor	Anyone+	Other		
(n = 68 combined yes** to Q.13)#	66/68 97%	66/68 97%	65/68 96%	56/68 82%	65/68 96%	1/68 1%		
Q.19. For Societies with a Meetings Policy, claims of violations are addressed...	Regularly reviewed and initially addressed at meeting	Regularly investigated and addressed after meeting	Handled at meeting by ombuds type personnel	Investigated only if formal written complaint filed	Not regularly investigated	No formal or informal claims received	Other	
(n = 68 combined yes** to Q.13)#	36/68 53%	22/68 32%	26/68 38%	5/68 7%	1/68 1%	25/68 37%	1 1%	

* “Sexual harassment” is used for brevity; all questions asked and data reported concern “sexual and intersecting bases of harassment,” in order to capture intersecting bases of harassment.

** “Combined yes” = “yes, but only prohibits harassment generally” responses + “in progress” responses, + unqualified “yes” responses; “yes” for Q.1 Tier analysis is “combined yes.” For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

*** For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

+ If response was only “anyone participating in society meeting,” yes to all options was also assumed to apply.

Multiple responses allowed.

Meetings Policies – Additional Information

“Other” responses:

- 1/68 (1%): also applies the policy to guests of attendees
- 1/68 (1%): noted incidents are rare, so “yes” to “regular” enforcement isn’t accurate
- 1/68 (1%): noted it has responded to informal reports
- 1/68 (1%): noted the policy works with formal complaints; many incidents are not formally reported; some are never addressed
- 1/68 (1%): seeks guidance on how to handle its members being harassed at other societies’ meetings

What internal or external entity or position develops and administers the Meetings Policy? (Q. 17)

Preliminary note: 16/68 (24%) of responders with a Meetings Policy rely on a single entity/role; for the rest, development and administration involves a combination of committee/roles identified below:

- 39/68 (57%): governing board
- 28/68 (41%): senior staff/executive leadership
- 12/68 (18%): ethics/compliance/audit committees
- 7/68 (10%): unspecified or ad hoc policy committee
- 7/68 (10%): executive or governance committee
- 6/68 (9%): Ombuds
- 5/68 (7%): specialized committee (“Diversity,” “Harassment,” “Social Justice Action,” “Member Learning and Engagement”)
- 5/68 (7%): internal or external legal counsel; 4 internal, 1 external
- 4/68 (6%): professional conduct committee
- 4/68 (6%): external (non-legal) consultant
- 4/68 (6%): Human Resources (HR)
- 3/68 (4%): “rapid response team,” “meeting management team,” or “safety officer”
- 2/68 (3%): relied on another society’s policy to draft its own
- 2/68 (3%): meeting-specific board expressly designated
- 2/68 (3%): share responsibility with other societies co-hosting a meeting

What internal/external body or position enforces the Meetings Policy and conducts reviews and investigations? (Q.18)

Preliminary note: 23/68 (34%) of responders with a Meetings Policy identified identical or similar entities/roles for both development/administration **and** enforcement of the policy.

- 30/68 (44%): involve senior staff (CEO, HR Director, Ethics/Compliance Officer, Meeting Director, etc.)
- 14/68 (21%): involve governing board
- 14/68 (21%): involve board ethics, risk management or audit committee
- 9/68 (13%): involve legal counsel (7 in-house; 2 outside)
- 5/68 (7%): involve Ombuds (internal or external) in resolution
- 5/68 (7%): involve external (non-legal) consultant (or are considering doing so)
- 2/68 (3%) use EthicsPoint
- 2/68 (3%): consult legal counsel if necessary

Conduct and Ethics Policies – By the Numbers

<p><i>Q. 29. Does the Society have a Conduct/Ethics Policy specifically prohibiting sexual harassment*?</i></p> <p>(n = 76 responders)</p>	<p>Yes</p> <p>50/76 66%</p>	<p>Yes, but only prohibits harassment generally</p> <p>8/76 11%</p>	<p>In Progress</p> <p>3/76 4%</p>	<p>No</p> <p>15/76 20%</p>	<p>Tiers 1 & 2</p> <p>Yes**</p> <p>14/15 93%</p>	<p>Tiers 3 & 4</p> <p>Yes**</p> <p>17/18 94%</p>	<p>Tiers 5 & 6</p> <p>Yes**</p> <p>13/15 87%</p>	<p>Tier 7</p> <p>Yes**</p> <p>17/28 61%</p>
<p><i>Q.31. Does the Society enforce its Conduct/ Ethics Policies regularly?</i></p> <p>(n = 59; 61 combined yes** to Q.29 but 2 responders did not answer Q. 31)</p>	<p>Yes</p> <p>29/59 49%</p>	<p>Yes, but only as to particular incidents or roles</p> <p>3/59 5%</p>	<p>Unsure if policy is enforced regularly</p> <p>26/59 44%</p>	<p>No</p> <p>1/59 2%</p>	<p>Tiers 1 & 2</p> <p>Yes***</p> <p>12/14 86%</p>	<p>Tiers 3 & 4</p> <p>Yes***</p> <p>9/15 60%</p>	<p>Tiers 5 & 6</p> <p>Yes***</p> <p>3/14 21%</p>	<p>Tier 7</p> <p>Yes***</p> <p>5/16 31%</p>
<p><i>Q.30. Society's Conduct/Ethics Policy Applies to...</i></p> <p>(n = 61 combined yes** to Q.29) #</p>	<p>Volunteers</p> <p>39/61 64%</p>	<p>Employees</p> <p>45/61 74%</p>	<p>Members</p> <p>44/61 72%</p>	<p>Vendors</p> <p>32/61 52%</p>	<p>Anyone+</p> <p>43/61 70%</p>			
<p><i>Q.36. Claims of Conduct/Ethics Policy violations are...</i></p> <p>(n = 58; 61 combined yes* to Q.29, but 3 responders did not answer Q.36)</p>	<p>Regularly investigate regardless of formal complaint</p> <p>21/58 36%</p>	<p>Investigate only if formal written complaint</p> <p>13/58 22%</p>	<p>Not regularly investigated</p> <p>1/58 2%</p>	<p>No formal/informal claims received</p> <p>23/58 40%</p>	<p>Tiers 1&2</p> <p>Investigate all claims</p> <p>7/14 50%</p>	<p>Tiers 3&4</p> <p>Investigate all claims</p> <p>6/15 40%</p>	<p>Tiers 5&6</p> <p>Investigate all claims</p> <p>4/13 31%</p>	<p>Tier 7</p> <p>Investigate all claims</p> <p>4/16 25%</p>

* "Sexual harassment" is used for brevity; all questions asked on the Survey instrument concern "sexual and other bases of harassment," in order to capture intersecting bases of harassment.

** "Combined yes" = "yes, but only prohibits harassment generally" responses + "in progress" responses, + unqualified "yes" responses; "yes" for Q.1 Tier analysis is "combined yes." For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

*** For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

+ If response was only "anyone participating in society meeting," **yes to all options** was assumed to apply.

Multiple responses allowed

Conduct and Ethics Policies – Additional Information

“Other” responses:

- 1/61 (6%): noted that its conduct/ethics policy applies to nominees for awards, but that it relies on the finding/investigations from other institutions
- 3/61 (4%): noted that “regularly” means when incidents are reported, so regular enforcement does not mean frequent enforcement
- 1/68 (1%): noted the policy works with formal complaints; many incidents are **not** formally reported, so some are never addressed

What internal or external entities or position develops and administers conduct and ethics policies? (Q. 33)

Preliminary note: Of responders that have a Meetings Policy **and** conduct/ethics policies 59% identified identical or similar entities/roles involved in the development of both types of policies.

- 24/61 (35%): involve governing board or council
- 38/61 (56%): involve senior staff/executive leadership (e.g., CEO, HR Director, Ethics Officer, etc.)
- 13/61 (19%): involve ethics officer, committee or task force
- 8/61 (12%): involve HR
- 4/61 (6%): involve ombuds
- 4/61 (6%): involve legal counsel

What internal or external body or position enforces the conduct and ethics policies and conducts reviews and investigations? (Q. 34)

Preliminary note: 34/61 (56%) of the responders that have conduct/ethics policies identified identical or similar entities/roles for development/administration **and** enforcement of its conduct/ethics policies:

- 15/61 (25%): involve governing board of council
- 21/61 (31%): involve senior staff/executive leadership
- 9/61 (15%): involve HR
- 6/61 (10%): involve legal counsel
- 3/61 (5%): involve ombuds

Meetings Training and Orientation Programs – By the Numbers

Q.22. Does the Society have trainings/orientation programs for significant meetings that identify sexual harassment* as unprofessional and unethical conduct? (n = 76 responders)	Yes 25/76 33%	In Progress 3/76 4%	No 48/76 63%	Tier 1&2 Yes** 9/15 60%	Tier 3&4 Yes** 8/18 44%	Tier 5&6 Yes** 2/15 13%	Tier 7 Yes** 9/28 32%
	Employees	Volunteer or Elected Leaders	Members	Anyone who participates	Presenters/Moderators		
Q.23. For Societies with meetings training/orientation programs, they are required for... (n = 28 combined yes** to Q.22)#	13/28 46%	0	0	0			
Q.23. For Societies with meetings training/orientation programs, they are available and encouraged for... (n = 28 combined yes** to Q.22)#	7/28 25%	0	7/28 24%	8/28 28%	14/28 50%		
Q.23. Meetings training/orientation programs are not available for... (n = 28 combined yes** to Q.22)#	2/28 7%	0	11/28 39%	9/28 32%	20/28 71%		
Q.25. For Societies with meetings training, does training specifically encourage bystanders and allies to intervene or report to an official? (n = 27 combined yes to Q. 22, but 1 responder did not answer Q. 25)	Yes 18/27 67%	No 9/27 33%					

*“Sexual harassment” is used for brevity; all questions on the Survey instrument concern “sexual and other bases of harassment,” in order to capture intersecting bases of harassment.

** “Combined Yes” is “yes” and “in progress.” “Yes” in Tier analysis is *combined yes*. For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

Multiple responses allowed.

Meetings Training and Orientation Programs – Additional Information

“Other” responses:

- 2/25 (8%): ensure training is available for those involved in administering/staffing/organizing meetings
- 2/25 (8%): have training for a designated/dedicated group who serve as “allies” during meeting
- 1/25 (4%): present all participants at society meetings with a “Diversity and Inclusion” plenary discussion
- 1/25 (4%): require training for staff and Board who will handle investigations and enforcement
- 1/25 (4%): employee training is limited to staff liaisons to national committees

For responders with meetings training/orientation programs, what internal or external entity or position develops and delivers training and orientation programs for significant meetings? (Q. 26)

- 13/25 (52%): *external (non-legal) consultant* develops and delivers the program
- 5/25 (20%): involve meetings department, committee, director
- 4/25 (16%): involve HR
- 3/25 (12%): involve diversity or inclusion committee or director
- 2/25 (8%): involve General Counsel
- 2/25 (8%): involve ethics officer or department
- 1/25 (4%): involve ombuds

Harassment Prevention Trainings and Orientation Programs – By the Number

Q.40. Does the Society have (non-meetings) trainings/orientation programs to prevent sexual harassment and identifying sexual harassment* as unprofessional and unethical conduct? (n = 75 responders)	Yes 22/75 29 %	No/Other 51/75 68%	In Progress 2/75 3%	Tier 1&2 Yes** 10/14 71%	Tier 3&4` Yes** 7/20 35%	Tier 5&6 Yes** 3/14 21%	Tier 7 Yes** 4/29 14%
	Employees	Volunteer or Elected Leaders	Members	Anyone who participates			
Q.42. For Societies with non-meetings training/orientation programs, they are required for...# (n = 24 combined yes** to Q.40)	20/24 83%	4/24 17%	0	0			
Q.42. For Societies with non-meetings training/orientation programs, they are available and encouraged for...# (n = 24 combined yes to Q.40)	5/24 21%	9/24 38%	7/24 30%	7/24 30%			
Q. 42. These training/orientation programs are not available for...# (n = 24; combined yes to Q.40)	6/24 25%	17/24 71%	20/24 83%	22/24 92%			
Q. 44. Does the society have non-meetings training that specifically encourages bystanders and allies to intervene or report to an official? (n = 42 responders to Q.44)	Yes, training is required 3/42 7%	Yes, training is available but not required 11/42 26%	No/Exists but does not address intervention 11/42 26%	No 14/42 33%	Other 3/42 7%		
Q. 39. Does the society have a confidential reporting program with an ombuds? (n = 76 responders to Q.39)	Yes, confidential reporting but not ombuds 14/76 18%	Yes 17/76 22%	Third party 3/76 4%	No 38/76 50%	Other 4/76 5%		

* "Sexual harassment" is used for brevity; all questions on the Survey instrument concern "sexual and other bases of harassment," in order to capture intersecting bases of harassment.

** "Combined Yes" is "yes" and "in progress." "Yes" in Tier analysis is combined yes. For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

Multiple responses allowed.

Harassment Prevention Trainings and Orientation Programs – Additional Information

“Other” responses regarding conduct and ethics prevention training/orientation programs:

- 1/24 (4%): noted it held a “#metoo” session at its latest annual meeting
- 1/24 (4%): only provided training for its “ombudsperson”

“Other” responses regarding availability of an Ombuds or other confidential reporting position/office:

- 2/34 (6%): limit their ombuds program to significant meetings
- 3/34 (9%): use an “online” or “hotline” confidential reporting mechanism; 1 of these noted it does not publicize the hot line, which is used primarily for financial whistleblowers

What internal or external entity or position develops and delivers trainings/orientations programs for prevention of sexual harassment? (Q. 45)

- 10/24 (42%): involve external (non-legal) consultant
- 6/24 (25%): involve HR
- 3/24 (13%): involve legal counsel
- 1/24 (4%): noted it is moving from using internal ethics officer to outside consultant
- 1/24 (4%): under development and expects to employ external consultant
- 1/22 (4%): seeks Consortium assistance for training programs

Research Misconduct Policy – By the Numbers

Q.48. Does the Society have a written research misconduct policy that specifically includes sexual harassment in the definition of research misconduct? (This is for information only and is not rated for desirability.) (n = 73 responders)	Yes* 8/73 11%	No 64/73 88%	Unsure 1/73 1%	Tier 1&2** Yes 3/15 20%	Tier 3&4** Yes 2/19 11%	Tier 5&6** Yes 1/14 7%	Tier 7** Yes* 2/25 8%
Q.50. For Societies with such a research misconduct policy, is it enforced respecting sexual harassment, regularly? (The desirability rating relates only to whether a Society that opts to adopt such policy enforces it.) (n = 8 responding yes or in process to Q. 50)	Yes 6/8 75%		Unsure because no incidents reported 2/8 25%	Tier 1&2** Yes 2/3 66%	Tier 3&4** Yes 2/2 100%	Tier 5&6** Yes 1/1 100%	Tier 7** Yes 1/2 50%

* “Yes” Includes 1 society whose Research Misconduct Policy is under development

** For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

Research Misconduct Policy – Additional Information

What internal or external entity or position develops and administers the Research Misconduct Policy? (Q. 52)

- 4/8 (50%): involve governing board
- 1/8 (13%): involve legal counsel
- 6/8(75%): involve ethics chair or committee
- 2/8 (25%): involve executive director
- 1/8 (13%): involve ombuds

What internal or external entity or position enforces the Research Misconduct Policy and conducts reviews and investigations? (Q. 53)

- **88% identified** identical or similar entities/roles for both development/administration **and** enforcement of its Research Misconduct Policy

Miscellaneous Questions – By the Numbers

<p><i>Q.55. Does the Society have different (or additional) policies on sexual harassment that relate to the Society's journal activities?</i></p> <p>(n = 75 responders)</p>	<p>Do not publish a journal</p> <p>9/75 12%</p>	<p>No</p> <p>64/75 85%</p>	<p>Unsure</p> <p>2/75 3%</p>
<p><i>Q.56. Are any of the policies identified in this Survey and/or information about how to report incidents or violations, posted on the Society's Webpage?</i></p> <p>(n = 75 responders)</p>	<p>Yes</p> <p>63/75 84%</p>	<p>No</p> <p>12/75 16%</p>	

Data Collection – By the Numbers

Q.60. Does the Society Regularly Collect Data on Incidents of Sexual Harassment? (n = 74 responders)	Yes* 40/74 54%	No** 30/74 41%	Unsure/Have not had incidents reports 4/74 5%	Tier 1&2*** Yes 11/14 79%	Tier 3&4*** Yes 11/18 61%	Tier 5&6*** Yes 9/15 60%	Tier 7*** Yes 9/27 33%
Q.61. Does the Society issue a report-out on types and numbers of (de-identified) incidents of sexual harassment? (n = 40 answered yes to Q.60)	Yes 12/40 32%	No 28/40 68%		Tier 1&2*** Yes 4/12 33%	Tier 3&4*** Yes 4/9 44%	Tier 5&6*** Yes 0/9 0%	Tier 7*** Yes 4/10 40%
Q. 64. How often is the report produced? (n = 16)	Annually 10/16 63%	Quarterly 2/16 13%		As needed 2/16 13%	When incident occurs 1/16 6%	Unsure 1/16 6%	
Q. 65. For those that issue a report, to whom is the report made? (n=19 Responses)#+	The Society board or one of its committees 20/27 74%	All members 6/27 22%		Public 1/27 4%	CEO 1/27 4%	HR 1/27 4%	Held until needed 1/27 4%

* “Yes” includes those who responded that they collect data “informally” (4) or “irregularly” (1).

** One responder who responded “no” reported that the society did not collect data because it needs further guidance on appropriate ways to collect data and on how to respond to reports of incidents.

*** For Tier analysis n=responders to the question in the tier; not total Consortium members in that tier.

Multiple responses allowed.

+ More societies responded to Q.65 then responded to Q. 61.

Highlights of Effective Policies – As Identified by Survey Responders (Q. 57)

- Instituted a conduct based self-disclosure requirement when individuals seek elected governance positions and are being considered for an award;
- Instituted a revocation policy for elected fellows which has been a model for other societies;
- Use of anonymous, on-line reporting has been effective in surfacing issues;
- Use of EthicsPoint as a confidential reporting tool has been effective (3 societies);
- Implemented a new ethics statement including harassment as research misconduct;
- Administered a recent questionnaire of members regarding sexual harassment, misconduct and gender bias with results made public;
- Conducted a survey and used data in conjunction with new policies; demonstrated that a problem exists in the society's community;
- When “advertising” new policies, emphasize positive, not punitive aspects;
- Highlighted visibility of policies through website, program books for meetings, signage and slides;
- Worked jointly with other societies to create a Joint Code of Conduct.
- Several societies highlighted that they have new comprehensive policies; however, since they are new, they are not yet able to gauge effectiveness.

Gaps or Concerns – As Identified by Survey Responders (Q. 58)

- Need enforceable policies around sexual harassment;
- Need policies that move beyond employee conduct to address leaders, volunteers, members, participants, vendors, particularly for meetings; also need “micro-meeting” policies appropriate for hosting meetings with 25-30 attendees;
- Need codes of conduct that apply beyond society in-person meetings;

Editorial Note: The Societies Consortium First Year Workplan includes a model conduct code policy and a model meetings policy/protocols, both embedding menus of options.

- Need policies about how to respond when state or local law discriminates against or marginalizes a particular group of people in a locale where a society meeting has been long planned;
- Need explicit, consistent policies around making awards (including revocation), and defining harassment as a type of research misconduct;
- Need guidance on handling substantiated allegations against past awardees;

Editorial Note: The Societies Consortium has produced a Model Honors and Awards Policy and Guidance. A segment of the September 16, 2019 all members’ convening will be devoted to related Q&A.

- Need guidance on enforcement, adjudication processes, and administering sanctions, including what to do about reintroducing “reformed” members;
- Need guidance regarding the internal implementation of policies and processes;
- Need for clearer policy on how to report complaints, how to include anonymous reporting as an option, and how to handle complaints once reported, including a process that allows for confidentiality;
- Need for training/orientation (including for those tasked with enforcing the policy) related to policies and other resources such as Ombuds programs;
- Need for guidance on what to do when societies learn of reports of misconduct in a member’s home institution, or learn that a member has been sanctioned by an entity other than the society;
- Need for increased awareness and better communication around these issues.

Survey Worksheet: Using your phone, please type **PolleEv.com/ellc822** into the internet address bar to vote

Based on the survey...

What are the 3 most significant gaps in STEMM society policies, programs and related actions that need attention to advance the Consortium's aims?	What are the 4 highest impact resources and guidance that the Consortium could provide or facilitate to address the gaps?	What are the 4 highest impact actions that societies could begin to take now—individually or collectively— to address some gaps?
<ol style="list-style-type: none"> 1. Only 54% of respondents collect data on incidence of sexual harassment—and, of those that do, only 32% report-out. 2. While over 80% of respondents have or are developing sexual harassment prevention policies for meetings and in general, a significant percentage aren't specific about sexual harassment. Also, ~40% of respondents with a policy don't know if their policy is enforced and have no reports of incidents 3. Orientation for expected conduct at meetings is only 37%, even less for orientation to generally prevent harassment (32%) 4. Bystander and ally training is rare when not provided as part of meeting orientations 5. Only 44% of respondents provide for confidential reporting 	<ol style="list-style-type: none"> 1. Model codes of conduct both for meetings and in general—including guidance on how to make it easier for people to raise conduct concerns, including confidentially, ombuds programs, and others 2. Bystander and ally training/orientation programs (compendium of vetted existing programs or new ones) 3. Guidance on options to resolve conduct complaints/concerns in a manner that will advance an inclusive climate and culture, including restorative practices with or in lieu of other sanctions 4. Guidance on how to collect data and report on types and incidence of sexual and other harassment to communicate intolerance of harassment 5. Means of information sharing and collaborative response to incidents by societies with their members' home/employing institutions 6. Engagement initiatives with students to advance inclusive norms of conduct, climate and culture 7. Guidance on how to discuss difficult subjects, while advancing inclusion of all talent 8. Self-assessment tool on quality/adequacy (not just existence) of key policies 	<ol style="list-style-type: none"> 1. Begin to enforce existing policies 2. Adapt the Convening's Conduct Ground Rules for use at your meetings (and possibly in general), and get organized to further develop conduct policies soon (model policies are being created in the 4th quarter) 3. Begin to provide orientation on existing policies/conduct expectations (meetings and general), including all participants in society activities, employees and leaders 4. Begin to collect data on reported conduct concerns and how they are resolved 5. Begin to report out on types/numbers of conduct concerns (maintaining confidentiality of individuals), and how the society responds—or initiatives to begin to do so 6. Develop an Honors and Awards policy that considers conduct as well as work produced (consider and adapt the Consortium's model policy) 7. Without sharing a copy, use the Working Draft Survey Report to inform your priorities and seek feedback from members on initiatives to elevate understanding of the need for action by society leadership and members

What are the 3 most significant gaps in STEMM society policies, programs and related actions needed to advance the Consortium's aims?	What are the 4 highest impact resources and guidance that the Consortium could provide or facilitate to address the gaps?	What are the 4 highest impact actions that societies could begin to take now—individually or collectively— to address some gaps?
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If you have any other ideas, record them here: