

**SURVEY OF SEXUAL VICTIMIZATION, 2016****Substantiated Incident Form (Adult)**U.S. DEPARTMENT OF JUSTICE  
BUREAU OF JUSTICE STATISTICS  
and ACTING AS COLLECTION AGENT  
U.S. DEPT. OF COMMERCE  
Economics and Statistics Admin.  
U.S. CENSUS BUREAU

Incident Number \_\_\_\_ out of \_\_\_\_

**1. On what date did the incident occur?**

(If more than one date, report the most recent.)

Month    Day    Year

--	--	--	--	--	--	--	--

**2. In what facility did the incident occur?**

Name

City/Place

**3. Where did the incident occur?** (Mark (X) all that apply.)

- 01 ☐ In the victim's cell or room (e.g., if the victim and perpetrator share a cell or room, count as the victim's cell)
- 02 ☐ In the perpetrator's cell or room
- 03 ☐ In a dormitory or other multiple housing unit
- 04 ☐ In a common area (e.g., shower, dayroom, bathroom)
- 05 ☐ In a temporary holding cell or intake area within the facility
- 06 ☐ In a program service area (e.g., commissary, kitchen, storage, laundry, cafeteria, workshop, hallway)
- 07 ☐ In an instructional area (e.g., classroom, school, library, conference room)
- 08 ☐ In a recreation area (e.g., yard, courtyard, gymnasium)
- 09 ☐ In a medical area (e.g., infirmary, health clinic)
- 10 ☐ In a staff area (e.g., office, break room, counselor's office)
- 11 ☐ Offsite or while in transit
- 12 ☐ Other – Specify
- 13 ☐ Location unknown

**4. Did the incident take place in an area subject to video monitoring?**

- 01 ☐ Yes
- 02 ☐ No
- 03 ☐ Don't know

**5. What time did the incident occur?**

(Mark (X) all that apply.)

- 01 ☐ Morning (6 a.m. to noon)
- 02 ☐ Afternoon (noon to 6 p.m.)
- 03 ☐ Evening (6 p.m. to midnight)
- 04 ☐ Overnight (midnight to 6 a.m.)
- 05 ☐ Time unknown

**6. How many victims were involved in the incident?**Number of victims . . . **→ If more than two victims were involved, report their characteristics in Notes on page 5.****7. Victim #1: What was the victim's sex or gender identity?** (See definitions on page 5.)

- 01 ☐ Male                      03 ☐ Transgender
- 02 ☐ Female                    04 ☐ Intersex

**8. Victim #1: What was the victim's age at the time of the incident?**

- 01 ☐ Under age 18              05 ☐ 35 – 39
- 02 ☐ 18 – 24                    06 ☐ 40 – 44
- 03 ☐ 25 – 29                    07 ☐ 45 – 54
- 04 ☐ 30 – 34                    08 ☐ 55 or older

**9. Victim #1: What was the victim's race/ethnic origin?** (Mark (X) all that apply.)

- 01 ☐ White (not of Hispanic origin)
- 02 ☐ Black (not of Hispanic origin)
- 03 ☐ Hispanic or Latino
- 04 ☐ American Indian/Alaska Native (not of Hispanic origin)
- 05 ☐ Asian (not of Hispanic origin)
- 06 ☐ Native Hawaiian or Other Pacific Islander (not of Hispanic origin)
- 07 ☐ Other racial category in your information system – Specify

**10. Victim #2: What was the victim's sex or gender identity?** (See definitions on page 5.)

- 01 ☐ Male                      03 ☐ Transgender
- 02 ☐ Female                    04 ☐ Intersex

**11. Victim #2: What was the victim's age at the time of the incident?**

- 01 ☐ Under age 18              05 ☐ 35 – 39
- 02 ☐ 18 – 24                    06 ☐ 40 – 44
- 03 ☐ 25 – 29                    07 ☐ 45 – 54
- 04 ☐ 30 – 34                    08 ☐ 55 or older

**Burden Statement**

Under the Paperwork Reduction Act, we cannot ask you to respond to a collection of information unless it displays a currently valid OMB control number. The burden of this collection is estimated to average 30 minutes per response, including reviewing instructions, searching existing data sources, gathering necessary data, and completing and reviewing this form. Send comments regarding this burden estimate or any aspect of this survey, including suggestions for reducing this burden, to the Director, Bureau of Justice Statistics, 810 Seventh Street, NW, Washington, DC 20531. Do not send your completed form to this address.

**12. Victim #2: What was the victim's race/ethnic origin?**  
(Mark (X) all that apply.)

- 01 ☐ White (not of Hispanic origin)  
02 ☐ Black (not of Hispanic origin)  
03 ☐ Hispanic or Latino  
04 ☐ American Indian/Alaska Native (not of Hispanic origin)  
05 ☐ Asian (not of Hispanic origin)  
06 ☐ Native Hawaiian or Other Pacific Islander (not of Hispanic origin)  
07 ☐ Other racial category in your information system – Specify

**13. Did the victim(s) sustain any physical injury during the incident?**

- 02 ☐ No (No injury sustained)  
01 ☐ Yes → a. **What injuries occurred?**  
(Mark (X) all that apply for all victims.)  
01 ☐ Knife or stab wounds  
02 ☐ Broken bones  
03 ☐ Anal or vaginal tearing  
04 ☐ Chipped or knocked out teeth  
05 ☐ Internal injuries  
06 ☐ Knocked unconscious  
07 ☐ Bruises, black eye, sprains, cuts, scratches, swelling, welts  
08 ☐ Other – Specify

→ b. **Did the victim(s) receive medical treatment for these injuries?**

- 01 ☐ Yes  
02 ☐ No

**14. Who reported the incident?**

(Mark (X) all that apply.)

- 01 ☐ Victim  
02 ☐ Another inmate (non-victim)  
03 ☐ Victim's family or friend  
04 ☐ Correctional officer or front line staff  
05 ☐ Administrative staff  
06 ☐ Medical, healthcare, or mental health staff  
07 ☐ Instructor, teacher, or counselor  
08 ☐ Other staff (e.g., kitchen worker, maintenance staff)  
09 ☐ Chaplain or other religion official  
10 ☐ Perpetrator  
11 ☐ Perpetrator's family or friend  
12 ☐ Grievance coordinator, grievance process, or ombudsperson  
13 ☐ Attorney or legal guardian (e.g., other than family member)  
14 ☐ Confidential informant, anonymous tip, hot line, or through monitoring (e.g., camera, telephone, or mail)  
15 ☐ Other – Specify

**15. After the incident was reported, was the victim(s) – (Mark (X) all that apply for all victims.)**

- 01 ☐ Given a medical examination  
02 ☐ Administered a rape kit  
03 ☐ Tested for HIV/AIDS  
04 ☐ Tested for other sexually transmitted diseases  
05 ☐ Provided with counseling or mental health treatment  
06 ☐ Offered but declined testing or treatment  
07 ☐ Already released/discharged  
08 ☐ None of the above

**16. After the incident was reported, was the victim(s) – (Mark (X) all that apply for all victims.)**

- 01 ☐ Placed in or returned to administrative segregation, protective custody, or disciplinary segregation  
02 ☐ Placed in a medical unit, ward, or hospital  
03 ☐ Confined to own cell or room  
04 ☐ Given a higher custody level or different unit within the facility  
05 ☐ Transferred to another facility  
06 ☐ Transferred to another housing unit or dorm, or given a single room or cell  
07 ☐ Separated from perpetrator  
08 ☐ Issued disciplinary report or loss of privileges  
09 ☐ Placed in camera room, under closer surveillance, or increased supervision  
10 ☐ Other – Specify

- 11 ☐ None of the above

**17. What type of sexual violence was involved in the incident? (See definitions on page 5.)**

- 01 ☐ Inmate-on-inmate nonconsensual sexual act → Complete Section A, below  
02 ☐ Inmate-on-inmate abusive sexual contact → Complete Section A, below  
03 ☐ Inmate-on-inmate sexual harassment → Complete Section A, below  
04 ☐ Staff sexual misconduct → Complete Section B on pages 4–5  
05 ☐ Staff sexual harassment → Complete Section B on pages 4–5

**Section A – INMATE-ON-INMATE SEXUAL VICTIMIZATION**

→ If the perpetrator was a staff member, go to Section B on pages 4–5.

**18. How many inmate perpetrators were involved in the incident?**

Number of inmate perpetrators . . .                     

→ If more than two inmate perpetrators were involved, report their characteristics in Notes on page 5.

(See definitions on page 5.)

- Perpetrator #1: What was the inmate perpetrator's age at the time of the incident?**

- (Mark (X) all that apply.)

- (See definitions on page 5.)

- (Mark (X) all that apply.)

- (Mark ☒ all that apply.)

- (Mark ☒ all that apply for all perpetrators.)

- (Mark (X) all that apply for all perpetrators.)

- 01 ☐ Placed in solitary confinement or disciplinary segregation
- 02 ☐ Confined to own cell or room
- 03 ☐ Placed in higher custody level, restricted unit or program, within the same facility
- 04 ☐ Transferred to other unit/cell or separated from victim
- 05 ☐ Transferred to another facility
- 06 ☐ Loss of "good/gain" time, increase in "bad" time or delayed release
- 07 ☐ Given extra work
- 08 ☐ Loss of privileges, disciplinary report or conduct violation, or other reprimand
- 09 ☐ Sent to counseling or treatment team
- 10 ☐ Arrested or referred to law enforcement agency
- 11 ☐ Referred for prosecution or indicted
- 12 ☐ Convicted, given new sentence, or fined
- 13 ☐ Other – *Specify*

## Section B – STAFF-ON-INMATE SEXUAL ABUSE

→ If the perpetrator was an inmate, go to Section A on pages 2–3.

### 28. What was the nature of the incident?

(Mark ☒ all that apply.)

- 01 ☐ Physical force resulting in a nonconsensual sexual act
- 02 ☐ Pressure or abuse of power resulting in a nonconsensual sexual act
- 03 ☐ Indecent exposure, invasion of privacy, or voyeurism for sexual gratification
- 04 ☐ Unwanted touching for sexual gratification
- 05 ☐ Sexual harassment or repeated verbal statements of a sexual nature by staff
- 06 ☐ Wrote letters, showed pictures, or offered gifts or special privileges to inmate
- 07 ☐ Sexual relationship between inmate and staff that appeared to be willing
- 08 ☐ Other – Specify

- 09 ☐ Level of coercion unknown

### 29. How many staff were involved in the incident?

Number of staff . . .

→ If more than two staff were involved, report their characteristics in Notes on page 5.

### 30. Staff #1: What was the gender of the staff?

- 01 ☐ Male                      02 ☐ Female

### 31. Staff #1: What was the age of the staff at the time of the incident?

- 01 ☐ 24 or younger              05 ☐ 40 – 44
- 02 ☐ 25 – 29                      06 ☐ 45 – 54
- 03 ☐ 30 – 34                      07 ☐ 55 or older
- 04 ☐ 35 – 39

### 32. Staff #1: What was the race/ethnic origin of the staff involved in the incident?

(Mark ☒ all that apply.)

- 01 ☐ White (not of Hispanic origin)
- 02 ☐ Black (not of Hispanic origin)
- 03 ☐ Hispanic or Latino
- 04 ☐ American Indian/Alaska Native (not of Hispanic origin)
- 05 ☐ Asian (not of Hispanic origin)
- 06 ☐ Native Hawaiian or Other Pacific Islander (not of Hispanic origin)
- 07 ☐ Other racial category in your information system – Specify

### 33. Staff #2: What was the gender of the staff?

- 01 ☐ Male                      02 ☐ Female

### 34. Staff #2: What was the age of the staff at the time of the incident?

- 01 ☐ 24 or younger              05 ☐ 40 – 44
- 02 ☐ 25 – 29                      06 ☐ 45 – 54
- 03 ☐ 30 – 34                      07 ☐ 55 or older
- 04 ☐ 35 – 39

### 35. Staff #2: What was the race/ethnic origin of the staff involved in the incident?

(Mark ☒ all that apply.)

- 01 ☐ White (not of Hispanic origin)
- 02 ☐ Black (not of Hispanic origin)
- 03 ☐ Hispanic or Latino
- 04 ☐ American Indian/Alaska Native (not of Hispanic origin)
- 05 ☐ Asian (not of Hispanic origin)
- 06 ☐ Native Hawaiian or Other Pacific Islander (not of Hispanic origin)
- 07 ☐ Other racial category in your information system – Specify

### 36. Was the staff involved in the incident an employee of the facility, a contractor, or a volunteer?

(Mark ☒ all that apply for all staff involved.)

- 01 ☐ Full- or part-time paid employee
- 02 ☐ Contract employee or vendor
- 03 ☐ Volunteer or intern
- 04 ☐ Other – Specify

### 37. What was the primary position description of the staff involved in the incident?

(Mark ☒ all that apply for all staff involved.)

- 01 ☐ Administrator, including wardens, superintendents, assistants and others in administrative positions
- 02 ☐ Correctional officer or supervisory staff
- 03 ☐ Clerical staff including secretaries, clerks, receptionists, and other administrative support
- 04 ☐ Maintenance and other facility support staff, including groundskeepers, janitors, cooks, and drivers
- 05 ☐ Medical or health care staff, including counselors, doctors, dentists, psychologists, psychiatrists, social workers, nurses, and medical assistants
- 06 ☐ Education staff, including instructors, teachers, librarians, and education assistants
- 07 ☐ Other program staff
- 08 ☐ Volunteers or Interns
- 09 ☐ Other staff – Specify

**38. What sanction was imposed on the staff?**

(Mark (X) all that apply for all staff involved.)

- 01 ☐ Sent to training or counseling  
02 ☐ Reprimanded or disciplined  
03 ☐ Demoted, diminished responsibilities, or suspended temporarily  
04 ☐ Transferred to another facility or unit  
05 ☐ Arrested or referred to law enforcement agency  
06 ☐ Referred for prosecution or indicted  
07 ☐ Convicted, plead guilty, sentenced, or fined  
08 ☐ Discharged, terminated, or contract not renewed  
09 ☐ Staff resigned (prior to completion of investigation)  
10 ☐ Staff resigned (after investigation was completed)  
11 ☐ Other – Specify

- 12 ☐ No action taken

**39. At the time of the incident, how long had the staff worked at the facility?**

(Mark (X) all that apply for all staff involved.)

- 01 ☐ Less than 6 months  
02 ☐ 6 months to 1 year  
03 ☐ 1 to 5 years  
04 ☐ 5 to 10 years  
05 ☐ More than 10 years

**NOTES**

**Definitions**

**Sexual victimization**

**NONCONSENSUAL SEXUAL ACTS:** Sexual contact of any person without his or her consent, or of a person who is unable to consent or refuse;

**AND**

Contact between the penis and the vulva or the penis and the anus including penetration, however slight; OR  
Contact between the mouth and the penis, vulva, or anus;

**OR**

Penetration of the anal or genital opening of another person, however slight, by a hand, finger, object, or other instrument.

**ABUSIVE SEXUAL CONTACT (less severe):** Sexual contact of any person without his or her consent, or of a person who is unable to consent or refuse;

**AND**

Intentional touching, either directly or through the clothing, of the genitalia, anus, groin, breast, inner thigh, or buttocks of any person.

EXCLUDE incidents in which the contact was incidental to a physical altercation.

**SEXUAL HARASSMENT BY ANOTHER INMATE:** Repeated and unwelcome sexual advances, requests for sexual favors, or verbal comments, gestures, or actions of a derogatory or offensive sexual nature by one inmate directed toward another.

**STAFF SEXUAL MISCONDUCT:** Any behavior or act of a sexual nature directed toward an inmate by an employee, volunteer, contractor, official visitor or other agency representative (exclude family, friends or other visitors).

Sexual relationships of a romantic nature between staff and inmates are included in this definition. Consensual or nonconsensual sexual acts include—

Intentional touching, either directly or through the clothing, of the genitalia, anus, groin, breast, inner thigh, or buttocks that is unrelated to official duties or with the intent to abuse, arouse, or gratify sexual desire;

**OR**

Completed, attempted, threatened, or requested sexual acts;

**OR**

Occurrences of indecent exposure, invasion of privacy, or staff voyeurism for reasons unrelated to official duties or for sexual gratification.

**STAFF SEXUAL HARASSMENT:** Repeated verbal comments or gestures of a sexual nature to an inmate by an employee, volunteer, contractor, official visitor, or other agency representative (excludes family, friends, or other visitors). Include demeaning references to gender; or sexually suggestive or derogatory comments about body or clothing;

**OR**

Repeated profane or obscene language or gestures.

**Gender categories**

**TRANSGENDER:** A person whose gender identity (i.e., internal sense of feeling male or female) is different from the person's assigned sex at birth.

**INTERSEX:** A person whose sexual or reproductive anatomy or chromosomal pattern does not seem to fit typical definitions of male or female. Intersex medical conditions are sometimes referred to as disorders of sex development.