

# Healthy Minds Study



## Research Design

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### Acronym Key

To help with ease of reading this document, we have provided a key of common acronyms used throughout the protocol:

- HMN = Healthy Minds Network
- HMS = Healthy Minds Study
- SC = Study Coordinator
- PI = Principal Investigator
- RA = Research Assistant
- PC = Primary Contact (at participating institution - not an HMS Study Team member)
- UM = University of Michigan
- ORSP = Office of Research Sponsored Projects
- ITS = Information and Technological Services
- JED = Jed Foundation or JED Campus Program

### **1. Objective**

The Healthy Minds Study (HMS) is a survey-based study assessing mental health, health service utilization, and related factors among college and university populations. HMS is one of the only annual surveys of college/university populations that focuses exclusively on mental health and related factors, allowing for substantial detail in this area. The survey gathers data on a variety of domains connected to mental health, including: mental health status, access and barriers to services, utilization of services, social environment, academic environment, academic performance, and health behaviors (e.g., sleep and substance use). The study has a special emphasis on understanding service utilization and help-seeking behavior, including factors such as stigma, knowledge, and the role of faculty and staff, peers, and other potential gatekeepers.

The survey has several versions, all with the same basic design and scope, that are used for different cohorts of colleges/universities to investigate questions specific to their campus population, including students, faculty, and staff. Towards the end of this Research Design Document (see Section 4c), any differences from the standard design are highlighted and explained.

The research design for HMS has remained consistent over the years, and the design described in this application is nearly identical to the design used in the 2022-23 academic year.

### **2. Specific Aims**

Mental health needs have increased steadily in recent years at campuses nationwide.<sup>1-5</sup> Our primary aims are as follows:

- Understand the mental health needs and relevant health behaviors of college and university students and employees.
- Understand the extent to which college and university students and employees are receiving needed services.
- Understand key determinants of whether students and employees receive needed services.
- Provide information about relevant resources to college and university students, faculty, and staff upon completion of the survey.
- Provide data to colleges and universities to inform their mental health practices and policies.

- Explore a variety of topics related to mental health via use of our elective module topics (see Section 4a.i of this document, and the Questionnaires included in IRB documentation subject-facing materials).
- Explore knowledge and behaviors of faculty and staff stakeholders on college campuses who assist students with accessing mental health services.

HMS has been successfully conducted with over 550 college and university campuses since 2005. Each year a different set of campuses participates in the study, although many campuses have participated multiple times over the years.

### **3. Background and Significance**

Mental illnesses have been referred to as the “chronic diseases of the young”.<sup>1</sup> Unlike with most physical health conditions, the disabling consequences of mental illness begin early in life. In 2019, 15.2% of young adults (aged 18-25) reported one or more major depressive episodes in the past year, compared to 8.4% in 2018.<sup>2</sup> Though mental health treatment is increasingly effective and accessible,<sup>3</sup> utilization rates remain low: only 57.6% of young adults (aged 18-25) with a serious mental illness receive any form of treatment.<sup>2</sup> Left untreated, symptoms often become more frequent, severe, and treatment-resistant.<sup>4</sup> The Institute of Medicine (2009)<sup>5</sup> estimated that the annual financial toll of mental health problems among young people to be roughly \$250 billion (not including lost productivity) with only \$45 billion directed to mental health treatment. With so few individuals seeking treatment, the vast majority of this financial burden is borne by the education, welfare, and justice systems. For these reasons and more, improving adolescent and young adult mental health is of key public health importance.

College and university campuses provide an ideal setting to identify, prevent, and treat mental illness during an epidemiologically vulnerable and psychosocially significant life period. For most of the 21 million students enrolled in U.S. postsecondary education (roughly half of all young adults nationwide),<sup>6</sup> their college years will be the only time when a single setting encompasses the main aspects of their daily existence—academic, residential, social, and health. Four-year colleges and universities are typically integrated communities with substantial human and organizational resources that can be leveraged to enact change for entire student populations. There is a pressing need for change given that mental health problems are highly prevalent,<sup>7</sup> appear to be increasing,<sup>8-9</sup> and are typically untreated in college student populations.<sup>10</sup> Estimates from nationally representative samples reveal that roughly one in three undergraduates meets diagnostic criteria for a mental illness.<sup>11</sup> Student mental health is a significant predictor of many important functional outcomes, including social connectedness,<sup>12-13</sup> academic performance and retention,<sup>14-15</sup> and future employment/workplace productivity.<sup>16</sup> Thus, improving student mental health would have not only a direct impact on individual wellbeing but also positive returns to colleges, universities, and society at large.

The HMS team brings a diverse collection of expertise to address these issues, from economics, education, health education, counseling, statistics, and more, and has been successfully conducting the survey study since 2007. Profiles on the HMS team are listed under the CIRBI Investigator and Administrative Personnel section. For the purposes of this document, “HMS team” refers to the Principal Investigator and co-Principal Investigator (PIs), the Study Coordinators (SCs), and Research Assistants (RAs), unless noted otherwise.

#### **4a. Methodology—Survey Design, School Recruitment, Participant Recruitment, Sharing Survey Results**

Each wave of our project will proceed in four steps: (1) survey design; (2) school recruitment; (3) participant recruitment; and (4) sharing survey results.

##### **i. Survey Design.**

The survey has remained largely consistent over the years, with minor changes each year to explore new topics or refine the measurement of existing topics. In the original survey design in 2005, we consulted with several other experts in the college mental health and substance abuse fields at UM and elsewhere, in addition to reviewing the existing literature on student mental health. In developing our survey, we used previously validated and widely used instruments wherever possible. For example, we included depression and anxiety scales from the well-known Patient Health Questionnaire (PHQ) and Generalized Anxiety Disorder 7-item (GAD-7) scale (with exception of two versions of HMS--see Section 4c). In other parts of the survey we modified previously used questions to the campus setting. We also created new questions in order to address issues that have not been previously explored in this type of survey. The survey has taken 20-25 minutes on average for respondents to complete in the most recent study years, and in compiling the current survey, we have maintained a similar length.

The HMS student survey consists of a series of sections, or “modules”. There are three standard modules (Demographics, Mental Health Status, and Mental Health Service Utilization/Help-Seeking) that form the core of the survey and are always present. In addition to the three standard modules, schools can elect to administer one or more elective modules from a menu of options such as: Knowledge and attitudes about Mental Health and Mental Health Services, Upstander/Bystander Behaviors, Mental Health Climate, etc. (see Questionnaires), if their version allows for the choice (see Section 4c of this document).

The HMS faculty and staff survey also consists of a series of modules. These modules include Demographics; Faculty and Staff Wellbeing; Mental Health Service Utilization, Support, and Help-Seeking; Campus Climate; Knowledge and Attitudes; Supporting Students, version A (for faculty) and Supporting Students, version B

(for staff). Each of these modules will be included in each survey. At this time, there are no elective modules for the faculty and staff version.

Participating colleges and universities also have the option to add custom questions to the survey (which the research team may use for research purposes). These questions are chosen by the participating campuses, and our study team will then thoroughly review them using our expertise in the field, and reserve the right to exclude any of the custom questions if they do not (1) maintain minimal risk and discomfort to student respondents, and (2) if they do not hold up to our standards of collecting reliable data of integrity. Schools that have included these extra questions have typically chosen questions that are very similar to the general topics in the core questionnaire—a mix of non-sensitive (e.g., asking about perceptions of campus climate) and sensitive questions (e.g., asking about drinking behavior and mental health). Schools also often utilize custom questions to include questions from our elective modules without fielding the entire module.

## **ii. School Recruitment.**

Though HMS is now quite well known throughout campus mental health networks, our research team will continue to actively recruit colleges and universities to participate in the study. To recruit interested schools, the team advertises HMS through several channels including, but not limited to, listservs, the HMN Website ([healthymindsnetwork.org](http://healthymindsnetwork.org)), and research briefs. If a school is interested in enrolling, they will contact the study team (primary email contact: [hms-coordination@umich.edu](mailto:hms-coordination@umich.edu)). Otherwise, schools will be recruited through partner organizations (see Section 4c).

### **a. Enrolling a school in the study.**

Schools that elect to participate will first provide SCs with the name and contact information of someone who the school has designated their Primary Contact (PC). The PC is responsible for coordinating all communication between the participating school and the HMS team (usually through the SCs). The PC will then work with their school's administration to have the appropriate official sign a participation contract (Research Agreement) with UM [drafted and overseen by the UM Office of Research Sponsored Projects (ORSP) and Contracts Office]. These two steps must be completed before any data collection may occur. The schools will also submit payment to the study team (collected through the UM School of Public Health, Department of Health Behavior and Health Education), although this does not necessarily have to occur prior to data collection.

Unless part of an organization or cohort which predetermines the schools' elective module choices (see Section 4c), participating colleges and universities may also select elective modules to administer on their campus for the student survey. For the student version of HMS, all schools (regardless of version) will participate in the three standard modules. Schools not part of a cohort with pre-determined modules will select one or more additional modules from a list of elective modules.

Participating schools will also provide customization specifications for local resources to include in the survey endings and recruitment documents, as well as customized questions or additional module selections, if desired.

The SC will explain all aspects of the study to the PC, and clarify the school's role as a non-engaged performance site with respect to the research, as all communications with students, faculty, and staff that directly pertain to the study, and all aspects of survey dissemination and data collection, are handled by the HMS team.

### **b.) Recruitment of Participants**

#### **1. Confidential Protocol.**

Schools will provide our team with a sample file of students and/or faculty and staff from their institution by submitting their sample file in the Qualtrics enrollment form (see Section 4a.ii-3). We will need to collect student and/or faculty and staff email addresses from each school for recruitment and sampling.

When utilizing the confidential protocol, the Healthy Minds student survey is able to accommodate sample sizes up to 12,000. A sample of 12,000 can be divided into up to 3 groups of 4,000, each receiving up to 2 elective modules per group. This way, we are able to maintain an appropriate level of statistical power for the generalizability of each survey while also keeping the length of the survey as short as possible for schools that utilize multiple elective modules.

This information will be obtained before the recruitment of individual students and/or faculty and staff. The institution may be permitted to share the data listed above for all students recruited for the study consistent with the guidelines of the Family Educational Rights and Privacy Act ([FERPA](http://www.ferpa.gov)).

These guidelines allow schools to disclose those records, without consent, to the following parties or under conditions (34 CFR 99.31(a)(6)) including organizations conducting certain studies for or on behalf of the school. In particular, an academic institution could determine that these studies help develop, administer, or validate predictive tests, administer student aid programs, or improve instruction. Our study is consistent with these specifications in multiple ways. For example, our study is administering and validating mental health screening tests to see how well they predict academic outcomes. More generally, our study aims to understand more about how the learning environment (i.e.,

instruction) can be improved through addressing mental wellbeing.

Due to Qualtrics' anonymizing feature, no contact information will be embedded or directly linked to any survey data (see Section 4a.iii-2).

The HMS team will receive the data file of students and/or faculty and staff email addresses at each participating college or university in Excel format. The school's local IRB, Registrar's Office, or similar Office pre-selects the HMS recruitment sample.

Upon receiving the sample file from the institution, the HMS team will assign a unique numeric identifier to each participant. This number corresponds to when the participant was recruited to our study during the given academic year (e.g., 20FA1 = first student listed in the first school sample recruited to HMS fall semester of that year, 20FA10189 = the 10,189<sup>th</sup> student recruited to HMS that year). The unique, numeric identifier is used to link participants' de-identified survey data to their contact information provided in the original sample file, for the purposes of conducting the sweepstakes drawing and any additional incentive drawings (see Section 4a.iii-5 of this document). This is a necessary precaution, enabling us to keep survey data strictly confidential—only the HMS team (PIs and SCs) will ever have access to the key to link identifying sample data to survey data. Participant email addresses stored on our servers are destroyed after 3 years from original data collection, or when that information is no longer needed, whichever comes first.

## **2. Anonymous Protocol.**

Contrary to the Confidential Protocol for recruiting participants, no sample file will be collected from colleges and universities under an anonymous protocol and thus unique links will not be sent via email to participants. Instead, an anonymous link will be created by an HMS SC and will be provided to the PC at the college or university. The PC will distribute the anonymous link to the student and/or faculty and staff population on their campus. Because an anonymous link will be utilized, all students and/or faculty and staff at the institution will be invited to participate in the study, so long as they meet the inclusion criteria for HMS.

The anonymous survey will be secured using two methods via Qualtrics to ensure security of data and prevent multiple responses including 1) Prevent Multiple Responses feature, and 2) Prevent Indexing feature. The Prevent Multiple Responses feature will be implemented to prevent participants from participating in the survey more than once. The Prevent Indexing feature will be implemented to prevent the survey from being searchable on online search engines such as Google, Yahoo, etc.

After completing the anonymous survey, participants will be prompted to provide contact information for the collection of incentives. Once participants land on the last page of the survey, they will be directed to a separate survey link to enter their contact information for their prize. This survey will have an authenticator employed so only those that complete the HMS survey will be directed to enter their contact information. In order to be eligible for a prize, participants must provide contact information including their name and university email address. Contact information must be provided so that participants can be contacted with instructions on how to collect their prize if they are selected as a winner. This process will also ensure no duplicate entries will be made. Responses to the survey will never be linked to their name and university email address.

### **c.) Enrollment methods and security.**

All files, information, and additional customization resources from schools will be sent to our study team via a Qualtrics "school enrollment" form. The PC at each school will be given an individualized link to the enrollment form, creating a form unique to their school, accessible only to those with whom they share their form link. No one else other than the HMS SCs and PIs will have access to a school's form. This Qualtrics form will serve as a step-by-step guide to the above steps necessary for enrolling and on-boarding a school in HMS for the given academic year. There will be one task per page, and at the end of each page, PCs will be able to enter the necessary information, or upload the necessary files, to complete that task. PCs will be given the ability to skip through the form and complete what they can when they are able—they will not be required to complete one page before advancing to the next. All data entered in and uploaded to a school's form will be downloaded by one of the HMS SCs, who will download all school-related information and files directly to the Study Team's Shared Google Drive (refer to Section 4b of this document).

School information is organized by (1) academic year, (2) HMS-version, and (3) school, to avoid misplacement or mislabeling of information. Only the HMS team will have access to these school folders on the Drive. Finally, these folders will be kept completely separate from the folders which will contain participating schools' de-identified survey data (which will also be accessible only to the HMS team, and never stored on Google Drive). The process of having the SCs download the data directly to the Drive, and avoiding sharing Drive folders with PCs, is used to (1) increase data security by limiting access to any folders on our Drive to only people on the HMS team, and (2) avoid sharing of school information over email, which is non-secure due to risk of hacking, breach, and data loss. Furthermore, Qualtrics has been deemed by the UM Information and Technological Services (ITS) as a "Safe Computing" resource for all of our purposes outlined above (<https://www.safecomputing.umich.edu/dataguide/?q=node/211>).

Each individual in a given school sample at confidential-protocol schools will be assigned a unique survey link, generated by Qualtrics' email distribution function. In other words, if there are 4,000 students in a

random sample from a participating institution, Qualtrics will automatically generate 4,000 unique survey links, once we upload the sample file to Qualtrics. This unique link will be piped into the student emails. The unique survey link has no significance outside the study.

### **iii. Participant Recruitment and Communication.**

#### **a.) Participant Recruitment**

The HMS team does not wish to exclude 18-year-olds in states and countries where the age of majority is greater than 18 as the study does not pose more than minimal risk to participants. We believe that including these 18-year-olds in this study will enhance the value of the research to society and the relevance of findings for these institutions. If we are to produce results representative of the first year population, we will need to include 18-year-olds in these states. The risks for 18-year-olds residing in these select states and countries should not be different than for other 18-year-olds. They are at the same stage of education and undergoing the same developmental transitions.

Additionally, no person under the age of 18 will be invited to participate in the survey. Participants must be 18 years or older and must indicate their age after consenting to participate in the study. In countries where the age of consent is less than 18 years of age, participants who are not 18 years or older will be excluded from the study and will not be able to participate. This requirement must be met because in the United States, the HMS study team cannot handle any data from individuals less than 18 years of age without parental consent.

#### **i. Confidential Protocol.**

The PC will determine the number of students and/or faculty and staff to recruit and include in the sample file. All invited participants will be currently enrolled students or employed faculty and staff who are at least 18 years old. Registrar's offices at participating institutions are instructed to not include individuals who are under 18 years old in the sample file.

#### **ii. Anonymous Protocol.**

All students and/or faculty and staff will be invited to participate in the survey via an anonymous Qualtrics link. However, individuals must indicate their age upon consent and must certify that they are at least 18 years or older to move forward in their participation in the survey.

#### **b.) Email logistics.**

The following protocol will be followed when emailing the survey to potential participants for both Confidential and Anonymous surveys.

#### **i. Confidential Protocol.**

Dissemination of the online survey to the survey sample will be conducted by email. To send out emails to participants on each of the participating campuses, the HMS team is working with Qualtrics, a web-based survey and communications company.

After enrolling in the study, the HMS team will create an email address for HMS at that school through Qualtrics. The study team will request that the email address be: *healthyminds\_[schoolname]@umich.edu*. However, some schools may prefer to use a different address. The name of the email address will in no way impact the protection of human subjects. The email address must use the @umich.edu domain in order to be compatible with Qualtrics' emailing distribution function. We work with the school to create this address because this partnership enhances the legitimacy of the study for students, faculty, and staff (because emails come from an account with the school's name or abbreviation referenced—e.g., *healthyminds\_[schoolname]@umich.edu*, as described below), is a sustainable approach to recruitment/communication as the study expands to more sites (asking each participating institutions' ITS department to send out the emails is an unrealistic approach for a national study of this nature), and upholds the privacy and confidentiality for human subjects. In creating this email account, the HMS Team will set the forwarding address to *hms-coordination@umich.edu* (the coordination account for HMS). The HMS team has access to this email account, and is thus able to respond to any questions or concerns potential participants may have regarding the study. All communication from participants will be delivered to *hms-coordination@umich.edu*, including any bounced-back emails or out of office replies.

#### **ii. Anonymous Protocol.**

As mentioned previously, no unique links will be sent directly via Qualtrics. Instead, an anonymous link will be created by a HMS SC and will be provided to the PC at the school. The PC will distribute the anonymous link to their student and/or faculty and staff population on their campus. This link will be distributed in various ways on each campus including, but not limited to, email (initiated by the PC at the college/university), social media, university bulletins, campus websites, flyers, etc.

#### **c.) Security.**

To ensure confidentiality of survey responses, while still using Qualtrics for emailing, we utilize Qualtrics' option to anonymize responses, thus preventing contact information from ever being directly linked to

individuals' survey data, as well as preventing contact data from ever being downloaded alongside survey data. This is why we will create the unique numeric identifiers to be assigned to each individual in an institutions' sample file. This unique number will be entered in as an embedded data element to the Qualtrics survey software, and will be included in the survey data download. This way, when needed for incentivization, individuals' institutional data can be indirectly linked to their survey data, only by the HMS team.

To further ensure data security for both surveying and emailing, Qualtrics accounts are hidden behind passwords and all data is protected with real-time data replication. Only the HMS research team has access to the data through Qualtrics, protected by their individual passwords. Qualtrics' security is further detailed below (see Section 4.b).

#### ***d.) Survey dissemination.***

##### **1. Confidential Protocol.**

As mentioned, the HMS team will recruit individuals to complete the survey via email. The team will begin with a recruitment email with a link to the online survey (i.e., data collection will begin with the recruitment email), and the team will follow-up with reminder emails to non-responders. The HMS team will typically send 3 reminders in total, separated by 5-7 days each, all via Qualtrics. Occasionally, the HMS team may send an additional, fourth reminder email upon request of the campus PC if the school's response rate is lower than they hoped. In total, individuals may receive up to 5 emails about participating in HMS over the roughly 3-4 week data collection period. Those who complete the survey, or indicate they do not wish to participate (by emailing the research team to indicate this, clicking a Qualtrics-automated "opt-out" link at the bottom of any of their HMS-related emails, or not consenting on the consent page of the online survey), will not receive any further invitations. Based on our experience in recent years, we anticipate a total survey response rate of approximately 20%, with substantial variation across different types of institutions (e.g., residential v. commuter schools, 4-year v. 2-year institutions, small v. large schools, etc.).

Individuals will voluntarily access the HMS survey via the unique survey link listed in the recruitment and reminder emails. The link will take participants to the online survey, where they will be presented with the HMS consent form. Participants must give their consent in order to progress and confirm that they are at least 18 years old. After someone consents to the survey, and before they land on the first question, they will be shown a page that briefly re-iterates the component of minimal risk from the consent form. Specifically, participants will be reminded that some of them may find the topics of our questions sensitive in nature, and thus they may be uncomfortable responding. We remind them of our research purposes for asking these questions, and thank them for their participation. The participant will then click the "next" button, and be taken to the first question of the online survey ("What is your age in years?"). If participants are unable to take the whole survey at one time, they may return to their unique survey link at any point during the data collection period to continue where they left off. The final reminder email indicates the exact date of data collection completion/survey closure.

##### **2. Anonymous Protocol.**

The survey will be disseminated via an anonymous link created for each college/university. The HMS SC will build the survey and create the anonymous survey link. The SC will then send the anonymous link to the campus' PC and the PC will then distribute the survey link to their student and/or faculty and staff population. Each PC must outline a dissemination strategy that follows the protocols of their campus and must abide by any policies outlined by the college/university. The HMS team will not disseminate the survey to any individuals themselves. The HMS team can advise each campus on successful recruitment methods and can provide support for survey dissemination but cannot make decisions for any campuses on how the survey will be disseminated, nor will the HMS team disseminate any anonymous survey themselves. Each survey must be disseminated by the PC or another campus representative at each college/university.

#### ***e.) Survey endings***

Upon completion of the survey, participants will receive a list of helpful resources that are programmed into the last page of the survey. For those who do not consent, the survey ending will provide them with the contact information for their local counseling services. Individuals who begin but do not complete the survey see the main resources at the top of each page but because there is no survey ending, there is no other way to provide them with additional resources above and beyond the resources listed on every page. The list includes custom local resources that school contacts have provided.

Survey endings are displayed within Qualtrics and are not sent via email (i.e., sensitive identifiable information is not being transmitted via email). There will be two types of survey endings: (1) for those who do not consent, and (2) for those who complete the survey (see document titled "HMS\_Survey Endings" included in HMS subject-facing materials).

Note that the survey endings were added to HMS in 2015. There is a growing trend in online health screens/interventions whereby respondents receive immediate feedback (this is increasingly the expectation). In response to this, the HMS survey endings (for respondents only) now provide some basic information with results from the validated mental health screens. Our hope is that this feedback will increase the relevance of listed mental health resources and thus increase the likelihood of help-seeking for individuals in need. Another important enhancement that is operationalized in the survey endings is that we are taking a more proactive approach to connect participants with relevant resources based on their

survey results. Over the years we have developed many partnerships with interventionists (e.g., the Healthy Body Image Program at Stanford, through which we ran a pilot program linking from one of our previous surveys). Our hope is that we will be able to connect participants in need with available online resources following completion of HMS.

All of the emailing templates, survey templates, and current survey-ending templates are stored in a Qualtrics HMS group library, which each HMS team member has monitored access to via their UM Uniqname institutional Qualtrics account. A Qualtrics group library is a shared library between certain accounts that enables users to store surveys, graphics, messages, and other file types within their Qualtrics libraries. A Qualtrics group library is used to facilitate secure content sharing. Group members will see an associated library where they can access content shared by all group members. The HMS group library is maintained by the UM ITS Qualtrics team, and permission to access the group library must be approved by the study PIs, and ultimately granted by the UM ITS Qualtrics team.

#### **iv. Post-Survey**

##### **a.) Incentives.**

Incentives have been shown to improve response rates significantly in survey studies of college students. All United States students recruited to HMS will be entered into a drawing with all other participants at all participating institutions for one of ten \$100 prizes and one of two \$500 prizes. Prizes will be in the form of Visa gift cards. Among faculty and staff, all recruited will be entered into a drawing with all other participants at all participating institutions for one of two \$500 prizes, and one of ten \$100 prizes, which will be in the form of Visa gift cards. International schools will not be included in the incentive drawing.

The gift cards won by national incentive drawing winners will be purchased and mailed through the University of Michigan Human Subjects Incentives Program (HSIP). Winners will be contacted by the HMS team to gather the information needed by the HSIP office to mail the gift card, as well as to comply with University and IRS regulations (including: first name, last name, email address, mailing address, and Social Security Number). HSIP has strict guidelines on how to collect and supply this information, including that it will never be exchanged over email. Contact information for the purposes of national incentive distribution will be stored using the same server and protections detailed in 4b, and will be destroyed upon winners receiving their prize.

In addition to the standard incentives, some schools wish to offer their own additional, school-specific incentive. To ensure that this type of school-specific customization is properly documented and reviewed, the HMS team only considers allowing school-specific incentives that are requested by schools several weeks in advance of the planned data collection. Incentives must be approved by the study team, and there are several incentives that the study team have deemed as coercive and will not be approved (including but not limited to: tuition vouchers, class credit, and extra credit). Parameters of the incentive drawing are decided by the school, but are subject to HMS for review. For example, schools can request a random drawing of a certain number of participants who completed the survey, a drawing of participants who completed the survey by a certain date, or a drawing of participants who completed the survey first (for example, the first 20 participants). While this approach is admissible, sometimes schools will see a drop off in response rates after that time frame has passed.

##### **i. Anonymous Protocol**

When schools want to provide local incentives for a survey that utilizes the anonymous protocol, the HMS team will provide an additional anonymous survey link that appears at the end of the initial survey. Participants will be prompted to voluntarily provide their email address for the purpose of providing these incentives, whether that be by random drawing or if a school chooses to reward every participant. This incentive survey data will be downloaded by the HMS team, and the study team will either randomly draw winners to share with the campus PC, or if a school chooses to reward every survey participant, share the list of email addresses with the campus PC through their Dropbox folder.

##### **ii. Confidential Protocol**

Choosing incentive drawing winners for confidential surveys is performed by downloading survey response data, removing individuals who did not consent to taking the survey, and randomly selecting the specified number of Survey IDs. These Survey IDs are then used to identify the email addresses of the winners, which are then shared with the campus PC, only for the purpose of distributing these incentives.

In cases where schools participating in the confidential protocol wish to reward every participant who completes the survey, the HMS team will provide an anonymous survey link that appears at the end of the initial survey requesting participants to share their email address for the purpose of receiving an incentive (the same as the method described above for anonymous surveys). If participants choose to voluntarily supply their contact information, this contact information will be passed on to the campus PC for the purpose of supplying this incentive.

After data collection has concluded at a given school, the HMS team will provide the PC with the email(s) of the winner(s) of the school-specific incentive(s) for the PC to contact them with instructions on how to obtain their prize. As an example, if a school offers three Amazon gift cards as additional incentives, our team will provide the PC of that school with the emails of three randomly selected

individuals for the PC to contact with instructions on how to obtain their prize. Our study team provides the PCs at each school with the emails of winners because our study team doesn't have the specific information/instructions on how individuals should obtain their prize. The email addresses of local incentive winners are only ever shared with the campus PC through the school's secure DropBox folder (refer to section 4b), and are never shared over email.

### **b.) Sharing Survey Results.**

Following data analysis, we will prepare academic articles for publication. We will also prepare a summary report for each participating institution. This report will not contain any identifiable information (i.e., email address, numeric identifier, or a student's sports team affiliation or country of origin) or provide detail that would allow an institution to come close to identifying a participant (e.g. academic discipline on campuses with small sample sizes). As an addendum to this report, the HMS study team will also provide a document comparing a school's aggregate data to the combined data of all of the schools that ran in the same academic year. We will provide this report to the participating school contact. It is expected that the school contact will share the report with school administrators as well as communicate the findings to the campus community.

The school contact will also receive an economic case memo report, which includes only aggregate data, and translates some of the survey findings into an economic case for supporting student mental health services and programs. School contacts will be given access to a data interface tool (<http://data.healthymindsnetwork.org/>), which may be used to visualize graphical representations of their aggregate results, and compare it to the national sample and similar (but de-identified) institutions. These graphs are created from mean scores or counts and percentages for given items, and can be stratified by certain demographics.

Finally, school contacts will be given a de-identified data set of their survey data (i.e., email address will never be included in data, and students' sports team affiliations and countries of origin will all be removed to prevent direct and deductive- identification), including calculated scores for mental health scales (depression, anxiety, eating disorders), and clarifying labels/names ascribed to each column in the data set. The data shared with the school contact or other researchers will always be de-identified. Additionally, in order to reduce the risk of re-identification, the study team looks for and eliminates select demographic variables for unique cases that may be easy to identify within a dataset prior to providing the dataset to the participating school. Furthermore, these individuals will never have access to any other identifiable data. Identifiable data will never be shared with the school contact or other institutions.

All de-identified data and related data reports shared with schools will be shared with them using the DropBox file sharing platform (refer to Section 4b of this document).

#### **i. Data sharing: cohort administrators (see Section 4c).**

For the JED Campus Program (JED), data will be shared with researchers at JED. JED Foundation Campus Advisors and other personnel will have access to individually de-identified, but school-identified, data. This will be stated in the consent form. As mentioned in Section 4c of this document, each school participating in the HMS+JED survey will have two iterations of the study, separated by 3-4 years. These iterations will each be cross-sectional by design, employing a random sampling technique. We will not implement any longitudinal surveying techniques, even among students who may be randomly sampled during both iterations (i.e., there will be no individual-level pre/post analyses or follow-up). JED's main interest in looking at this survey data is evaluating the potential relations between administrative data, policy change and individual-level data.

As mentioned earlier in this document, for other cohorts that are coordinated by a third-party organization, collaborative group, or government agency, we may share school-identified data sets (while individually de-identified) and reports with the overseeing organization, if they so request, in the exact same manner that we do with JED for their member schools. Member schools of any special cohort will be made clear of the terms of data sharing in the terms of agreement in their Research Agreement contract, and students will be made clear of how their data is shared in their consent forms. As with JED and the schools themselves, no one outside of the HMS team (defined as those registered in our CIRBI platform as study personnel) will ever gain access to data that has any sort of direct identifiers of individuals. Furthermore, all data will be removed of variables that may lead to deductive identification of individuals.

#### **ii. Data sharing: outside researchers.**

Finally, upon request, researchers who propose a legitimate use of our study data to advance their own research on mental health may be given access to our national, de-identified data set, for any of our completed study years. This data set will not have any individual direct or indirect (deductive) identifiers (as described in Section 4a), and will also be de-identified with regards to participating institutions (i.e., the names of respondents' affiliated schools will not be included in the data set). These datasets may include institutional characteristics (e.g., Carnegie Classification of Higher Education Institutions, public v. private designation, region of country, etc.). How many and which institutional characteristic variables are included in the datasets depends on how many institutions participated in a given study year, as well as how diverse the institutional population is. Our study team will not include any institutional characteristic variables in these datasets that may pose a reasonable risk of deductive



identification of an institution and its data.

All HMS public datasets now include additional institutional characteristics variables, but no researchers are able to access institution names, even upon request. These data sets will still be completely de-identified with regards to individual respondents and institutions. The only difference is that these data sets may include enough institutional characteristic variables to pose a minimal but possible risk of deductive identification of an institution and its data. All researchers using public datasets will be required to agree to never attempt to identify an institution, or publish, present, or otherwise publicize any participating institution's name, or allow for the possibility of deductive-identification of participating institutions and their school-specific results by any other parties presented with the researcher's results. If researchers outside of the HMS team request this data set with additional institutional characteristic variables, rather than the standard data sets, and the HMS team approves the request, the external researcher will be required to sign and abide by the Data Use Agreement overseen by the UM ORSP, and associated with our HMS data repository application (regulated by UM-IRB, application number: REP0000042).

In even fewer cases, in which a researcher proposes a legitimate need to link our data to specific schools (e.g., analysis of data in context of programs, campaigns, or policies within or between specific institutions; analysis of historic events or contexts within or between specific institutions, etc.), and the researcher's work seems to have the potential to have a significant impact on public knowledge that could not otherwise be achieved without using our study's data, we will request that the researcher provides us with a key that links their variables of interest (e.g., mental health leave policy, campus open carry policy, peer-to-peer program availability, etc.) to the list of schools that have participated in a given year of HMS.

Our team will then take that key to generate a data set that includes that year's data along with the researchers' variables of interest, but not include any of the institutions' names. As in the case of researchers with data sets containing additional institutional characteristics, these researchers using a custom-made data set will be required to agree to never attempt to identify an institution by name, or publish, present, or otherwise publicize any participating institutions' names, or allow for the possibility of deductive-identification of participating institutions and their school-specific results by any other parties presented with the researcher's results. If researchers outside of the HMS team request a custom data set and the HMS team approves the request, the external researcher will be required to sign and abide by the Data Use Agreement overseen by the UM ORSP, and associated with our HMS data repository application (regulated by UM-IRB, application number: REP0000042).

#### **4b. Methodology—Data Storage, Transfer, and Security**

The identifiable institutional data and the survey data will both be stored in separate file-paths on a secure external file server (the U: drive), accessible only to the HMS team, and managed by the UM ITS. This file server is password-protected via individual study team member's institutional login information, and is regularly backed-up on-site. Any sensitive data will be stored on this file server. Access to the file server is highly restricted and through UM VPN only. Designated project members will be granted access to the file server. Access is controlled by Active Directory users and groups.

All data uploading (i.e. uploading contact information into Qualtrics survey distribution panel, and uploading analyzed data into UM+ DropBox), downloading (i.e. downloading contact information from Qualtrics Enrollment Form, and downloading survey data from Qualtrics HMS surveys), cleaning, and analysis (both non-response analyses and all other analyses), that may involve any "sensitive" data (i.e. identifiable data or survey responses in which a respondent may be identified via deductive identification) will be performed through the file server, via UM VPN. Non-sensitive and aggregate data may be stored on Dropbox for fast processing and access.

The file server and terminal server is physically located within a secure UM server room. Room access is controlled by swipe and pin access. Access list is tightly controlled and swipe records are regularly reviewed. Server rooms are equipped with 24/7 video surveillance. Sensors are in place to detect movement, sound, moisture, and temperature changes. Alerts are delivered to on-call staff via multiple methods. Servers are equipped with full disk encryption. All remote connections are fully encrypted.

Servers are connected to the UM restricted access network. This network is behind a dedicated firewall managed by the UM Data Security team. The network is also actively monitored for potential attackers or intruders. The restricted access network connects to the internet via the UM networks. UM runs its own firewall, as well as an Intrusion Detection System (IDS) and an Intrusion Protection System (IPS).

The HMS team will also utilize a two-factor digital authentication process. All HMS team members granted permission to any HMS-related materials found on either the secure file server or the UM+theDropBox will be required to use UM's Duo Two-factor authentication process in order to access any of these folders (including those containing survey data, or identifying data). Duo Security's privacy statement can be read here: <https://duo.com/legal/privacy>.

For questions regarding further specifics of data security specifications and logistics, please contact the UM ITS Service Center ([4help@umich.edu](mailto:4help@umich.edu)).

As mentioned in Section 4a.iv.b. “Sharing Survey Results” of this document, all de-identified data and related data reports created to be shared with participating institutions will be stored and shared via an entirely different platform, the DropBox file sharing service. DropBox is a cloud-based storage solution that allows you to share files with people inside and outside of the university. DropBox is the UM ITS preferred method of de-identified data sharing with people who are not affiliated with UM. DropBox folders are encrypted, password- and UM ITS firewall-protected. In order for a school to access their data on DropBox, an HMS team member must create a folder for the school in DropBox, upload all of that school’s de-identified data and related data reports to the folder, and then grant specific individuals at the participating school access to the folder via their email. Participating school individuals who are granted access to the folder must create a password-protected account in order to access the contents of the folder. Once the individual has set up their account, they may access the folder and download the data or reports to their preferred device. Only HMS team members have the ability to grant access to a DropBox folder. For more information on DropBox, please review UM ITS Permitted Data and Service Description of DropBox (<https://its.umich.edu/computing/backup-storage/box-retirement-project/self-service-migration>).

As explained in other sections of this application regarding the confidential protocol, survey responses and respondents’ identifiable information (email address) will be stored in separate files in separate folders. However, email address is never linked with the survey data. The two files (identifiable data and survey data) will be linkable by the respondent’s unique numeric identifier (added by the HMS team or school contact as a column in the spreadsheet of identifiable data before recruitment and contained as an embedded-data column in the survey data file downloaded from Qualtrics). Identifiable data will never be merged with survey responses (i.e., this information will always be stored in two separate files, the only linking piece of data being the numeric identifier). While the study is in the field, it is necessary to retain all identifying information originally provided by the institution in order for Qualtrics to be able to send any remaining email reminders to those who have yet to respond to the survey invitations. Once data collection has ended, we will destroy the contact information of non-responders (name, email address). We will destroy identifiable information of non-responders when processing schools’ data at the conclusion of data collection for the academic year. We will retain the full information provided for responders, again with the identifiable data and survey data in separate files in separate folders linkable only by their unique numeric identifiers.

Participant-identifiable data will never be shared with other researchers or institutions. The data which can be shared with researchers will always be completely de-identified. For anonymous surveys, no identifiable data will be collected either pre-consent or during the survey thus all data shared with researchers will also always be completely de-identified.

We will encrypt all survey data given its sensitive nature.

Each participating school will have two designated folders on the U:Drive: one for school information and institutional data containing individual identifiers (see Section 4a.ii-2-3) and another for de-identified survey data (e.g., (1) University X identifiable institutional data; (2) University X survey data). For confidential surveys, an institutional contact (commonly someone from the institution’s Registrar’s Office) will upload the student and/or faculty and staff sample file containing email addresses to the school’s Qualtrics Sample File form (see Section 4a.ii-2). Ability to do this will be restricted, with this individual’s ability to edit or re-download the file removed immediately after the file is successfully uploaded. After successfully uploading this file, only the HMS team will have access to this file. The HMS team will download this file directly to the aforementioned identifiable data folder on our U:Drive, so the file does not sit on any individual study team member’s hard drive. The study team will then add a column to this file for the unique numeric identifiers. That file will then be used in Qualtrics to generate individual emails for each randomly sampled participant at each participating institution for the initial recruitment. These emails will be from templates saved to Qualtrics, with customized information pertaining to the particular school and the particular recruited individual piped in using Qualtrics’ ability to pipe in “embedded data” from an uploaded sample file into mailing distributions. Qualtrics Emailing function will be able to automatically discern who has responded v. who has not, and send our reminder emails (see Section 4a.iii-3) to only those who have not completed the survey or opted-out of emailing, automatically. The school’s other folder (the survey data with no identifiable information) will contain no files until the data collection period has begun. As mentioned previously in other sections of this document, anonymous surveys will not collect email addresses for the purpose of distributing the survey.

The folder where de-identified survey data will be stored will be accessible to the HMS team.

#### **a). Maintaining Respondent Identifiers Under the Confidential Protocol.**

Data will be gathered through Qualtrics, using Transport Layer Security (TLS), encryption (HTTPS), password protection, and HTTP referrer checking. Qualtrics has SAS 70 Certification and meets the rigorous privacy standards imposed on health care records by the Health Insurance Portability and Accountability Act (HIPAA). All Qualtrics accounts are hidden behind passwords and all data is protected with real-time data replication. Only the HMS team will have access to the data through Qualtrics, protected by a password.

Qualtrics servers are protected by high-end firewall systems, and scans are performed regularly to ensure that any vulnerabilities are quickly found and patched. Complete penetration tests are performed yearly. All services have quick failover points and redundant hardware, with complete backups performed nightly. Qualtrics also has a confidential system component design, which uses multiple checks to certify that

packets from one subsystem can only be received by a designated subsystem. Access to systems is severely restricted to specific individuals, whose access is monitored and audited for compliance. Customer data are stored in a specific location; it does not float around in the “cloud.” In addition, all data are processed in that location, and are not moved to another jurisdictional area. In other words, if data are collected in the U.S., all data are processed in the U.S. Qualtrics uses TLS encryption (also known as HTTPS) for all transmitted data. Qualtrics can also protect surveys with passwords and HTTP referrer checking. Qualtrics services are hosted by data centers that are independently audited using the industry standard SSAE-16 method. Qualtrics deploys the general requirements set forth by many Federal Acts, including the FISMA Act of 2002. Qualtrics meets or exceeds the minimum requirements as outlined in FIPS Publication 200. More information can be found reading Qualtrics’ Security Statement (<https://www.qualtrics.com/security-statement/>), Privacy Statement (<https://www.qualtrics.com/privacy-statement/>), and Email Distributions Guide (<https://www.qualtrics.com/support/survey-platform/distributions-module/email-distribution/emails-overview/>).

The files containing student and/or faculty and staff identifiers and the files that contain linking information to the identifiers will be destroyed when no further analysis is required with identifiable information, or after three years, whichever comes first. The de-identified results will be stored indefinitely in the HMS U: Drive folder (see section 4b) for future aggregate analyses. After June 30<sup>th</sup>, 2023, HMN will no longer be performing any longitudinal data collection (re-surveying participants who took the survey previously), and will not link any survey identifiers to email address for the purposes of re-contacting participants.

#### 4c.) Methodology—HMS versions

As mentioned earlier in the beginning of this document (see Section 1) HMS has several versions, all with the same basic design and scope, that are used for different cohorts of colleges/universities to investigate questions specific to their student population. These different versions include HMS-JED and other less substantial versions that are all covered under the same NIH Certificate of Confidentiality, and minimally differ from the study protocol covered in Sections 2 - 4b of this application, if they differ at all.

As a short overview of the objectives of the versions mentioned above, the JED version of HMS, specifically, will be administered among schools who are members of JED. [JED](https://www.jedcampus.org/about/) is a program offered by the Jed Foundation to help schools develop a campus-wide strategic plan for mental health promotion and suicide prevention (see <https://www.jedcampus.org/about/>). Specifically, this is an intensive four-year collaboration between JED and key stakeholders from across a campus community to assess and strengthen mental health, substance abuse, and suicide prevention systems on campus. HMS data collected at HMS-JED schools will be shared with the JED Campus Program team, enabling them to strengthen their examination of and collaboration with the campus.

Below is a summary of the differences between versions of the study from what is otherwise described in this protocol:

- All schools that participate in the HMS-JED versions are schools that are members of the JED Campus Program or JED Fundamentals. JED's work focuses on institutional assessment and change at the system level. Therefore, we seek to supplement their work with student data collected via HMS.
- Whereas schools participating in the standard HMS may choose their elective modules, the listed versions have the following restrictions on elective module choice:
  - Schools participating in the HMS-JED version must include our Knowledge and Attitudes about Mental Health and Mental Health Services, Upstander/Bystander, Resilience and Coping, Mental Health Climate, and Diversity and Inclusion elective modules. Participating schools may elect to sample more students in order to field additional elective modules, if they choose.
  - Similarly, we may choose to enact elective-module requirements for other cohorts of schools that are members of an overarching organization, collaborative partnership, or government agency, dependent upon that organization’s priorities.
- For schools that are a member of JED, JED will receive a copy of each participating school’s de-identified student survey data upon completion of the school’s survey. Consenting to this data sharing with JED is a prerequisite of participation in the HMS-JED study for schools. Student participants are notified of this data sharing in the consent form.
  - Similarly, we may choose to follow this data-sharing protocol for other cohorts of schools that are members of an overarching organization, collaborative partnership, or government agency. In these cases, we will follow the exact same protocol as we do with JED, and make sure that both institutions and individual students are made aware of these de-identified data sharing practices via their terms of agreement and consent forms, respectively.
- Each school participating in the HMS-JED study will have two iterations of the study, separated by 3 years. These iterations will each be cross-sectional by design, each employing a random sampling technique. For these schools, we will not implement any longitudinal surveying techniques, even among students who may be randomly sampled during both iterations (i.e., there will be no individual-level pre/post analyses or follow-up).

#### 5.) Statistical Design

The survey will be run through Qualtrics, and will be entirely online. Our data analysis will consist of both

univariate and multivariate analyses. Our univariate analyses will include describing the data and identifying correlations. We will employ more sophisticated methods such as regression to publish findings from in peer-reviewed journals. Multivariate analyses will include linear and nonlinear (e.g. logistic) regressions. For both univariate and multivariate analyses we will examine differences across sub-groups, such as graduates versus undergraduates and racial/ethnic groups. We will compare characteristics of non-respondents to those of respondents and assign statistical weights to respondents accordingly. All analyses will be performed using Stata and/or R, and any analyses involving identifiable or sensitive data will be conducted using Stata and/or R on the HMS secure server (described in section 4b).

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