

Welcome to the National Research Council's 2006 Assessment of Research Doctorate Programs Faculty Questionnaire

Every ten or so years, the National Research Council conducts a study of national importance regarding the quality and characteristics of doctoral programs in the United States. The **2006 Assessment of Research Doctorate Programs** collects data on the doctoral programs and doctoral faculty in over 60 areas of study in American universities, along with some student data. This comparative assessment, the most comprehensive to date, is designed to assist prospective doctoral students with selecting programs that best fit their interests and to permit programs to benchmark themselves against similar programs.

Your participation is important. By completing this questionnaire, you are providing information that will: 1) help the NRC identify the characteristics of successful graduate programs, 2) enable the NRC with collecting data on grants, citations, and publications from other sources; and 3) permit a statistical description of the faculty in the graduate program(s) or programs with which you are affiliated. For further information about the assessment, see www7.nationalacademies.org/resdoc/index.html. This site also has a list of Frequently Asked Questions and contains an Email link to request answers to questions you might have concerning the study or the questionnaire.

All of the information you provide will be treated as confidential. The survey is being conducted by Mathematica Policy Research (MPR), an organization experienced in the conduct of confidential surveys. Your responses will be compiled by MPR and provided to the NRC for their analyses. Personally identifiable information, such as past employment and ZIP Codes, will be used to obtain data on publications, grants and awards and honors from other databases. The National Research Council staff who analyze the data will sign non-disclosure confidentiality agreements to protect the identity of individuals participating in the survey. The survey will be conducted using secure webbased survey technology and any information that could be used to identify or link responses to an individual respondent for any survey question will be maintained in storage that is secure. Any data, including race/ethnicity and gender, that is not currently available to the public will only be used in an aggregated form that cannot be used to discern the identity of any survey participant in any report or presentation concerning the survey or in the public use file that will be made available to the public at the conclusion of this study. The link between your name and the data you provide in this questionnaire will only be used to obtain publications and, awards and honors data from other databases and will be removed prior to the publication of the public use file.

Your participation is voluntary. Completing the questionnaire averages about 14 minutes, not counting the time required to list or upload publications, which will vary from person to person. You may refuse to answer any question or discontinue participation at any point. There is no personal risk to you in responding to this questionnaire. Your identity will be known to only the National Research Council and Mathematica Policy Research. No information concerning respondents will be given to your institution. If you have any questions about the study or this questionnaire, please email us at NRC-Assessment@mathematica-mpr.com. Faculty must submit their competed questionnaire by February 15, 2007 if they wish to be considered as a program rater for the Rating Survey that follows this spring. Otherwise, the end date is April 1, 2007.

Click here to indicate your informed consent to participate in this study

A.	Program	Identific	ation
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You have been identified by your institution as a faculty member who participates in doctoral education in one or more graduate programs that fall under one or more fields in the NRC taxonomy. The names of these programs are listed below in questions A2i and A2. However, if you are involved in a doctoral program that is not on this list, it is not part of this study and should not be considered when responding to this questionnaire.

1. In what year did you become a faculty Year:	member at this institution?
a. Do you have emeritus status?	
b. During the last 3 years have you been course?	n the primary instructor for a regular PhD
☐ Yes ☐ No	
this study, please select the doctoral pr	orograms at this institution that are eligible for ogram or programs in which you are rewhich you serve/ have served as an "outside"
this study, please select the doctoral prinvolved. Do not include programs for reader." For each please enter the number of d	rogram or programs in which you are
this study, please select the doctoral prinvolved. Do not include programs for reader." For each please enter the number of dechaired (that is, been the principal advinstitution.	rogram or programs in which you are r which you serve/ have served as an "outside octoral dissertation committees you have

- A2. Using the drop down list, please select the doctoral program or programs in which you are involved. <u>Do not include</u> programs for which you serve/ have served as an "outside reader". For each please enter:
 - Column 1: The number of doctoral dissertation committees you have <u>chaired</u> (that is, been the principal advisor for) during your last 5 years at this institution
 - Column 2: The total number of committees that you have <u>either served on or chaired during the period 2001-2006</u>. <u>Please include committees on which you are currently serving or chairing</u>

Program Name (Drop down list of institution's participating program)		Number of Committees Chaired If none, enter zero	
	(If A1 = 2003 or later or A2 $ask A3)$	2 contains a number greater	than zero, skip to A4, otherwise
			r curriculum committees in one OGRAM NAMES FROM A2]
	☐ Yes ☐ No		
	(If A3 equals "Yes" go to A4,	otherwise skip to the exit "th	ank you" screen)
			Then, using the drop down list, g or including your primary
	Primary Area of Specialization:		
	a. (Drop down Taxor	nomy list – including subfiel	<u>ds)</u>

Please record any additional areas of specialization you currently have. Then, using the drop down list, please select the field that comes closest to describing or including that additional area of specialization.		
<u> 1</u>		
1		
ed below do you		
ty Worked the d Most Hours One Only		

B. Prior Experience

B1.	What was your status <u>immediately</u> prior to your employment as a faculty member at your current institution?
	Mark One Only
	Student Postdoc Faculty – Professor
	Faculty – Associate Professor
	Faculty – Assistant Professor
	Faculty – Emeritus Professor
	Other – Specify title:
B2.	Please provide the name and location of your previous employer
	Previous employer:
	City:
	State:Zip Code: Country:_
	being hired by this institution? Mark One Only
	EDUCATION
	U.S. 4-year college or university other than medical school
	U.S. medical school (including university-affiliated hospital or medical center)
	U.S. university-affiliated research institute
	U.S. community college or technical institute
	U.S. preschool, elementary, middle, secondary school or school system
	Non-U.S. educational institution
	GOVERNMENT (other than education institution)
	Foreign government
	U.S. federal government
	U.S. state government
1	U.S. local government PRIVATE SECTOR (other than education institution)
	Not-for-profit institution
	U. S. based industry or business (for profit)
	Non-U. S. based industry or business (for profit)
	OTHER
	Self-employed
	Other:

B4.	Thinking about the job you held immediately before being hired by your current
	institution, on which two work activities listed below did you work the most hours?

		Activity Worked <u>Most</u> Hours	Activity Worked the Second Most Hours
		Mark One Only	Mark One Only
	Research and development		
	Teaching		
	Management or Administration		
	Professional services to individuals		
	Other - Specify activity worked		
	most hours:		
	Other – Specify activity worked		
	second most hours:		
C. Educ	cational Background		
C1.	Please indicate all degrees earned beyo	ond your bachelor's degree	
Mark	All That Apply		
	_		
	☐ Doctorate (e.g. PhD DSc EdD etc.) ☐ Other professional degree (e.g. JD LI ☐ Master's degree (e.g. MS MA MBA M ☐ Other – Specify degree:	MFA)	
C2.	What institution conferred your Ph.D. use the dropdown list to select the scho and address of that institution below		· -
	Drop down list		
	of U.S. Institutions	Foreign Institution (record	below)
		Institution Name:	
		City:	
		Country:	
С3.	Using the drop down list, please pick t equivalent degree.	he field that comes closest to	o the field of your Ph.D. or
	[Drop down Taxonomy list—in	ncluding subfields]	
	Other field – please specify:		
	- •		

C4. In what year was your Ph.D. or equivalent degree conferred?				
Year:				
C5. Using the Association of American University ever held a postdoctoral position (postdoc)?	ities (AAU) definition detailed below, have you			
The AAU definition of a postdoctoral scholar s	tates:			
 appropriate field; and the appointment is temporary; and the appointment involves substantially full-time the appointment is viewed as preparatory for a f the appointment is not part of a clinical training the appointee works under the supervision of a similar research institution (e.g., national laborary 	full-time academic and/or research career; and program; and a senior scholar or a department in a university or tory, NIH, etc.); and ed, to publish the results of his or her research or it.			
C6. How many postdoctoral appointments have Number of Postdocs Held:	C6. How many postdoctoral appointments have you held? Number of Postdocs Held:			
C7. For each postdoc held, please enter the number of years that you held the postdoc and the sector in which you were working.				
• If you have held more than 4 postdoct	foral appointments, please list the four most recent			
Number of Years	Sector (drop down list from B3)			
Most Recent				
Second Most Recent				
Third Most Recent				
Fourth Most Recent				

D. Scholarly Activity

The questions in this section will help us match productivity data such as publications, citations, research grants and other types of scholarly productivity with the faculty who participate in the graduate program There will be two primary sources of data. The first will be the data provided by the journals monitored by the Institute for Scientific Information (ISI). The list can be found at: http://scientific.thomson.com/mjl/. The second will be your answers to the questions below. In counting publications, in most cases, the NRC will limit itself to books, monographs, and articles and reviews in refereed journals. It is especially important that you list books, monographs, and articles in edited volumes and in specialist journals not covered by ISI so that we have a full picture of your scholarly productivity. In addition, if there are other kinds of scholarly production that you feel give a complete picture of your scholarship, please list them below in D5

	of your scholarly productivity. In addition, if there are other kinds of scholarly production that you feel give a complete picture of your scholarship, please list them below in D5
D1.	Under what names or variants of your name have you published books or articles in the past five years (e.g. Jane Doe, Jane H. Doe, J. H. Doe or other prior names)?
	• If you are in the Humanities, please include the names or variants of your name under which you have published books or articles in the past 10 years (1996-2006).
D2.	Please list the Zip Codes that appeared on your publications as a reflection of your professional location between 2001 and 2006.
	• If you are in the Humanities, please list the zip codes that appeared on your publications in the past 10 years (1996-2006).
	Zip Code 1
	7in Code 2
	Zip Code 2
	Zip Code 3
	Zip Code 3
	Zip Code 3 Zip Code 4
	Zip Code 3 Zip Code 4 Zip Code 5

D3.	Please list the titles of books that you have authored, co-authored or edited from 2001 to
	2006.

- If you are in the Humanities, please list the titles of books you have authored, coauthored or edited in the past 10 years (1996-2006).
- If you have an electronic version of your CV, you may want to cut and paste the requested information

Books Authored or Co-authored	Books Edited
Book 1:	Book 1:
Book 2:	Dook 2.
Book 3:	Dools 2.
Book 4:	Dook 4.
Book 5:	Book 5:
	[allow up to Book 30

- D4. Please list any papers you authored or co-authored from 2001 to 2006.
 - Faculty in the Arts and Humanities: Since ISI coverage of publications in the Arts and Humanities is spotty, it is important that these faculty provide as complete a listing as possible of papers authored or co-authored in the past 10 years (1996-2006). If you would like to browse the ISI website, here is the link: http://scientific.thomson.com/mjl/
 - Papers listed on your CV: If you upload your CV, there is no need to reenter papers already listed there. You will have an opportunity to upload your CV when you reach the end of the questionnaire
 - Additional papers not included on your CV. To include papers not on your CV, you can upload a list of these papers by using this link [LINK].
 - *For journal articles*, please remember to add the volume number.
 - For articles in edited volumes. Please enter these in D5.

Authors	Title	Journal	Year of Publication
		············	
			
			[allow up to 30 articles]

D5.	Please list any other scholarly product (e.g. shows curated, databases assembled, etc.) from
	the period 2001 to 2006 not covered above.

- If you are in the Humanities, please list any other scholarly product from the past 10 years (1996-2006) not covered above.
- For All Faculty, If you wish to list chapters contributed to edited volumes, please list them here showing chapter title and volume title. Alternatively, we can extract them from your CV, which you should attach.

		re snowing cnapter title an ⁷ , which you should attach.		y, we can extract them from
	Authors			Year
			[a	llow up to 30 products]
D6.	To what scholar	rly or professional societi	es do you belong?	
	• If you ha	=	f your CV, you may want to	cut and paste the requested
				_
			[allow	
Res	earch Activity			
E1.	Is any of your w	vork currently supported	by an extramural grant o	r contract?
	☐ Yes ☐ No skip	o to E4		
	Ask E2 if E1	l = yes		
E2.	How many extra	amural grants or contrac	ts currently fund your wo	rk?
	Number of O	Current Grants/Contracts:	[]	
á	a. For how many	of these extramural gran	ts or contracts do you cur	rently serve as:

E.

	or contracts)?	dents are supported on your extramural funding (grants
	If None.	: Enter Zero
	Number of Supported Doctoral Students:	
lice		1) submitted a disclosure to your university's for a patent or 3) were named as an inventor on a
	Yes No skip to E5	
	$Ask\ E4a\ if\ E4=yes$	
	E4a. Since July 1, 2001	
		If none, enter zero Enter Number
1.	. How many disclosures have you submitted or tech transfer office?	d to your university's licensing
2.		filed?
3.	B. How many patents have been granted to y	ou as an inventor?
4.		
	July 1, 2001 (item 3 above), how many ha or processes or have been licensed?	ve resulted in commercialized products
	[program will check that E4a3 > 0, if E	E4a3 >0 then E4a4 >0 and not less than E4a3]
E5.	E5. To what extent is your current research	related to the field of your Ph.D. or equivalent degree?
	Closely related	
	Somewhat related	
	Not related	
	Ask E6 if $C5 = yes$	
	E6.To what extent is your current resear to becoming a faculty member?	rch related to your postdoc experience immediately prior
	Closely related	
	Somewhat related Not related	
	i i i i i i i i i i i i i i i i i i i	

F. Doctoral Students

F1. Please provide a list of doctoral students at your current institution for whom you served as primary dissertation adviser who have completed their studies and received their doctorate in the past five (5) years (2001-02 through 2005-06). For each doctorate holder, please indicate the year in which the degree was awarded and current position and employer, if known.

Name	Degree Year	Current Position	Current Employer	City	State	Country

[allow 40]

G. Program Quality

The charge to the Committee on an Assessment of Research-Doctorate Programs includes the design and calculation of program ratings that use collected data to quantitatively estimate program quality. The committee will construct one set of ratings based on the perceptions of graduate faculty of the relative importance of program characteristics to the quality of doctoral programs. This section of the questionnaire asks you to describe the relative importance of program characteristics as determinants or indicators of program quality.

Specific Characteristics: Program Faculty Quality (Category I)

G1. In Column A, please select the characteristics in this category (up to FOUR) that you feel are the <u>most important</u> to program quality. In Column B, if you selected more than two characteristics, please select the TWO you feel are the most important.

		Column A	Column B
	CATEGORY I Program Faculty Quality	Most Important Characteristics (Mark Up to Four)	Two Most important Characteristics
a.	Number of publications (books, articles, etc.) per faculty member	£	£
b.	Number of citations per faculty member	£	£
c.	Receipt of extramural grants for research	£	£
d.	Involvement in interdisciplinary work	£	£
e.	Racial/ethnic diversity of the program faculty	£	£
f.	Gender diversity of the program faculty	£	£
g.	Reception by peers of a faculty member's work as measured by honors and awards	£	£

Specific Characteristics: Student Characteristics (Category II)

G2. In Column A, please select the characteristics in this category (up to FOUR) that you feel are the <u>most important</u> to program quality. In Column B, if you selected more than two characteristics, please select the TWO you feel are the most important.

	Column A	Column B
CATEGORY II Student Characteristics	Most Important Characteristics (Mark Up to Four)	Two Most important Characteristics
a. Median GRE scores of entering students	£	£
b. Percentage of students receiving full financial support	£	£
c. Percentage of students with portable fellowships	£	£
d. Number of student publications and presentations	£	£
e. Racial/ethnic diversity of the student population	£	£
f. Gender diversity of the student population	£	£
g. A high percentage of international students	£	£

Specific Characteristics: Program Characteristics (Category III)

G3. In Column A, please select the characteristics in this category (up to FOUR) that you feel are the <u>most important</u> to program quality. In Column B, if you selected more than two characteristics, please select the TWO you feel are the most important.

CATEGORY III Program Characteristics	Column A Most Important Characteristics (Mark Up to Four)	Column B Two Most important Characteristics
a. Average number of Ph.D.s granted over the last five years	£	£
b. Percentage of entering students who complete a doctoral degree	£	£
c. Time to degree	£	£
d. Placement of students after graduation	£	£
e. Percentage of students with individual work space	£	£
f. Percentage of health insurance premiums covered by the institution or program	£	£
g. Number of student support activities provided at either the institutional or program level (This variable will be a tally of whether the following services are provided to graduate students at either the institutional or program level: orientation for new students, prizes/awards to doctoral students for teaching and/or research, formal training in academic integrity/ethics, travel funds to attend professional meetings, grievance/dispute resolution procedures, annual review of all enrolled doctoral students, training to improve teaching skills, institutionally-supported graduate student association, information about employment outcomes of graduates and on-campus graduate student research conferences).	£	£

General Characteristics

G4. Please assign a score to each category with the total adding up to 100, where 0 indicates the category has no importance to your judgment of quality and 100 indicates it is the only category that is important.

Category	Score
Category 1: Program Faculty Quality Characteristics	
Category 2: Student Characteristics	
Category 3: Program Characteristics	
Total	100

H. Demographic Information

H1.	In what year were you born?
	Year of birth:
H2.	Are you:
	☐ Male ☐ Female
нз.	What is your citizenship status?
	☐ U.S.☐ Permanent Resident☐ Temporary Visa Holder
Н4.	Are you Hispanic (or Latino).
	☐ Yes ☐ No skip to H6
Н5.	Which of the following best describes your Hispanic origin or descent?
Mar	rk one only
	Mexican or Chicano Puerto Rican
	Cuban Other Hispanic descent – specify
Н6.	What is your racial background
Mar	rk all that apply
	American Indian or Alaska Native Native Hawaiian or other Pacific Islander Asian Black or African-American White

I1.	To help us understand the characteristics of faculty in doctoral programs without asking additional questions, and to enable us to access data from national databases (e.g., on citation counts), please attach your current C.V. when you submit this questionnaire.
	C. V. attached
J1.	Would you be willing to answer an additional questionnaire that would ask you to rate the overall quality of other doctoral programs in your field?
	☐ Yes ☐ No
J2.	Ask J2 if $J1 = yes$ Good contact information is needed for those selected. Please fill in your preferred contact information below.
	ADDRESS:
	CITY: STATE: ZIP CODE:
J3.	Please provide your preferred e-mail address where you can be reached if there are responses in your questionnaire that require clarification or if you prefer to be contacted about the program ratings by email.
	Email address:

Thank you for your time.

Rationale for Questions on the Faculty Questionnaire

- **A. Program Identification**—The questions in this section are designed to confirm data provided by the program about faculty who participate in doctoral education in the program and to determine if the faculty member meets the criteria that they have served on doctoral committees or are recent hires. These data will also be used to apportion faculty effort, for those who are associated with more than one program.
 - A1. This question will be useful in knowing that productivity information on publications, awards, and honors can be linked to the current institution.
 - A2. The faculty spreadsheets/program questionnaire asked for a list of faculty members that chaired or served on a doctoral committee in a field. The intent of this question is to determine if a faculty member actually served on a committee in the past five years and to determine the number of such committees. It is important to ask for committee service, since the number of committees will determine the faculty member's effort in the programs. This can be used to proportion the productivity measures related to publications, grants and awards. All of an institution's programs that are participating in the assessment will be on a drop down list. The faculty members will use this list to identify the programs with which he or she is involved and the number of committees.
 - A3. This question is asked because service of a doctoral admissions or curriculum committee is an alternate criterion for Core Program Faculty if they have no dissertation committee service in that program.
 - A4. The answer to this question will permit a description of research specializations of faculty.
 - A5. These questions will identify the primary or core faculty in a program and the subfields that are represented by the faculty members. It will allow individuals when using the data on programs to compare programs with like characteristics and will help prospective students match their interests to that of a program.
 - A6. This information will be compared with the information in B4 to see if the work activity of the faculty member has changed from their previous institution.
- **B. Prior Experience**—This section asks for prior employment and primary and secondary employment activity in that employment. Such information is useful in describing the research intensity of faculty and their previous research experience.
 - B1.-
 - B3. These questions ask for information about prior employment and will provide information about the origins of the program faculty. It will also be useful in the matching the faculty to productivity data, if they are recent hires at their current institution.
 - B4. This question will provide information on whether the work activity of the faculty member has changed.
- **C. Educational Background**—This section asks about degrees, institutions, Ph.D. field as well as year Ph.D. conferred. Further, the questions ask about post doctoral appointment experience.

- C1. While many of the faculty members will have the Ph.D. as their highest degree, it will be important to know if the faculty have received other degrees. These data are not available from other data sources and are especially important in describing the background of faculty in the biomedical sciences.
- C2. The doctoral origins of the faculty for a program will provide data on the career paths of graduates from different institutions and provide a count of the number of foreign degree holders on faculties at U.S. doctoral institutions. It provides information about the segmentation of the academic labor market and is an indirect outcomes measure for those doctorate-awarding origins of those who are academically employed.
- C3. Field of Ph.D. or equivalent will provide information on whether the faculty member has changed research fields. It may also give a measure of interdisciplinarity.
- C4. Year of Ph.D. or equivalent will allow for cohort analyses and in conjunction with the next question will provide information about the postdoctoral experience.

C5.-

- C7. There is very little known about the postdoctoral experience and these questions will provide information on the career paths of individuals who have held postdocs in terms of the number and duration and how that has changed over time for doctoral faculty.
- **D. Scholarly Activity**—The questions in this section of the questionnaire are designed to gather information that will be helpful in matching the faculty in a program to data from national databases of publications, citations and grants.
 - D1. The request for the names faculty use on their publications will help in the matching process by eliminating false matches and by finding publications written before a name change, for example the name used before marriage.
 - D2. In addition to using author names in the matching process, the ZIP Code for the location of the author will be used, since it is the only uniquely identifiable numeric piece of information that appears on a publication. Institutional names may be available, but they vary in form and it will be difficult to identify all forms that pertain to a particular institution. Also, if a faculty member moves from one institution to another, the ZIP Code of the prior institution will help in matching the earlier publications to the faculty member.
 - D3. There is no good data source for matching the faculty in a program to the books they have authored. Sources, such as the Library of Congress and Books in Print, do not carry geographic information about the author and matching on name alone will provide multiple matches. The titles of the books can then be used to eliminate false matches.
 - D4. ISI does not cover all possible journals. In particular, its coverage of highly specialized journals in the humanities may be very limited. A listing of these publications will be useful in obtaining more complete data on faculty productivity.
 - D5. This question is intended to obtain a list of non-journal and non-print scholarly contributions.
 - D6. This information will be an indicator of professional involvement and interdisciplinary activity.

- **E.** Research Activity—This section asks about their current and recent research/scholarly activities.
 - E1. This question is important to the calculation of the percentage of faculty supported by outside grants.
 - E2. Since grant data from the federal agencies and other organizations will not be matched to program faculty, the information from this question will assist in providing a measure of research productivity
 - E3. These questions will provide added information about grant and contract support related to the support of graduate students.
 - E4. Patents, disclosures, and licenses in some fields are very important measures of research productivity, and there is no good source for this information at the program level.

E5-

- E6. This question will provide additional information on trends in research and mobility across fields over a career.
- **F. Doctoral Students**—Information from this question will be used to identify the career outcomes of doctoral students that completed the program. Knowing the career paths for graduates of the program is important since it helps in characterizing program goals. It will assist students who use the data from the study to select a degree program that meets their own career objectives.
- **G. Program Quality**—This section collects data pertinent to the design and calculation of program ratings.
 - G1.-G3. These questions ask for those characteristics of doctoral programs that the faculty member considers important.
 - G4. This question will provide information about characteristics that faculty think are valuable in determining program quality. The varying weights that faculty put on these items will be used to calculate weights to be applied to observed data for the explicit ratings of programs.
- **H. Demographic Information**—This section asks for basic demographic information about the faculty. This information is not available from any other source, except a population sample from the National Survey of Postsecondary Faculty, which is not available at the program level.
- **I.** The C.V. for the faculty is requested to verify publication and career path data.